

HR Excellence in Research Submission

Gap analysis and Implementation plan

University of Sussex

1.0 Background

- 1.1 The following document records the University of Sussex's compliance with the *Concordat to Support the Career Development of Researchers*, and plans to enhance further the environment offered to Research Staff.
- 1.2 The University of Sussex is strongly committed to the development of early career researchers. Sussex currently hosts the Vitae South-East Hub and in 2010 it established a Doctoral School dedicated to supporting doctoral researchers and research staff. The Doctoral School works with senior academic staff, especially Heads of School and Directors of Doctoral Studies, and across the professional services to ensure that the interests of research staff are institutionally represented. Doctoral School staff have co-ordinated the working group established to review the implementation of the Concordat to Support the Career Development of Research Staff.
- 1.3 During 2011-12, the Doctoral School helped research staff to establish a Research Staff Association (RSA) in accordance with the model promoted by Vitae. The RSA have provided regular contributions directed at enhancing the research environment for research staff, including: written submissions to the University's Doctoral School Committee; developing a survey for Research Staff, and advising the Doctoral School on the development of a specific handbook and induction materials.

2.0 Internal Analysis Process

Following discussion of the Code of Practice at the Doctoral School Committee¹, a working group was established to conduct an internal analysis of the University's compliance with the Concordat to Support the Career Development of Researchers. The working group consulted with the University's Research Staff Association, Academic Schools (in particular Directors of Doctoral Studies) and the Vice-Chancellor's Executive Committee². The membership of the working group included both Academic Faculty and key appointments in the Professional Services, e.g. The Director of Human Resources, Head of Teaching and Learning Development Unit, Assistant Director of the Doctoral School.

3.0 Key findings

The internal analysis revealed that Sussex University had made significant progress in implementing the Concordat, especially in terms of the development of appropriate policies. Three key priorities, were identified.

- **Assurance** - Whilst the policy documentation was in place, more needed to be done to ensure it was being implemented within the Schools.
- **Communication** - Research staff expressed a strong desire to have a more visible and accessible web-pages.

¹ Doctoral School Committee 9th May 2012 and revisited on 30th October 2012 Ref: DSC/15/07

² Vice-Chancellor's Executive Group meetings on 5th November 2013 and 11 March 2013.

- **Induction** - Materials for Research Staff needed be improved.

The full gap analysis and implementation plan is set out in Annex A.

4.0 Summary of Key Actions

4.1 **Assurance** - It was agreed that the assurance process for monitoring Research staff issues should be given a higher profile. To this end a new joint working group (with representation from Research and Knowledge Exchange Committee and Human Resources Committee) would be formed to focus on research staff issues and hold Academic Schools and Professional Service units accountable for their delivery to research staff. The group would be responsible for:

- Monitoring and reviewing the University's on-going application of the Concordat to support the career development of researchers and HR Badge of Excellence processes.
- Receiving reports on the action plan projects identified.
- Receiving recommendations and reports from the Sussex Research Staff Association.
- Benchmarking the University's performance against other institutions (e.g. Through tools such as CROS, PIRLS), and where necessary instigating amendments to the University's HR Badge of Excellence action plan.
- Monitoring the number and typology of research staff on an annual basis, by reviewing reports produced by HR and as part of the University's HESA return.
- Ensuring data records and contact details are maintained and the University has suitable communication channels to engage with Research Staff.
- Overseeing the professional services support for research staff, including recruitment, induction, appraisal, retention, training and career development activities to ensure an institutional coherence.
- Representing the University and engaging with national and international consultations relating to research staff.
- Oversight of the University's relationship with Vitae and other external bodies focused on supporting research staff.

Membership: Director of the Doctoral School (Chair), 2 Directors of Doctoral Studies, the Director of Human Resources (or nominee), Director of Research & Enterprise (or nominee), 2 representatives of the Research Staff Association, and Vitae South-East Hub manager.

An annual report on Research Staff issues will be received formally by the Research and Knowledge Exchange Committee. The overall governance responsibility for compliance with the *Concordat to Support the Career Development of Researchers*, will rest with this committee.

4.2 **Monitoring** – There was a significant opportunity to enhance the University's reporting systems via a new HR system. It was agreed that a working group to maximise the benefits to research staff from the replacement system should be established. Officer responsible: Director of Human Resources.

4.3 **Communication** - Whilst policy and procedures were in place for research staff, the gap analysis identified that they were spread across a number of web-pages and not easily accessible. Issues included: research staff being embedded in the "Doctoral School" whose name suggest it was solely for registered postgraduate research students and a modest

profile for research staff issues on the HR webpage. A dedicated and more comprehensive website for research staff was agreed, highlighting the support provided and the Research Staff Association. Officer responsible: Assistant Director of the Doctoral School.

4.4 **Induction** – Improvements in the induction process are being addressed through improvements to systems (e.g. new HR system mentioned above), additional information in new starter pack produced by the University and ensuring that all stakeholders across campus are clear on their roles in supporting induction. It was agreed that:

- Additional induction material should be produced for research staff and contained within the new starter pack as well as being provided via the website and School offices. This additional material will help to standardise induction for research staff across the University and at School/Departmental level. Officer responsible: Assistant Director of the Doctoral School.
- Current guidance for stakeholders across campus involved in induction should be reviewed and subsequently disseminated.

