CITY UNIVERSITY LONDON

European Commission HR Excellence in Research Award: 4-year review of progress on the implementation of the Action Plan

Context
The University gained the European Commission's HR Excellence in Research Award in May 2012.

An internal assessment took place in 2014 to evaluate progress two years after having gained the award. The revised report dating from July 2014 is presented together with the original action plan as part of the evidence for the 4-year external assessment.

The present four-year report presents progress made and actions taken in the past 4 years. A new action plan covering the coming 2 years is appended to this document.

Internal evaluation
Implementation of the HR Excellence in Research Award has been coordinated through the Research Office during the past 4 years. An internal 2-year review was conducted in April/May 2014 led by the Director of the University Research Office along with senior colleagues from Human Resources, Organisational Development and the Pro-Vice Chancellor (Research & Enterprise). The report together with the new 2-year action plan was reviewed and approved at a University Executive meeting in May 2014.

The present 4-year evaluation report and the accompanying action plan for the next two years were prepared by the Head of Research Support Services, previously the Head of Research Grants and Contracts, after consultation with senior colleagues in Human Resources and Organisational Development. The report and the action plan were reviewed by the Director of Research & Enterprise and the Pro-Vice Chancellor (Research and Enterprise). The evaluation was conducted as a desk based review to collate factual information on procedures and improvements in place and their application at University level over the past 4-years, with focus on the past two years. The author of the report has facilitated research staff employment on externally funded projects over the period in review. About three quarters of research staff appointments are made on externally funded projects.

A lengthy process of reorganising research support operations in general and the departure of key personnel who drove the original implementation of the HR Excellence award affected the last two years of the period under review. A newly structured Research & Enterprise Office started operations with 1st August 2016, albeit with transitional arrangements. As the old University Research Office had a leading role in the implementation of the Concordat an organisational change of that magnitude naturally had an impact on the realisation of specific action points. The new structure was only confirmed recently. It did not appear appropriate to develop a definitive action plan before the new structure was confirmed so to make sure that key personnel in the new structure are involved in the development of the plan that will need to be implemented by them. The current approach of a desk based review and formulation of the Action Plan in late July/August best served this need. The timing did not allow the Action Plan to be reviewed by the Research & Enterprise Committee and the University Research Executive. Representation from research staff is included in the composition of the University Research and Enterprise Committee. Within the new structure the Action Plan will be discussed with relevant committees in the autumn and form an integral part of the service proposition to be formulated for the whole University. The restructure also strengthens the cooperation between Research Support Services and Human Resources with a focus on University-wide coherent policies and practices.

Overview of progress
Both the original Action Plan drawn up for the Concordat and the 2-year review report featured two areas of primary activity: the introduction of new terms and conditions of employment for research staff
along with associated procedures; and the provisions of the University’s Research and Enterprise Development Programme.

(a) **Research staff employment (Actions on Concordat Principle A-D)**

The University is committed to the new employment conditions for research staff introduced in August 2012. The majority of research staff at the time chose to transition to the new terms and conditions. The new terms and conditions include parity with academic staff in annual leave and sick leave and the introduction of continuing contracts. The terms of annual appraisal were revised to include consideration of career development needs.

Progress has been made in disseminating the new policies and procedures since the 2-year review report. Guidance on research staff employment matters, the policy on grading for research staff and principles and procedures for bridging research are now published on the internal Human Resources web portal. A separate section about research appointments has been created which is accessible from the main page of the web portal. The section had 154 unique viewings within the past 15 months. The guidance notes were accessed 60 times. The policy on grading was accessed 43 times. For comparison, about 20-30 new appointments are made per year. The documentation about the mechanism for researchers was only accessed 18 times.

The guidance for the appointment of research staff are cross-referenced in the recruitment policy to ensure visibility. Templates for costing research grant applications reference the key principles on research staff grading. Recruitment forms collate specific information on research appointments so that line management is assigned correctly and continuing contracts can be managed effectively.

The appraisal forms have been updated to reference academic and research staff. The same form is used for academic and research staff. This ensures that consideration of career development is part of the appraisal for research staff. The process is designed to link performance review and personal development. Comprehensive guidance on the appraisal process is available on the intranet and was last updated for the academic year 2015/16. Organisational Development offers training sessions for appraisers and appraisees.

