CITY UNIVERSITY LONDON

European Commission HR Excellence in Research Award: 2 year review of progress on the implementation of the Action Plan: revised document

Context
The University gained the European Commission's HR Excellence in Research Award in May 2012. This acknowledges alignment with the principles of the European Charter for Researchers and Code of Conduct for their Recruitment. The UK award process also incorporates both the 'QAA Code of Practice for Research Degree Programmes' and the 'Concordat to Support the Career Development of Researchers' enabling institutions that have published Concordat implementation plans to gain the Award.

The terms of the Award require an internal assessment at the two-year stage of progress in achieving the actions/outcomes set out in the implementation action plan. A progress report and an updated action plan must be submitted for review by the UK HR Excellence in Research Award panel. The report and updated plan must also be published on the University website ahead of submission.

An overview of progress made is set out below along with an updated Action Plan which provides further detail on individual actions and incorporates new actions where appropriate.

Internal evaluation
The internal evaluation which forms the basis of this report was led by the Director of the University Research Office along with senior colleagues from Human Resources and Organisational Development and the Pro Vice-Chancellor (Research and Enterprise). The original action plan and progress made have been considered along with the outcomes for research staff of the University Staff Survey and the national Careers in Research Online Survey (CROS), both undertaken in 2013. The annual reports on the Research and Enterprise Development Programme made to the University Research and Enterprise Committee since the HR Excellence Award was obtained were also reviewed. The University Research and Enterprise Committee includes a member of research staff as part of its composition in addition to academic staff members. The University does not have a research staff association although the City University and College Union branch was invited to provide input to the review. The resulting review report and accompanying proposals for further actions were considered and approved at a meeting of the University Executive Team and Deans of Schools in May 2014. At its meeting in June 2014, the Research and Enterprise Committee also received the review report and approved a detailed schedule for monitoring progress on the updated Action Plan and preparation for the external review during the next two years.

Overview of progress
The Action Plan for the implementation of the Concordat drawn up early in 2012 primarily featured two major areas of 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. Further work in these areas will continue to be the main focus for implementation of the strategy in the next two years.

(a) Research staff employment
The new terms and conditions of employment for research staff were formally approved for implementation from 1 August 2012. All research staff already in employment at that date were invited to transfer to the new terms and conditions, which included parity with academic staff in annual leave and sickness entitlements along with the introduction of continuing contracts rather than fixed-term as the norm. The expectation that annual appraisal for research staff would include consideration of career development needs in addition to project performance was also embedded in the revised terms and conditions. The research staff already in post, many of whom were appointed on academic terms and conditions, were given the option to remain on their existing terms and conditions if they wished. An information session chaired by the Pro Vice-Chancellor (Research and Enterprise) was
held to provide an opportunity for the staff concerned and their managers to find out more about the changes and address any questions or concerns. The majority of research staff in post at the time opted to transfer to the new terms and conditions although some who had been appointed to academic terms and conditions chose to remain as they were. A standard University procedure to be used by Schools to consider cases for funding to bridge research staff between funding contracts was agreed in 2012.

The review found that the new policies and procedures in support of research staff employment which were agreed in 2012 alongside the terms and conditions have not been as widely disseminated as intended. This is due to higher than normal pressures on Human Resources during 2013 associated with a major review of Professional Services. Action will now be taken to address this and to increase awareness of the procedures which are designed to further enhance the research staff employment experience. This includes improving awareness amongst Principal Investigators of their responsibilities as line managers.

The outcomes of the University Staff Survey undertaken in 2013 were compared with equivalent data from the 2011 Staff Survey in relation to responses from the research staff group. 28 research staff responded to the 2013 survey (a response rate of 24.8% for this staff group) compared to 61 in 2011 (a response rate of 55%). The 2013 research staff respondents provided significantly more positive responses than other staff groups, with the majority of their responses featuring in the category ‘10% points more than the overall % Positive score’ and only 3 featuring in the category ‘10% points less than the overall % Positive score’. The latter related to commitment to providing customer service, which may be considered less relevant for research staff; whether they had received an appraisal in the last 12 months (although 71% had); and whether the senior management team in their School helped staff to understand the need for change. Where data were available to compare questions with those asked in 2011, significant improvements were shown in areas related to their own work such as use of skills and self-direction and in relation to being treated with fairness and respect, with some improvement in relation to City as an employer which promotes equality and diversity. Further detail on the survey results can be seen below in the Next steps section. It has not been possible to determine how many of the 2013 research staff respondents were also respondents to the 2011 survey. However it is hoped that the positive outcome for this group reflects at least to some extent the work undertaken in 2012 to improve their employment conditions and the greater emphasis placed on research within the University in the context of the Strategic Plan.