5.0 **Conclusion**

The University continues to enhance its environment for research staff and has updated its concordat implementation survey to reflect recent work (Annex B). The attached submission was discussed, agreed and submitted by the University's Doctoral School Committee and Vice-Chancellor's Executive Committee.

Annex A: Gap Analysis and Implementation Plan

A. Recruitment and Selection					
Concordat Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.					
no	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timescale
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution	<p>The University has job descriptions and employee specifications for each grade of researcher which clearly set out the key requirements of the posts and the criteria for the job holders.</p> <p>The University also has clear guidelines on recruitment and selection for academic staff and supports this with recruitment and selection training which combines the legal framework with practical application. These courses have a high attendance by academic staff.</p> <p>Appointment panels are chaired by senior members of the academic staff who have undergone training in recruitment and selection as well as on the Equality Act 2010, including the Public Sector Equality Duty.</p>	To create a dedicated web-page for research staff which will be accessible to all members of the Sussex research community and provide comprehensive guidance.	Research and Enterprise Division	1 st August 2013
			Communication of the revised University Strategic Plan, setting out both the standards expected of all staff and the principles for supporting researchers at all stages of their career.	PVC Research	January 2014

	to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role	<p>aid to the development of individuals, e.g. through induction and appraisal, as well as consistency of requirements within a grade in terms of equal pay for work of equal value.</p> <p>The University has an Equality and Diversity Policy and recruitment information clearly states that it is the University's policy to ensure that people are treated solely on the basis of their abilities and potential, regardless of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race (including colour, nationality, and ethnic or national origin), religion or belief, sex, sexual orientation, trade union membership or non-membership, socio-economic background, or any other inappropriate distinction. The University's process for recruitment and selection, e.g. the composition of selection panels is set out within the University's governance structure (in the University's Regulations) and, additionally, there is comprehensive guidance on recruitment that is published on the University's website as well as training in fair recruitment and selection.</p>	<p>EURAXESS local contact point, supporting the mobility of researchers around Europe.</p> <p>HR to advertise Research Staff posts via EURAXESS website</p>	Human Resources Division	<p>on 14 March 2013 British Council Spring Gardens London office.</p> <p>Decision on becoming a EURAXESS local contact point and advertising posts via website in place by 31 July 2013.</p>
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason	Whether a post is required on an indefinite or fixed-term basis is determined on a case by case basis at the time a post is requested based on whether there is an on-going requirement for the post or whether there is an objective justification for the post to be fixed-term. Where a post is fixed-term, the reason/s for its being fixed-term are set out in writing, including to the job holder.	Monitoring the use of research staff posts to be part of the terms and conditions of new joint working group of Research & Knowledge Exchange Committee and Human Resources Committee.	PVC Research	Working Group to report to Research and Knowledge Exchange Committee autumn 2013 meeting.
1.4	To assure fairness, consistency and the best assessment of the candidates' potential,	Panels for recruitment and for promotion always comprise a range of academic expertise, experience and diversity. The	Continue to monitor via	Human Resources	On-going

	recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development	University seeks a gender balance on panels and will co-opt members to panels where ex-officio, discipline-specific or elected membership does not provide such a balance. Panel members receive training and guidance and professional HR staff always sit on promotion panels, which are open to research faculty as well as teaching faculty, including staff on fixed-term contracts, to offer advice where appropriate. Unsuccessful applicants are provided with feedback by the chair of the panel, if requested, in the case of recruitment; in promotion cases, feedback is always offered to unsuccessful applicants to assist staff in the management and development of their careers.	Human Resources Committee		
1.5	The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation	Research staff are paid in accordance with the grade for their post, as are all other staff in the University. The grade for a post is determined through job evaluation (HERA). The University conducts equal pay reviews on a regular basis, including research staff, and these have shown that the University is compliant with the Equality Act 2010 (formerly the Equal Pay Act).	Continue to monitor via Equality and Diversity Committee	Human Resources	On-going

B. Recognition and Value

Concordat Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

no	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems	The University ensures that managers understand their responsibilities in relation to promoting equality and preventing discrimination in relation to staff on fixed-term contracts through a specially designed training course on the Management of Fixed-Term Contracts. This course is aimed at ensuring that academic (and other) managers treat staff equitably regardless of their contract status and also understand the rights of fixed-term workers. Additionally, key HR processes that are designed to develop academic staff in their careers make specific reference to staff on fixed-term contracts to ensure their inclusion, for example	Continue to monitor the provision of fixed term or similar contracts. Statistical report provided to spring term Research Committee.	Human Resources and Academic Schools	On-going