The Action Plan foresaw an internal audit and follow-up review of processes and procedures to be undertaken in 2015. Scoping was done for the audit but as it would have coincided with the restructuring process the view was taken by the Pro-Vice Chancellor (Research & Enterprise) to delay the audit until after the new structure was in place. The approach of a desk based review for the preparation of the current report sought to partly fill this gap.

The University has about 130 staff classified under a research staff category on the system with around 85 of those staff members on research-only contracts. The majority of those researchers are placed on permanent contracts as per the new terms and conditions. But since the switch to the new terms and conditions the percentage of new starters being placed on fixed terms contracts has increased from 8% to 26%. This includes staff categorised as researchers due to their job titles but not on research-only contracts. For the purpose of this review only staff on research-only contracts are relevant and to be considered. Looking at the year 2015/16 the situation is as follows: of 32 new starters 6 are placed on fixed term contracts. Two cases clearly fulfil the exceptional circumstances listed in the guidance for research staff appointments. The remaining cases are less clear-cut but relate to staff replacement on research grants for a shorter duration. This snapshot of the current situation shows that 4 years on from introducing the new terms and conditions a wider consensus on how to interpret the exceptional circumstances of using fixed term contracts may be needed.

But overall the use of the new terms and conditions is clearly evidenced. HR staff are briefed on the application of the new terms and conditions. A centralised HR administration team issuing contracts guarantees University-wide consistency. The central HR team also follows up on the end date of funding arrangements for externally funded positions and alerts line managers in time to discuss the
situation with the researcher and if needed take steps to initiate redundancy. The outcome of discussions is followed up by the central HR team.

The provision to upgrade research staff from Grade 5 to Grade 6 on completion of their PhD is also practised with clear evidence that line management staff engage and initiate the process. The process for bridging funding is supported by the use of research sustainability funds which make some of the indirect cost leveraged from grant income directly available for the use by Principal Investigators. All schools have policies of allocating such funds. Schools with a larger number of researchers have developed support structures which pool some of the funds into school or research group budgets to ensure wider support.

Data on the completion of appraisal by research staff are not yet centrally collated as reports refer to academic and research staff as one group. Reports on the completion of appraisals are presented to the University Executive Committee. The University is rolling out a new appraisal system which would allow easier capture of data by staff group. Surveying the application of the appraisal process among research staff will be part of the engagement strategy with research staff proposed in the next 2-year Action Plan.

It was envisaged that staff surveys would provide more material to demonstrate measures of success. Two more staff surveys have taken place since the two-year report, a pulse survey in 2014 and a survey on gender issues in 2015. The results of the pulse survey are not broken down by staff category. The purpose of the pulse survey was to gauge improvement of the overall staff engagement and satisfaction and give a quick snapshot of the situation. A comparison with previous surveys is not possible. The results for the gender survey summarise results from academic and research staff without detailed breakdown. A substantial piece of work on gender equality issues is taking place as part of a renewed application for an Athena SWAN Bronze award. As the University ran two staff surveys in the past two-year period and the number of staff participating in the previous round of CROS was small the Pro-Vice Chancellor decided not to participate in CROS and PRILS 2015.

(b) Research & Enterprise Development Programme (Actions on Concordat Principle C-D)
Over the past 4 years the centrally organised Research and Enterprise Development Programme has stalled due to lack of resource and changes in the Organisational Development team. The situation has not changed much since the 2-year report. 4 events on funding opportunities and grant preparation, geared mainly towards academic staff but open to researchers, were held in 2014/15. 8 similar, discipline related events were run in the past two years. Bigger events were attended on average by around 70 people for the bigger events and smaller events by 25-30 people for discipline specific events. A number of workshops were also organised by Schools. The School of Health Sciences for example offered a workshop on grant funding for postgraduate researchers, attended by 5 to 10 researchers and the Business School ran workshops on ‘Your Future Academic Career’ and ‘Doing Consultancy as an Academic’. 5 staff had specialised media training and 20 staff received funds to attend a workshop organised by London Higher. To put these figures into perspective, 177 staff engaged in grant applications in 2014/15 and 121 in 2015/16. The academic year 2014/15 was dedicated to a discussion about reviving the training programme and the scope of such a programme. The work was channelled through a strategic workstream project linked to the University’s Strategic Plan and involved Associate Deans Research, research support staff from across the University as well as Organisational Development. A basic training schedule was presented incorporating many elements from the Researcher Development Framework published by Vitae. The training schedule is linked to the appraisal information on the internal staff hub. Interest from the academic and research community has been low. Due to the lack of interest, insufficient resource for advertising events and the reorganisation of Research & Enterprise the agreed training schedule has not yet started operation. As of August 2016 the University-wide discussion group on researcher training provided to staff and students has been revived to exchange information and align provision of support across the spectrum.
Next steps and focus for the next two years