The review also considered the responses from City research staff to the 2013 national Careers in Research Online Survey (CROS). A report on CROS outcomes was also presented to the University Research and Enterprise Committee. Although the number of staff participating in the survey was small (15 of 68 staff in post at the time of this survey, representing a response rate of 22.1%), the results support the identified need to do more to disseminate and embed the expected management support for research staff in Schools. Responses in relation to personal and career development were largely positive but also identified many areas where training was still felt to be required. Three of the respondents felt that they were not encouraged to engage in development opportunities and six felt that they did not have equal opportunities to promotion and progression compared to other staff. These outcomes also suggest that the University needs to improve dissemination of opportunities in these areas. The need for a consolidated area of the University website for staff and research students to find information on training and development opportunities was identified previously and remains a requirement to be addressed in the intranet developments now planned for implementation during 2014.

(b) Research and Enterprise Development Programme

A full programme of activity in support of Research and Enterprise Development was provided during 2012/13, including both training and development events open to all staff and research students and tailored support for individual staff and students. The Programme has continued to operate during 2013/14 albeit at a slightly lower level, with reports to the Research and Enterprise Committee. The University provides a generous annual budget in support of this activity, enabling provision of both in-
house training and development events and financial support for staff to attend external events where an agreed need cannot be met internally.

**Next steps and focus for the next two years**

(a) **Research staff employment**

Steps are now being taken to consolidate the agreed policies and procedures in support of research staff employment on the HR webpages. They will then be more fully disseminated to School management and to academic staff, in particular those who are responsible as Principal Investigators for recruiting and managing research staff. The University Action Plan which will support an application from City to be made later in 2014 for Bronze membership of Athena SWAN will also play a role in taking forward issues of equality and diversity for researchers.

A review of practice and the impact on research staff of the changes will be undertaken in 2015, to be preceded by an audit by the University's Internal Audit Team of School and HR practice in this area to review consistency of approach and assist in identifying any further issues that should be addressed by the University in the context of the Concordat Action Plan implementation. This will support the preparations for the external review of the HR Excellence Award in 2016.

**Measures of success** will include evidence of awareness of and compliance with the agreed policies and procedures amongst School managers and Principal Investigators and HR staff. Both the audit and the ensuing review, which will include discussion with focus groups of research staff and Principal Investigators, will consider in particular recruitment of research staff; experience of line management, probation and appraisal; the application in Schools of the bridging funding process and the procedures relating to external funding for a post coming to an end; and opportunities for and experience of researcher development and training. This is not an exhaustive list and may be added to in the light of the audit findings.

Responses from research staff to the next Staff Survey (expected to be in 2015) and as appropriate to the CROS and PIRLS surveys will also provide a basis for measurement of progress. In particular an improvement (or where already over 90%, at least no reduction) will be sought in relation to the percentage of positive responses from this group of staff to relevant questions in the University Staff Survey (assuming continuity with or otherwise measured against the nearest related questions asked in 2013) including “I have clear work objectives” (93% in 2013), “I feel valued and recognised for the work that I do” (71% in 2013), “My appraisal helps me to perform better in my job” (65% in 2013), “My line manager encourages me to undertake personal and professional development in my role” (71% in 2013), “I am treated with fairness and respect at City University London” (78%, an improvement from 64% in 2011), and “In my experience, City University London is an employer that promotes equality and diversity (59% in 2013, compared to 64% in 2011).

(b) **Research and Enterprise Development Programme**

Following the recent appointment of a new Head of Organisational Development, discussions are taking place to determine the most appropriate methods for continuing to support and engage both academic and research staff in the Research and Enterprise Development Programme, which plays an important role in the delivery of the University’s Strategic Plan. As of July 2014 additional staff resource is being engaged to undertake scoping work in discussion with relevant stakeholders and put in place a programme of activity for 2014/15. The Programme will continue to be kept under review through discussions with Schools and via annual reports to the University Research and Enterprise Committee.