		in relation to academic promotions and appraisal. HR staff monitor the use of fixed-term contracts and liaise with managers on whether there is an objective justification to retain the use of a fixed-term contract or whether the employee should be given an indefinite contract. In cases of organisational change, where there may be a requirement for fewer staff, employees on fixed-term contracts are treated in the same way as staff on indefinite contracts and this is written into the University's redundancy and redeployment procedures.	Report on findings of 2013 CROS survey	Research and Enterprise Division	November 2013
2.2	Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations	<p>The University provides guidance and training for managers on the use and management of fixed-term contracts which complies with the Fixed-Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and the JNCHES guidance. The University has a Redeployment Procedure, that forms part of the University's governance Regulations, which sets out a process by which staff whose employment is at risk, e.g. at the expiry of a fixed-term contract, may be prioritised over other staff and external advertisement in relation to vacancies within the University. This is a process which involves professional HR support to staff and advice to managers and is designed to retain and redeploy staff, e.g. fixed-term contract researchers, where they wish to be redeployed, and where they meet the essential (rather than desirable) requirements of the person specification for the post, or could do so with a reasonable amount of training.</p> <p>HR staff consult with the recognized trade unions on a regular basis in relation to the expiry of fixed-term staff and also regularly review staff on fixed-term contracts to ascertain whether there remains an objective justification in their remaining fixed-term or whether they should be offered an indefinite contract.</p>	Continue to monitor via Human Resources Committee	Human Resources	On-going
2.3	Research managers should be required to participate in active performance management, including career development	The University's academic appraisal system, which was revised in 2011/12, requires the appraisal of researchers as well as teaching faculty. Academic managers are trained on how to	Run and analyse PIRLS 2015 survey and	Research and Enterprise	First meeting of Research & Knowledge

	<p>guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management</p>	<p>conduct meaningful and equitable appraisals; team training events are also run.</p> <p>The University has a career path for research staff, up to and including the level of research professor. The academic promotion round is open to researchers, including those on fixed-term contracts, and managers are required to consider all of their academic staff in relation to their readiness to make a promotion application.</p> <p>Managers themselves are appraised and heads of school are required to report on people management issues, e.g. the numbers of appraisals completed, the staffing profile for their schools, implementation of the Public Sector Equality Duty, as part of a formal review of the current year during the planning process for the following year.</p> <p>The University provides regular workshops for managers on managing performance which include legal advice and the opportunity to practice skills. Academic managers are actively encouraged to attend and take-up is monitored by HR in conjunction with the Pro-Vice-Chancellors.</p> <p>The University offers a range of courses relating to equality and diversity, including on putting equality law into practice and more practically focused courses on inclusivity and cultural awareness. The University also has a wider range of management development courses, including on team leadership, all of which are presented within a framework that promotes equality and diversity.</p>	refine support in light of findings.	Division	Exchange Committee in 2015-16 academic year.
2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where	A way in which the University aims to protect the security of employment for its staff is by implementing a clear and fair Redeployment Procedure part of the aim of which is to: retain valuable skills and knowledge within the University; ensure a fair and consistent approach is adopted in the management of redeployment; and provide effective support for members of	Feasibility/sustainability study – To instigate practice across the sector in relation to	Research and Enterprise Division	Report to Research & Knowledge Exchange Committee autumn 2013

	resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective	<p>staff using the procedure, including reasonable training where appropriate.</p> <p>The Redeployment Procedure expressly includes fixed-term staff, recognizing the special position these staff are in. The procedure includes a Redeployment Register and a Redeployment Period as well as making provision for continuity of employment where there is a gap of up to four weeks between the ending of one contract and the start of another. HR staff pro-actively engage with staff on fixed-term contracts prior to their expiry to inform them of the Redeployment Procedure and to provide them with advice and guidance, as well as with managers to ensure the procedure is being implemented in relation to a manager's responsibilities.</p>	<p>bridging funding.</p> <p>Enhance workforce planning capability through implementation of a new HR management system.</p>	Human Resources	Complete by January 2014, report on implications for Research Staff to Research Committee Spring 2014
2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework	Pay progression for researchers is the same as for all other staff and in accordance with the University's locally agreed pay and grading structure that was developed as part of the national Framework Agreement. So, researchers will increment annually and are also eligible to be considered for discretionary increments during the annual discretionary pay review in the same way as other groups of staff.	Continue to monitor via Human Resources Committee	Human Resources	On-going
2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies	<p>Researchers have access to discretionary pay progression in the same way as other groups of staff (see 2.5 above).</p> <p>There is a career path for researchers who are included in the annual academic promotions round (see 2.3 above). The career path sets out the criteria that need to be met in order for a researcher to be promoted to the next level. The criteria are published on the University's website.</p> <p>Part of the academic appraisal guidance states that the appraisal must include discussion of the training needs necessary to ensure that an individual is able to make the contribution required, together with a general discussion about</p>	<p>Review career guidance provided on HR website and consider co-location with other materials.</p> <p>Produce a dedicated web-page for research staff to enhance the</p>	Research and Enterprise Division	<p>Website by 1 August 2013.</p> <p>On-going</p>