(a) Research staff employment and development (Actions on Concordat Principle A-D)

The administrative support in Human Resources will remain the key element in securing the continued consistent application of the revised terms and conditions. Focus for the coming years will shift to engaging academic line managers better with their role in the process. Around 98 academic staff run projects which include management of research staff out of 730 academic staff on Teaching and Research contracts. Briefing events will be organised by the Research Support Services team for Principal Investigators (PIs) who have line management responsibility. These briefing events will be developed with input from Human Resources staff and with a view to make them obligatory for Principal Investigators who for the first time take on line management responsibility. The structure of such briefing events as well as guidelines for research appointments and operational processes will be kept under revision in the light of feedback received from such events.

The Research Support Services team will also look at establishing an exchange and training forum for researchers across the University to stimulate exchange between them, deliver training and career development in addition to subject specific seminars and training events within their departments and research groups. Professional advice on how to start up and structure such a forum will be sought from Organisational Development. Events will be framed around the Researcher Development Framework. As City University does not have a research staff association which limits direct engagement with researchers. Such a forum would also serve as a platform for surveys to evaluate existing practice on HR policies and procedures.

Training on funding and bid writing will be resumed at the level of previous years within an aim to reshape generic workshops into funder focussed, shorter events with participation from funding bodies. The Research Support Services team will work with colleagues from the Knowledge Transfer and Policy & Strategy teams within the Research & Enterprise Office to create a wide and inclusive training programme. Input from other professional service departments will be sought to cover areas such as publications and copyright matters, researcher integrity, authorship & attribution, publicity, engagement with the media, financial and employment matters.

As part of the new structure service level agreements will be developed with all Schools within the University. The development programme is one of the items that will be considered.

Measures of success will include production of a process map for the facilitation between Research Support Services and Human Resources and updated guidelines for research appointments. We will hold at least 5 briefing events for PIs with the intention to have at least 80% of PIs with line management responsibility attend one of the events.

Without any previous data on how to evaluate success we would consider it a success to have 3 lunch-time events to create a researcher forum and half of the research staff attending one of the events.

Any survey results themselves will be evaluated and compared to results mentioned in previous reports. It would be a success to see at least a small improvement in the response rate overall to a previous response rate in CROS.

We will evaluate feedback from all events. Success would be to keep previous attendance levels at workshops.
Annex 1

The Concordat to Support the Career Development of Researchers – implementation at City University London

Action Plan as submitted in 2012 with 2014 and 2016 updates incorporated

The development of the University's research environment to support our researchers in helping to achieve the University vision takes account of all of these groups but, in line with the key focus of the Concordat, a particular strand of work has been undertaken to address the needs of our research staff. This document sets out what has been achieved to date and the actions which are still required for the full implementation of the Concordat.

Concordat Action Plan development and implementation

A gap analysis against the seven Concordat principles was carried out in late 2011 by the Director of the University Research Office and the Leadership and Staff Development Adviser from the Leadership and Staff Development Unit which forms part of the Human Resources Department. The analysis consisted of a review of current policies and practices relating to Research Staff, building on work previously undertaken by the University Concordat Committee which led to the changes to Research Staff terms and conditions of employment which have recently been agreed. The results of recent surveys (CROS 2010, the University Staff Survey 2011 and PIRLS 2011) were also taken into account with relevant actions incorporated into the plan. Colleagues from the University's Researcher Development Group, which oversees the coordination of training and development for researchers at City and comprises staff from the areas of the University responsible for the delivery of training activities, also gave their input.