**Measures of success** will include levels of participation in events and feedback ratings from participants in 2014/15 and 2015/16, along with responses to relevant questions in CROS and PIRLS. Where events and questions are continued in the same format, an improvement in participation and ratings will be sought. In addition to the question on development identified under (a) above, improvements in responses from research staff to further questions on training and development
opportunities in the next Staff Survey will also be sought. These include “There are sufficient
opportunities for me to receive training and development to improve the skills required in my current
job (57% in 2013), “I am confident that the training and development available at City University
London will help me develop my career” (39% in 2013), and “I know what I need to do in my role to
achieve career advancement (61% in 2013).

(c) Monitoring and review
As of February 2014, the University Research and Enterprise Committee took over the role of the
Steering Committee for the Research and Enterprise Workstream which was set up to oversee
projects in support of the implementation of the University Strategic Plan. The Research and
Enterprise Committee, which is chaired by the Pro Vice-Chancellor (Research and Enterprise) and
includes both academic members and a member of research staff alongside the School Associate
Deans for Research, also currently keeps under review the Research and Enterprise Development
Programme and receives reports on other relevant activities such as the outcome of CROS and
PIRLS (Principal Investigators and Research Leaders Survey). It is thus already the forum for review
of a number of the actions still required for the implementation of the Concordat. It has been agreed
that the overall Action Plan for Implementation of the Concordat, as updated here, will now be kept
under review by the Committee, which as indicated above has now approved a detailed monitoring
plan for the next two years. This will support liaison with Schools and the identification of any resource
or other issues that may arise in relation to making further progress which can then be addressed by
the Pro Vice-Chancellor.
City University London has a clear vision for the future that places research as a top priority:

*Imagine 2016*

*City University London: A leading global University committed to academic excellence, focused on business and the professions and located in the heart of London. We are proud of the quality of our education, research and enterprise and are ranked within the top 2% of universities in the world.*

All staff will be key to the achievement of this Vision. When we consider the needs of researchers within the University environment this includes academic staff whose roles include both research and education, research staff (those appointed principally to undertake research) and doctoral students. 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.

**April 2014 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 two year internal 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 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.

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<tr>
<th>Action Required</th>
<th>Institutional lead</th>
<th>Proposed timeline</th>
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<tr>
<td><strong>1</strong></td>
<td>The new University Strategic Plan to be approved and implemented. This will include an updated Research Strategy for the University to cover the period to 2016 and an associated operational plan addressing the specific needs of researchers and key performance indicators to be measured annually.</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td><strong>Update</strong>: The Strategic Plan is under implementation. The Steering Committee for the Research and Enterprise Workstream established in 2012 to take forward the research requirements of the Plan has now been incorporated into the University Research and Enterprise Committee which will continue to oversee agreed projects. These include the induction programme for academic and research staff (an improved programme was agreed and its effectiveness is now being reviewed); increasing research grant income; and improvements to research culture. It has now been agreed to incorporate the requirements of the Concordat Implementation Action Plan into the Workstream activities. <strong>Action</strong>: HR Excellence review report and revised action plan to be presented to the June 2014 Research and Enterprise Committee along with a schedule for monitoring progress during the next two years.</td>
<td>Pro Vice-Chancellor (Research and Enterprise)</td>
<td>Ongoing; regular reports to R&amp;E Committee during 2014, 2015 and 2016</td>
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<tr>
<td><strong>2</strong></td>
<td>New policy and procedures to be implemented in relation to new Research Staff terms and conditions.</td>
<td>University Research Office with Human Resources</td>
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<tr>
<td><strong>Update</strong>: The new research staff terms and conditions were introduced as of 1 August 2012. Further work to be undertaken to disseminate the associated policy and procedures and to ensure consistency of application across Schools. This includes the agreed policies and processes for re-grading of research staff and for applications for bridging funding for research staff. <strong>Action</strong>: Policy and procedures documents to be incorporated into the relevant HR webpages by 1 August 2014 and disseminated to Schools. Consistency of application to be reviewed in 2015 in preparation for external review in 2016.</td>
<td>University Research Office with Human Resources</td>
<td>Update HR webpages by 1 August 2014; review operation of policy</td>
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3. Research Grants and Contracts (RGC) procedures to be used to notify Human Resources when a member of research staff is to be recruited from a new grant so that support can be offered to the Principal Investigator (PI) on recruitment and employment procedures.

| University Research Office with Human Resources | Implement by 1 August 2012 and review impact of changes in 2013/14 |

**Update:** RGC team now includes HR in notification emails. Further work to be undertaken to review how this is operating within Schools and HR and whether additional support and guidance is needed for PIs.