		<p>personal/career development issues including promotion, and how these might be supported. The appraisal system applies equally to research staff as to teaching faculty, including those researchers on fixed-term contracts.</p> <p>Research Faculty Career guidelines are provide on the Human Resources website: http://www.sussex.ac.uk/humanresources/personnel/policies</p> <p>The Doctoral School offers a comprehensive suite of training courses based on Vitae's Researcher Development Framework and the careers service provides specific support to research staff.</p>	<p>communication of development opportunities.</p> <p>Continue to support and engage with the Research Staff Association in relation to the careers and employability agenda.</p>		
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C. Support and Career Development					
Concordat Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.					
no	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors	<p>Managers are required to discuss career development with employees during appraisal and encouraged to have regular informal discussions with staff about their work and development at other times, too.</p> <p>The University promotes a comprehensive range of training courses for research staff via the Doctoral School internal webpages. The training is mapped against Vitae's Researcher Development Framework.</p> <p>The Careers and Employability Centre provide a tailored service for research staff, including one to one consultations.</p>	<p>Review with the Research Staff Association the provision of training for Research Staff.</p> <p>Analyse the results of CROS 2013</p>	<p>Research and Enterprise Division</p> <p>Research and Enterprise Division</p>	<p>January 2014</p> <p>November 2013</p>
3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their	Researchers are eligible to apply for other posts within the University, whether other academic posts such as teaching faculty (e.g. lecturer, senior lecturer) and, if on a fixed-term contract that is due to expire, will be given priority over other staff or external applicants, where they meet the essential criteria for the post, as set out in the Redeployment Procedure.	Explore the feasibility of placements for Research Staff (c/f Wilson Review)	Research and Enterprise Division	November 2013

	<p>culture supports a broad-minded approach to researcher careers and that all career paths are valued equally</p>	<p>Researchers are also able to apply for promotion within the research faculty career path or the teaching faculty career path and the criteria for each are publicized on the website.</p> <p>Managers are required to discuss career development with employees during appraisal and encouraged to have regular informal discussions with staff about their work and development at other times, too.</p> <p>Whether Research Staff are staying in academia or thinking of moving out of Higher Education, there are dedicated web-pages for support available. In addition, all research staff at Sussex have access to individual careers assistance via the University's Careers and Employability Centre: http://www.sussex.ac.uk/careers/aboutus/researchstaff</p>	recommendation 16)		
3.3	<p>Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter</p>	<p>The University offers a range of well-attended staff development courses for research staff. These include programmes in practical skills such as Getting Research Funded, key professional information in areas such as Research Ethics, and more general skills such as Project Management. In addition, there are other courses run as open programmes which address behavioural skills for staff, such as assertiveness, confidence and influencing.</p> <p>Other researcher development events include: Advanced Presentation Skills (for Life Sciences and Physical Sciences); Creativity in Academic Writing (for Science Researchers); Impact and Research Communication Skills; Media Training for Researchers; and Writing for Publication. These workshops are aligned to the Researcher Development Framework, to assist participants to co-ordinate their CPD and career planning.</p> <p>The University also runs open coffee mornings for researchers on how to bid successfully for funding.</p>	<p>Continue to monitor and review portfolio of provision on an annual basis as part of the University's planning round.</p>	<p>Research and Enterprise Division, Academic Schools</p>	<p>Annual Monitoring, outcome reported to Research & Knowledge Exchange Committee each summer term.</p>

		<p>The University's Library provides one-to-one bespoke support for researchers in finding and using information, which can be arranged at a time to suit individual circumstances, as well as a range of group training sessions, including measuring research impact using bibliometrics which is particularly relevant for researchers in the sciences.</p> <p>The Sussex Research Hive is the Library's designated area for researchers, open to all research staff. It has private study areas, meeting rooms and space for information discussion and collaborative work, which provide the opportunity for researchers to feel more involved in the wider research community at the University.</p> <p>The University provides a wide range of professional development opportunities for researchers at different stages of their careers. See for example: http://www.sussex.ac.uk/staffdevelopment/opportunities http://www.sussex.ac.uk/doctorschool/internal/researchdev/ http://www.sussex.ac.uk/doctorschool/internal/researchdev/events/date</p> <p>Seminars and Workshops commissioned by the Doctoral School are mapped to Researcher Development Framework to raise awareness of the breadth of appropriate skills, and to facilitate CPD planning.</p> <p>A regular series of seminars and other events for researchers are organised by the Research Hive, based in the Library http://www.sussex.ac.uk/library/staff/research/seminarsandevents</p>			
3.4	All employers will wish to review how their staff can access professional, independent advice on career management in general,	The University provides a well structured range of interventions and other support systems to help researchers plan their career development. For example, the University's	Engage Research Staff Association in	Research and Enterprise	1 st August 2013

	<p>particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors</p>	<p>Careers and Employability Centre provides one hour, one-to-one consultations for researchers and, in 2012, facilitated a research staff development day, in collaboration with the new Research Staff Association. The University also organises regular seminars on a range of topics including careers in research which brings together researchers from all levels and subject areas to discuss common issues.</p> <p>In terms of researcher career support, the University benefits from the presence on campus of the Vitae South East regional Hub. Not only does this provide evidence of our commitment to Vitae's mission of "championing the personal, professional and career development of doctoral researchers and research staff"; the relationship has also enabled the University to host a number of Vitae events to develop and promote the careers of researchers, which have been of particular benefit to staff at Sussex. For example, in 2011-12 in collaboration with SE Hub, the University ran the Springboard women's development programme for 25 staff.</p> <p>The open coffee mornings for researchers also offer useful opportunities for informal networking.</p> <p>Specific support in relation to career development is set out in response to 3.8 below.</p>	<p>dialogue on improving the communication of the Sussex training and placement offer.</p> <p>Shared action with 3.2 above.</p>	Division	
3.5	<p>Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies</p>	<p>Researchers benefit from a number of clear systems to monitor their career development including: appraisal (see 2.3), pay review (see 2.5) and training and development courses (see 3.3) aligned with the nationally recognised Researcher Development Framework.</p>	Review CROS survey	Research and Enterprise Division	November 2013 (and each November in subsequent years)
3.6	Employers should provide a planned	An induction check list is provided via the University's Human	Additional	Research	1 st August

	induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development	Resources website and all new researchers are invited to a University-wide induction.	induction materials should be produced for research staff and contained within the new starter pack as well as being provided via the website and School offices. School (Research Staff Companion). Schools to review School specific induction materials provided to Research Staff (e.g. explaining how teaching opportunities can be accessed)	and Enterprise Division Academic Schools	2013 1 st August 2013
3.7	Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part	The Researcher Development Framework has been adopted by the university as the model for the articulation of broad researcher skills and for the analysis of CPD needs. A dedicated workshop introduces supervisors and PIs to the use of the RDF for training needs analysis, with their researchers http://www.sussex.ac.uk/tldu/events/tldevents/docss	Monitor through CROS and any relevant staff surveys.	Research and Enterprise Division	On-going, with specific recommendations fed into annual monitoring process in

	of the budget for a project, or to act as a mentor or advisor to other researchers and students	There is training available on project management http://www.sussex.ac.uk/staffdevelopment/opportunities/staffdevelopmentcourses/professionaldevelopment			3.3 above.
3.8	Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements	Whether Research Staff are staying in academia or thinking of moving out of Higher Education, there are dedicated web-pages for support available. In addition, all research staff at Sussex have access to individual careers assistance via the University's Careers and Employability Centre: http://www.sussex.ac.uk/careers/aboutus/researchstaff The University is also pursuing specific initiatives to support subsets of researchers, e.g. recently applying for an Athena Swan bronze award (result expected April 2013).	Produce a targeted publication (Research Staff Companion) to be included in new starter pack. Monitor through CROS Work towards Athena Swan silver award across all STEM Schools	Research and Enterprise Division Research and Enterprise Division Athena Swan working group/HR	1 st August 2013 November 2013 July 2014
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider	See above sections on appraisal processes and provision of University professional services departments.	Continue to monitor and review guidance documentation available on the HR website.	Human Resources	On-going, with review of guidance documentation completed by Research Committee meeting autumn 2013.

	audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices				
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C. Support and Career Development (continued...)

Concordat Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

No	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
4.1	Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career	<p>Human Resources provide the following guidance to researchers: https://www.sussex.ac.uk/webteam/gateway/file.php?name=guidelinesresearch.pdf&site=302</p> <p>Through the careers service and training needs analysis processes run by the University researchers are empowered to develop their own careers. Opportunities range from access to personality questionnaires (via the Careers and Employability Centre - http://www.sussex.ac.uk/careers/aboutus/researchstaff) to formal appraisal procedures.</p>	<p>Review CROS survey</p> <p>Continue to monitor careers training provision</p> <p>Design processes and procedures for 3 years post contract careers support for research staff</p>	<p>Research and Enterprise Division</p> <p>Careers and Employability Centre</p> <p>Careers and Employability Centre</p>	<p>Research and Knowledge Exchange Committee autumn 2013</p> <p>On-going, changes fed into annual review process mentioned in 3.3.</p> <p>Post-contract careers support policy and procedures agreed and operational by 31st July 2013.</p>
4.2	Employers will wish to ensure that	All Teaching and Learning Development events, including	Continue to	Human	On-going

	developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another	training on supervision of registered research students, are open to research staff. Events under the theme of enhancement and professional development in particular prepares staff for academic practice, including effective lecturing, academic advising, learning in labs, QA and QE, using your research in your teaching. http://www.sussex.ac.uk/tldu/events/tldevents/enh Formal training provision for teaching is aligned to the UK Professional Standards Framework and accredited by HE Academy. See section below for details of provision.	monitor uptake of training.	Resources	
4.3	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided	The Teaching and Learning Development Unit provides a range of training and support for staff with teaching or demonstrating responsibilities. A short Starting to Teach programme is mandatory for those with fewer than three years' previous teaching experience; there are two variations to meet the different needs of seminar tutors and demonstrators. http://www.sussex.ac.uk/tldu/events/at/stt New tutors have a mentor in their own School or department to provide an induction into local practices and subject-related support. Tutors are encouraged to continue from Starting to Teach to prepare an application for Associate status of the HE Academy (UKPSF standard descriptor 1) for which a supported pathway has been developed. http://www.sussex.ac.uk/tldu/awards/hea/ahea Tutors who have the opportunity to undertake more significant teaching roles can apply for Fellowship of the HE Academy (aligned to UKPSF standard descriptor 2) http://www.sussex.ac.uk/tldu/awards/hea/fhea or undertake the PG Certificate in Learning and Teaching in HE, which is also aligned to UKPSF standard descriptor 2 and confers FHEA status at point of successful completion. http://www.sussex.ac.uk/tldu/events/pgcert	Continue to monitor via Human Resources Committee	Human Resources	On-going