A draft action plan was produced highlighting existing evidence of compliance and suggesting actions required to reach full implementation of the Concordat. This draft plan was first considered by the University Research Committee, which is chaired by the Deputy Vice-Chancellor (Research and International) and whose membership includes the Associate Deans for Research of each School along with additional researchers and a doctoral student representative, providing an institution-wide perspective. The draft plan was also sent to local University and College Union (UCU) representatives with an invitation to comment. It was considered and approved by the University Executive Team (UET), which is chaired by the Vice-Chancellor with members including the Deputy and Pro Vice-Chancellors, Director of Human Resources and Chief Financial Officer, prior to presentation in its final form to the University Senate meeting held in March 2012.

The Director of the University Research Office and the Leadership and Staff Development Adviser from the Leadership and Staff Development Unit will be responsible to the Deputy Vice-Chancellor (Research and International) for ensuring that the action plan is taken forward and completed. In addition to specific actions identified in the plan and existing University annual monitoring and review mechanisms, a full review of the impact of the changes recently agreed to Research Staff terms and conditions and associated policies and practices will be undertaken during 2013/14. This will include consultation with research staff on their experiences and will also draw on the outcomes of CROS 2013. The outcome of the review will be reported to the committees identified above.

July 2016 update:

An annotated version of the Action Plan is provided below indicating progress to date and further actions to be taken in the light of the four-year review reported in the first part of this document.

The Pro Vice-Chancellor (Research and Enterprise) now has responsibility in this area in place of the Deputy Vice-Chancellor (Research and International) indicated above. The University Research Committee has been reconstituted as the Research and Enterprise Committee. Referencing below reflects these changes.
A. Recruitment and Selection

Principle 1 - Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

Existing Evidence of Compliance

Our commitment to research excellence is reinforced through our recruitment, appraisal and promotion processes. We recognise our staff as being fundamental to our success. A strategic and professional approach to recruitment processes helps enable the University to attract and appoint staff with the necessary skills and attributes to fulfil our strategic aims, and support the University’s values. We are committed to ensuring that the recruitment and selection of staff is conducted in a manner that is systematic, efficient and effective and promotes equality of opportunity.

The University has clear Recruitment and Selection Policy and Procedures which apply to all categories of staff. Guidance on the composition and expertise of selection committee members is provided; this outlines that they should reflect diversity. All employees involved in the recruitment process, and in particular Chairs of selection committees, should ensure that they have appropriate training by attending the University’s training on Recruitment and Selection and other appropriate equality and diversity courses. Members of the Human Resources (HR) team provide ongoing support and guidance on recruitment and selection. Mechanisms and guidance are in place on providing unsuccessful interviewed candidates with appropriate feedback to allow them to be more successful in the future.

The University is committed to equality of opportunity, has an Equality and Diversity Strategy and engages in workforce equality monitoring.

A full review of Research Staff terms and conditions was undertaken in 2011 to provide greater clarity in the employment experience of this group of staff, while achieving as much consistency with the Academic Staff terms and conditions as possible. Discussions between UCU and University management were successfully concluded in February 2012 and the new terms and conditions were introduced from 1 August 2012. The new arrangements create parity in annual leave and sickness entitlements while staff appointed to Research Staff terms and conditions will normally be employed on a continuing contract rather than fixed-term.

Period 2012-16 update: New policies and procedures were implemented in relation to new Research Staff terms and conditions. Updated guidance was disseminated. Policy and procedure of research appointments is now displayed on the HR webpages in separate section. A review of the operation of support was undertaken as part of writing this report