4.4	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees	The Doctoral School Committee has three Research Staff representatives: one from the Sciences, one from the Social Sciences and one from the Arts and Humanities. Over the past year the Doctoral School has supported the establishment of the Sussex Research Staff Association, which is consulted on research staff issues prior to formal committee meetings: www.sussex.ac.uk/doctorschool/internal/srsa	Ensure strong research staff representation is included in any future governance structures Analyse outcome of CROS.	PVC Research Research and Enterprise Division	On-going Reported to Research Committee in autumn after survey.
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement	Mentoring arrangements are in place to develop the teaching skills of research staff, as part of the Starting to Teach programme mentioned above. Research staff are encouraged to develop mentor relationships.	Identify best practice in research staff mentoring	Human Resources	July 2014

D. Researchers' Responsibilities

Concordat Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

No	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers	Research staff job descriptions and employee specifications for each grade of researcher clearly set out the key requirements of the posts and the criteria for job holders.	Continue to monitor via Human Resources Committee	Human Resources	On-going
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society	In addition to training and development courses offered by the University, a full range of research and knowledge exchange policies are available: http://www.sussex.ac.uk/staff/research/spg/research-policy	Develop a plan to encourage research staff to engage with entrepreneurial and knowledge	Research and Enterprise Division and Careers and Employability Centre	January 2014

	and economy as a whole		exchange activities. Consider local implementation of recommendation 16 of the Wilson Review.	Careers and Employability Centre	November 2013
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge	The University provides detailed information and training on research governance and research ethics: http://www.sussex.ac.uk/staff/research/spg/researchgovernance	Reviewed annually by Research Committee (via joint working group)	Research and Enterprise Division	On-going
5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position	See section 1.1	Monitor via CROS, with annual report to autumn Research and Knowledge Exchange Committee	Research and Enterprise Division	On-going
5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers.	Through the Doctoral School, Teaching and Learning Development Unit, Careers and Employability Centre and Staff Development Unit, a comprehensive range of development opportunities are provided. These are regularly promoted to researchers and Faculty. Research Staff are represented on the Doctoral School Committee which is responsible for reviewing the existing programme. Further informal input is sort through the relationship established between the Doctoral School and the Research Staff Association. The appraisal process provides the formal framework for the discussion of training and career development courses. A record	-	-	-

	Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events	of staff development opportunities undertaken and a booking system for courses is offered via a secure on-line system (Sussex Direct).			
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate	Clear guidelines on career management and development are available for research staff. Discussion of career development requirements is undertaken as part of the appraisal process.	See actions relating to paragraph 2.6	See actions relating to paragraph 2.6	See actions relating to paragraph 2.6

E. Diversity and Equality					
Concordat Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.					
no	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression	<p>The University has an Equality and Diversity Policy which clearly states that people [staff and registered students] will be treated solely on the basis of their abilities and potential, regardless of age, disability, gender reassignment, marriage or civil partnership, pregnancy or maternity, race (including colour, nationality, and ethnic or national origin), religion or belief, sex, sexual orientation, trade union membership or non-membership, socio-economic background, or any other inappropriate distinction. This policy is re-enforced through equality specific training (e.g. on putting equality law into practice and on cultural awareness) as well as through equality and diversity strands being embedded in other training and development courses (e.g. recruitment and selection, the management of fixed-term contracts).</p> <p>The University complies with the Public Sector Equality Duty</p>	Continue to monitor via Equality and Diversity Committee	Human Resources	On-going

		<p>and has published equality objectives and equality data on the University's website. Three of the University's equality objectives are to: achieve an Athena Swann bronze award for the University (plans include implementation of a scheme to support academic women returners from career breaks/maternity leave); increase the percentage of female professors from 22% to 26% and the percentage of female professional services staff at Grade 10 from 29% to 33% (plans include interventions aimed to foster female careers); and to undertake a further equal pay review across all of the University's grades with the aim of maintaining the University's current position, as confirmed in the equal pay review conducted in June 2011, which showed that the University was compliant with the Equality Act 2010 (formerly the Equal Pay Act). It should be noted that, previously, the University had in place specific schemes and action plans in relation to race, disability and gender, now replaced by the requirements of the Public Sector Equality Duty. Specific training on the Equality Act and the Public Sector Equality Duty has been developed and delivered.</p> <p>The University has an Equality and Diversity Committee chaired by an academic member of the Vice-Chancellor's Executive Group which sets and monitors policy and an Equality and Diversity Forum, also chaired by an academic member of the Vice-Chancellor's Executive Group which acts as both a consultative group and proposer of diversity initiatives.</p>			
6.2	As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds	The University advertises for researchers, other than where a particular researcher is named on a grant. The University's recruitment information clearly states its commitment to equality and diversity and managers are trained in recruitment and selection both in terms of the legislation and its practical application.	Continue to monitor via Equality and Diversity Committee, with statistics for research staff provided as part of the	Human Resources	On-going

			annual report to Research Committee.		
6.3	<p>It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</p>	<p>The University has committed to the development of a formal mentoring scheme for academic staff and a scheme for women returners to the workforce, both under the University's work towards achieving an Athena Swann bronze award. Additionally, the University has engaged an organisational development consultant to research the issues facing women at Sussex, with a particular commitment to engaging with academic staff. Her findings have only recently been reported (end of 2012), and a number of themes have been identified, some of which will be taken forward, for example, the need for more senior women role models and the need for a process by which female early career researchers can remain connected to their research while they are on maternity leave, where they so wish.</p> <p>The University has a policy on flexible working which is open to working parents and carers (see 6.4 and 6.5 below). Additionally, there is a childcare facility on campus, managed by an external provider, which is due to move into new premises on campus built by the University and in which the number of nursery and pre-school places available to staff and registered students will increase from 47 to 101 later this calendar year.</p> <p>The University's sports facilities also run camps and other activities for the children of staff, e.g. during the Easter vacation, to help parents balance childcare and work commitments.</p>	Continue to monitor via Human Resources Committee.	Human Resources	On-going
6.4	<p>Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave,</p>	<p>The University has a flexible working policy and procedure that allows working parents and carers (male and female) to request flexible working patterns to enable them to balance their home and work responsibilities. (Also see 6.5 below.) The University is seeking to introduce a "returners" scheme providing support to female academic staff on their return from maternity leave, and a working group has been</p>	<p>Continue to monitor</p> <p>Introduce returners scheme</p>	<p>Human Resources</p> <p>Athena Swan working</p>	<p>On-going</p> <p>31 July 2015</p>

	have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career	established to develop the detail of such a scheme. The University’s HR staff are regularly updated and trained in changes to equality legislation and ensure it is implemented into University policy and communicated to managers, e.g. the increase in parental leave which comes into force in March 2013.		group & Human Resources	
6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently	The University’s policy and procedure on flexible working clearly state the process to be followed when an employee requests to work flexibly, to ensure fair and consistent consideration of such requests. There is no place within the policy framework for “instant refusals”. HR Advisers are based in Schools and provide detailed guidance to managers in relation to all requests for flexible working. A significant number of women who take maternity leave request to return to work on a part-time basis and, in the vast majority of cases, such requests are accommodated.	Continue to monitor via Human Resources Committee	Human Resources	On-going
6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave	The University has in place maternity, paternity and adoption provision that represents a significant enhancement on statutory entitlement. A researcher on maternity, paternity or adoption leave would not be treated differently to a non-research member of staff in terms of their entitlement and neither would taking such leave be detrimental to a research project, e.g. which would be extended and/or the member of staff temporarily replaced, depending on the particular circumstances.	Continue to monitor via Human Resources Committee	Human Resources	On-going
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on	The University seeks to have a balanced workforce and has set itself a particular objective in relation to the number of women in senior positions as there are fewer female staff in senior grades than in lower ones. The Vice-Chancellor has an Executive Group comprising seven members of whom two are female, including the Deputy Vice-Chancellor. There is a wider Senior Management Group, which comprises the Executive, as above, plus 12 Heads of School of	Continue to monitor via Human Resources Committee and Equality and Diversity Committee	Human Resources	On-going

	<p>selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below</p>	<p>whom two are females. Prior to the appointment of the second female head of school in October 2012 (to the School of Engineering and Informatics), there was one female head of school (in Arts/Humanities). Prior to 2009/10, there were no female heads of school. Although progress has been made the University recognises that there is much work to be done and interventions such as the University's leadership programme which is aimed at fostering and developing future leaders are to this end. The University ensures that there is a gender balance on the Leadership Programme which is a year-long programme, run in conjunction with Ashridge Leadership Consulting, and is about to commence with its fourth cohort of academic and professional services staff.</p> <p>As stated above, the University has a publically stated objective to increase the number of women in senior positions. Within the professoriate, the University currently has 40 female professors out of a total professoriate of 131 staff, i.e. 23.4% of the University's professors are female. The equality objective set in 2012 for a period of four years has already been met: the challenge now is to continue to increase the number of female professors over the next three years.</p> <p>At the entry grades to academic research posts (grade 6) females represent 54% of the relevant staff. This decreases at grades 7 and 8 to 42% and at grade 9 to 37%; at grade 10, the professorial grade, females currently represent 23.4% of the professoriate.</p> <p>The University already has in place recruitment and selection and academic promotion processes that are equality compliant; however, it will be special initiatives that will accelerate the promotion of women to more senior positions, such as the development of a "returners" scheme for women after career breaks/maternity leave; a mentoring scheme for female academics; and other interventions designed to support and foster women's careers in academia.</p>			
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		<p>implementation of this procedure.</p> <p>The University has a flexible working policy that is open to working parents and carers to help them balance home and work commitments.</p> <p>Managers are trained in equality and diversity, including on eliminating direct and indirect discrimination, a recent example being in relation to Research Excellence Framework.</p>			
6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties	The University has a published Policy on the Prevention of Harassment and Bullying and also a published Grievance Procedure. In the former, it is clearly stated that, unless a complaint of harassment can be shown to be based on knowingly false information or that it was made with malicious intent, the complainant will suffer no loss or detriment as a result of having made his/her complaint. In the latter, it is clearly stated that an employee who raises a grievance will not be treated less favourably than other members of staff as a result of raising a grievance.	Continue to monitor via Human Resources Committee	Human Resources	On-going
6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers	The University signed up to the Athena Swann Charter in 2012 and made its submission for a University bronze award in November 2012. The outcome is expected in April 2013. The University specifically included a member of research staff and registered research students on the Athena Swann self assessment team. The University has publically committed to achieving at least one departmental silver award by 2016.	University to secure Athena SWAN bronze award. All Academic Schools in SET discipline areas to work towards the Athena SWAN silver award.	PVC Human Resources, Heads of School in STEM subjects	April 2013 (Bronze outcome) and ongoing.