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<tr>
<td>1 The University Strategic Plan period 2012-2016 is coming to an end. A discussion on the University’s next Vision &amp; Strategy 2026 has been underway over the past year leading to the production of a first draft. The University had adopted a process that gave all staff the ability to raise their voice and feed back to the Strategy &amp; Planning team through social media groups, staff meetings. Several engagement sessions open to all staff were held. Feedback from those sessions was incorporated in the draft visions document and made available on the staff web pages.</td>
<td>Vice-Chancellor</td>
<td>Ongoing with final draft to be published shortly</td>
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<td>2 Policy and procedures: With the change in structure in the Research &amp; Enterprise Office a new process of operation needs to be developed and all Research Support Services staff needs to be briefed on the agenda of the Concordat. Briefing sessions for Principal Investigators to be arranged</td>
<td>Research &amp; Enterprise Office with Human Resources and Organisational Development</td>
<td>Processes to be worked out in September/October 2016. Staff briefings are more likely to start in 2017 when all vacancies have been filled and run until May 2017, with a review of success in July 2017</td>
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<td>3 Establishing an exchange and training forum for researchers across the University for dissemination of policy and procedure, delivery of non-discipline specific career development</td>
<td>Research &amp; Enterprise Office with and Organisational Development</td>
<td>Discussion about feasibility in December 2016. Events to run April to November 2017</td>
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B. Recognition and Value
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.

Existing Evidence of Compliance

The outcomes of the review of Research Staff terms and conditions will contribute to consolidating the University’s commitment to its researchers. These include automatic progression through the salary grades at certain levels in parallel with academic staff and the establishment of a clear process for re-grading and promotion beyond this. The introduction of continuing employment contracts as the norm, supported by robust procedures to review the future of posts where funding is coming to an end, will further enhance the employment position of our research staff. The University provides a Policy and Guidelines on the Equitable treatment of fixed-term staff. Appraisal procedures are in place for all staff; for research staff there is supplementary guidance, embedded in the revised terms and conditions, which indicates that the annual review process should address both project performance and career development needs.

A broad Research and Enterprise Development programme is in place which seeks to meet the needs of all researchers. Additional external opportunities exist as well as access to online resources e.g. Learning Zone (an online management development toolkit); Epigeum modules and an online resource to support the leadership development of Principal Investigators.

Period 2012-16 update: Guidance notes for Schools and Human Resources on the lifecycle of research have been produced and implemented. All Schools now have mechanisms for considering bridging funding for researchers between appointments. Documentation is on the HR webpages. The academic promotion policy and procedures have been updated to reference access to promotion procedures for Reader and Professor for research staff. The email reminders from HR to School academic managers and incorporated in annual email on salary review in 2014/15 referenced re-grading options for research staff on other grades.

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<td>Review of existing practice and impact of procedures on research staff through direct engagement with researchers in the exchange forum to be created</td>
<td>University Research Office with Human Resources and Organisational Development</td>
<td>Events to run April to November 2017. Survey to take place in January 2018.</td>
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C. Support and Career Development

Principle 3 – Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

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

Existing Evidence of Compliance

Research staff can access a wide range of development opportunities available to staff including provision related to transferable skills, educational delivery and enterprise. Specialist research skills programmes are offered as part of the Research and Enterprise Development Programme. The University also supports colleagues to attend external events where appropriate. The Researcher Development Group, chaired by the Director of the University Research Office, meets to discuss and coordinate the research training and development provision at the University. 86.6% of respondents to the City CROS 2010 survey indicated that they felt that they had equal access to training and development opportunities along with other staff; 93% of respondents agreed with this statement in CROS 2013. 86.6% also responded that they were encouraged to engage in personal and career development in 2010; the equivalent figure in 2013 was 80%.

There are clear induction, mentoring and appraisal processes for all staff and appropriate training and support for these is offered. A dedicated research staff section in the Online Corporate Induction addresses some of the particular elements of a research staff role and the revised academic induction procedure includes a session on research strategy and support provided for academic and research staff. The Researcher Development Framework is referenced in the appraisal paperwork to aid career development discussions. Appraisal participation is monitored annually across the University. A corporate Training Needs Analysis from appraisal returns is reviewed annually to inform the development of the In-house training and development programme.
The University provides development and education for teaching for researchers and PhD students where appropriate to their role. Peer review of teaching for development is also available.

Issues relating to researcher development are highlighted and discussed at the University Research and Enterprise Committee whose membership includes the Associate Dean for Research for each School. Research staff are included on mailing lists such as the city-academics role account, all-staff and departmental lists ensuring that they receive communications along with other staff and have an opportunity to feed into various consultations.