F. Implementation and Review

Concordat 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.

no	Concordat Paragraph	Existing evidence of compliance	Actions required	Lead	Timeline
7.1	The implementation of the Concordat's	The integration of researchers into the mainstream	University Gap	Research	March 2013

	principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	management and career development structures is described in previous sections. This has been overseen by the Doctoral School Committee (a sub-committee of Research and Enterprise Committee). To enhance monitoring, a joint working group drawn directly from Research and Enterprise Committee and HR Committee is proposed.	Analysis document posted on Research Staff website. Establish Joint working group (see 1.3) to monitor progress	and Enterprise PVC Research and Enterprise	31 st July 2013
7.2	The signatories agree: a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS) e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of	University to mirror, as appropriate, actions of signatories e.g. benching performance.	Doctoral School to run CROS (2013) and PIRLS (from 2015) survey.	Research and Enterprise	During 1 March to 31 May 2013

	researchers and employers (both outside and within the HE sector)				
7.3	The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat	Contractual issues from funders in relation to the revised Concordat to be reported to the aforementioned joint working group (see 1.3).	Establish Joint working group (see 1.3)	PVC Research	31 st July 2013
7.4	The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders	The University currently hosts the Vitae South-East regional hub and will continue to do so until March 2015. This has and will continue to be a key conduit for sharing knowledge and engaging in initiatives/drawing down best practice from across the sector.	Joint working group (see 1.3) to receive proposals for implementing best practice or engaging with new initiatives.	PVC Research	31 st July 2013
7.5	Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact	The University is developing its data management systems and reporting capability to enhance further its monitoring of equality and diversity information. Good practice is already in place see paragraph 6.2.	Continue to monitor via Equality and Diversity Committee, data provided to research staff working group	Human Resources	On-going

Annex B: University of Sussex response to Concordat Survey

Questions include:

Q2 How many research staff does your institution employ?

Q3 Which of the following has lead responsibility for ensuring that the institution implements the principles of the Concordat?

Q4 Which of the following have direct responsibility for implementing the Concordat across different parts of your institution?

Q16 Which of the following activities has your institution undertaken to raise awareness among research staff, support staff, research managers and the leadership of your institution?

Q9 What mechanisms have been put in place to enable your institution to monitor its implementation of the Concordat?

Q10 Does your institution have a strategy for managing and supporting research staff? "(This could be free-standing or contained within an institutional Human Resources or Research Strategy)"

Q11 Does your institution have a specific strategy for the implementation of the Concordat?

Q12 Has your institution undertaken, or does it plan to undertake, a self-audit or internal analysis to examine how far your policy and practice align with the principles set out in the Concordat? Has your institution published, or does it plan to publish, its self-audit or internal analysis? Has your institution published, or does it plan to publish, its implementation strategy?

Q19 Has your institution provided any entries on the Vitae Database of Practice (<http://www.vitae.ac.uk/policy-practice/34837/Database-of-practice.html>) that relate to strategic or practical ways of implementing the principles of the Concordat?

Q20 The Charter states that "Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement." To what extent does policy in your institution meet this requirement?

Q21 To what extent has your institution "develop[ed] strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s)"?

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A. Number of research staff: ~250 (January 2013)

B. Lead responsibility for implementing the principles of the Concordat: Pro-Vice Chancellor (Research)

C. All groups with a responsibility for implementing the Concordat across the institution: [Q4]

**Governance - Research and Knowledge Exchange Committee (on behalf of Senate), Human Resources Committee, Management - Joint Research Committee and Human Resources Committee working group
Operational – Academic Schools, Research and Enterprise Division, Human Resources Division**

D. What has your institution done to support the implementation? [Q16]

Established a Research Staff Association (2012). Engaged all stakeholders, including institutional managers, principal investigators/line managers, research staff and professional service staff on the group responsible for putting forward a submission for the European Commission's HR Excellence in Research Award. The Concordat is highlighted during relevant training activities for research staff and during staff induction. The University is currently in the process of implementing its HR Excellence in Research action plan.

E. Mechanisms in place to monitor the implementation of the Concordat: [Q9]

A specific working group has been established to monitor the implementation of the Concordat. Formal updates will be reported to the Research Committee and ongoing oversight by PVC Research as Chair of that Committee.

F. Does your institution have a published strategy for supporting research staff and/or a strategy for the implementation of the Concordat? When was it written? [Q10/11]

Yes, this is set out in the University's gap analysis and action plan developed for the European Commission's HR Excellence in Research Award.

G. Has the institution undertaken a gap analysis? [Q12]

Yes

H. Examples of practice on the Vitae database of practice:

No.

I. IP, rights and authorship [Q21, Q22]

The Charter states that "Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement." To what extent does policy in your institution meet this requirement?

The University has an intellectual property policy (Policy on Exploitation and Commercialisation of Intellectual Property (August 2010)) which sets out the rights and circumstances when IP belongs to researchers, the University or to external parties.

To what extent has your institution "develop[ed] strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s)"?

Partially, with work on-going in this area.