**Period 2012-16 update:** A staff needs analysis was carried out in 2014 but due to lack of staff resource the outcome was not taken forward. The existing training provision was revised in 2014/15. A schedule of training sessions was developed as part of a strategic workstream project with the involvement of stakeholders from across the University. The schedule incorporates elements from the Researcher Development Framework. The issue of staff resource was not satisfactorily resolved in the period which contributed to a temporary stalling of the centrally organised programme. The CROS survey was carried out in 2013 and analysed. A decision was taken not to participate in CROS 2015. The internal webpages have been revamped. A new Staff hub was introduced in 2016 featuring an easily accessible information section on all staff training and development offers across the University. An academic induction checklist was produced and a report on its operation presented to the University Research & Enterprise Committee but no further specific action was identified. The original Researcher Development Group was reconvened in August 2016.

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<td>5  Further development of detailed provisions for the revised schedule of the Research &amp; Enterprise Development Programme: decision on the format of the training to be delivered. Some material may be delivered through online provision.</td>
<td>Research and Enterprise Office, coordinated by the Head of Research Support Services, in cooperation with other Professional Service departments</td>
<td>Start in September 2016 with ongoing work throughout the next two years to expand provision. A first set of workshops to run January 2017. Review of events in July 2017.</td>
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<td>7  Dissemination of Development Programme information through the webpages and advertising opportunities for development through membership of Vitae</td>
<td>Research and Enterprise Office, coordinated by the Head of Research Support Services, in cooperation with Information Services and Organisational Development</td>
<td>Start in September 2016 with ongoing work throughout the next two years to expand provision. A first set of workshops to run January 2017. Review of events in July 2017.</td>
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<td>8  Establishing an exchange and training forum for researchers, see 3</td>
<td>Research and Enterprise Office, coordinated by the Head of Research Support Services, in cooperation with Organisational Development</td>
<td>Discussion about feasibility in December 2016 Events to run from April to November 2017.</td>
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<td>9  Conducting a survey among research staff to gain a better picture of applied practice in relation to career development, use of appraisal system and awareness of terms and conditions: survey either internally or through CROS if applicable within the time frame</td>
<td>Research and Enterprise Office, coordinated by the Head of Research Support Services, in cooperation with Organisational Development</td>
<td>Planned for January 2018</td>
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**D. Researchers’ Responsibilities**

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

**Existing Evidence of Compliance**

As the University for business and the professions, City University London is committed to encouraging staff to engage with the professional development, consultancy, enterprise and entrepreneurship opportunities arising from their research where appropriate. The University Enterprise Office offers commercialisation advice and training to support colleagues with these activities.
The City University Framework for Good Practice in Research and the framework for delegated authority with regard to research ethics provide staff with information to assist them with their responsibility to conduct and disseminate research results in an honest and ethical manner. This is kept under review in the context of external developments including compliance with the more recent Concordat to support research integrity.

Appraisal procedures are in place for all staff; for research staff there is supplementary guidance, embedded in the terms and conditions, which indicates that the annual review process should address both project performance and career development needs. Part of the appraisal process is to develop and agree a training and development plan. Ongoing tracking of objectives is recommended through regular one-to-ones which should also include development discussions when appropriate. A Template for Tracking Progress against objectives is provided for this process.

The University operates a Mentoring Scheme for Academic and Research Staff. Appropriate training and support for mentoring is available to maximise the benefit of such relationships.

Development opportunities open to research staff are advertised on the staff intranet and a variety of marketing methods are employed to ensure that staff are aware of the activities and development opportunities open to them.

Period 2012-16 update: A staff needs analysis was carried out in 2014 but due to lack of staff resource the outcome was not taken forward. The existing training provision was revised in 2014/15. A schedule of training sessions was developed as part of a strategic workstream project with the involvement of stakeholders from across the University. The schedule incorporates elements from the Researcher Development Framework. The issue of staff resource was not satisfactorily resolved in the period which contributed to a temporary stalling of the centrally organised programme. The CROS survey was carried out in 2013 and analysed. A decision was taken not to participate in CROS 2015. The internal webpages have been revamped. A new Staff hub was introduced in 2016 featuring an easily accessible information section on all staff training and development offers across the University. An academic induction checklist was produced and a report on its operation presented to the University Research & Enterprise Committee but no further specific action was identified.

The original Researcher Development Group was reconvened in August 2016.

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E. Diversity and Equality

Principle 6 – Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

Existing Evidence of Compliance

The University’s Equality and Diversity Strategy and Single Equality Scheme outline our commitment to creating a culture in which diversity and equality of opportunity are promoted actively and in which unlawful discrimination is not tolerated. We are also committed to building and maintaining an environment which values the diversity of our students, staff and wider community. We currently engage in workforce monitoring as an essential way of tackling inequality and discrimination as this allows us to see whether our policy and procedures are proving a barrier to staff employment, training or progression and if so to take steps to remedy this. 78.6% of respondents to City CROS 2010 indicated that they felt the institution is committed to equality and diversity with the majority of respondents also agreeing with this statement in CROS 2013.

Our commitment to research excellence is reinforced through our recruitment, appraisal and promotion processes. We are committed to ensuring that the recruitment and selection of staff is conducted in a manner that is systematic, efficient and effective and promotes equality of opportunity. By providing staff with a range of benefits and flexible working practices we seek to enable them to balance work and home life. 86.7% of respondents to City CROS 2010 indicated that they were satisfied with their work-life balance; 87% of respondents agreed with this statement in CROS 2013.

The University has a clear grievance procedure that allows for discrimination, bullying and harassment to be addressed without adversely affecting the careers of innocent parties.

Period 2012-16 update: The University joined Athena Swan early in 2014. A first application for Bronze membership made in 2014 failed. The first application was supported through the Athena Swan Working Group. An Action Plan was developed which addressed gender equality on a university-wide basis. It also adopted a broader remit on wider equality issues including ethnicity and disability. A number of points of particular relevance to researchers were included, as noted in the University’s published Equality Impact Assessment Report on the Research Excellence Framework 2014. In July 2015 a Gender Equality Working Group was established to take forward further strategic planning around gender equality initiatives for the University alongside preparation for an Athena SWAN Bronze award submission. The Gender Equality Working Group (GEWG) is sponsored at the highest level by the Pro-Vice Chancellor Richard Verrall. Membership of the group is broad and inclusive to build support and buy-in from stakeholders across the University. It includes
representation from research staff and post-graduate research students. The GEWG has its own web presence with a
detailed presentation of its aims.

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<td>13  Continued work on delivering the University’s gender equality objectives is coordinated through the Gender Equality Project. Areas of work are: the development of the University’s Athena SWAN Bronze award submission; assisting Schools and departments with ‘department’ Athena SWAN applications; monitoring and reviewing the implementation of the University’s Athena SWAN Action Plan; taking forward further strategic planning around gender equality initiatives for the University.</td>
<td>Gender Equality Working Group (GEWG)</td>
<td>Quarterly reports to the University Executive Committee (ExCo)</td>
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F. Implementation and Review

Principle 7 – The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.

Existing Evidence of Compliance

City has participated in PIRLS and CROS at appropriate times, including most recently in 2013, and responded to the Universities UK survey of HEI strategies for implementing the Concordat in 2010. The University is also represented on the Vitae London Hub Steering Group and its associated groups and will continue to contribute to national developments as opportunities to do so are presented.

Period 2012-16 update: An internal review took place at the two-year stage and an internal review report was presented to the Research and Enterprise Committee in June 2014. The Action Plan for the following 2-year period was delayed. The internal audit and review did not take place due to internal restructuring. A smaller scale desk-based review took place instead in preparation of the report for the external review by the HR Excellence in Research Award Panel. The proposed Action Plan for the upcoming two-year period will be finalised through the University Research & Enterprise Committee in the autumn 2016.

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<tr>
<td>15  Ensure that this action plan is kept under review and completed and that additional issues arising from implementation and review are addressed via appropriate further actions.</td>
<td>Research and Enterprise Office</td>
<td>Presentation of the Action Plan for the coming two years to the University Research &amp; Enterprise Committee in October 2016; annual reports to the Research &amp; Enterprise Committee in October 2017 and June 2018</td>
</tr>
<tr>
<td>16  Continue to participate in and review the outcomes of national surveys.</td>
<td>Research and Enterprise Office</td>
<td>Ongoing</td>
</tr>
<tr>
<td>17  Continue to monitor the experience of research staff as a discrete group where appropriate as part of standard HR monitoring processes and within University staff surveys.</td>
<td>Human Resources</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>