**Action:** Review of operation of support for PIs to be undertaken in 2015 (associated with wider dissemination of policy and procedures detailed in 2 above).

**Deputy Director of Human Resources/Head of HR Operations**

**Summer 2015 to feed into external review in 2016**

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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 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.

**Action Required**

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<tr>
<td>University Research Office with Human Resources</td>
<td>Implement by 1 August 2012 and review impact of changes in 2013/14</td>
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4. Guidance note for Schools and Human Resources on the lifecycle of research staff to be produced, identifying particular considerations where requirements may be different from those of other groups of staff in relation to recruitment, progression and retention.

**Update:** Guidance note was produced but not yet put into operation in Human Resources.

**Action:** Text to be finalised to replace the current documentation being issued with contracts and on the HR webpages and for dissemination to HR staff, School managements and PIs. Further review will be required to check on consistency of implementation. University Internal Audit Unit to be asked to undertake an audit of practice early in 2015 to support the review process in preparation for the external review in 2016.

**University Research Office with Human Resources**

**Publication on website by 1 August 2014. Review in 2015 in preparation for external review in 2016.**
| 5 | Standard mechanism to be introduced across Schools to provide consistent principles for considering bridging funding for research staff between external funding contracts. | University Research Office | In progress for 2012; review impact of changes in 2013/14 |
| Update: Policy and process was agreed by University Research and Enterprise Committee and provided to HR for the website during 2012. | University Research Office with Human Resources | Publication on website by 1 August 2014; Review summer 2015 in preparation for external review in 2016. |
| Action: Documentation to be made available via HR webpages and disseminated along with the guidance note (see 4). Process to be included in the review of practice in 2015. |

| 6 | Ensure that annual invitation for nominations for academic progression and reward explicitly references review procedure for research staff as well as academic staff. | Human Resources | For May 2012 promotion round; review impact of changes in 2013/14 |

Update: The academic promotion policy and procedures have been updated to reference access to promotion procedures for Reader and Professor for research staff. |

Action: Reference to re-grading options for research staff on other grades to be included in reminders from HR to School academic managers and incorporated in annual email on salary review in 2014/15. |

### 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.

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<tr>
<td>7 Monitor existing training and development provision for research staff to ensure that it meets their needs.</td>
<td>Researcher Development Group</td>
<td>Reviewed annually with report to University Research Committee</td>
</tr>
<tr>
<td><strong>Update:</strong> Annual report for 2012/13 presented to University Research and Enterprise Committee in February 2014. Leadership and Staff Development support for the Programme has been restricted since the loss of the Adviser although training and development events planned prior to her departure from City have been supported. <strong>Action:</strong> Steps are being taken (as at May 2014) to address the provision of staff resources required to maintain the Programme and to continue liaison with Schools.</td>
<td>Director, University Research Office, and Head of Organisational Development</td>
<td>Reviewed annually with report to University Research and Enterprise Committee; next report in 2014/15</td>
</tr>
<tr>
<td>8 Map the development opportunities available to research staff to the Researcher Development Framework (RDF) and promote to research staff.</td>
<td>Researcher Development Group</td>
<td>April 2012</td>
</tr>
<tr>
<td><strong>Update:</strong> The RDF has been used initially to underpin the development of a Framework for Doctoral Studies at City during 2013. <strong>Action:</strong> Further consideration will be given to how best to develop this work to support the needs of research staff.</td>
<td>Researcher Development Group</td>
<td>Subject to addressing staff resource needs as indicated in 7 above.</td>
</tr>
<tr>
<td>9 Carry out CROS survey in 2013 and analyse results.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>July 2013: results will feed into broader review of researcher experience at City</td>
</tr>
<tr>
<td><strong>Update:</strong> City participated in the survey in 2013. A report from the Leadership and Staff Development Unit on the results was presented to the University Research and Enterprise Committee in February 2014 with some recommendations for further action. See progress review report above for further detail. <strong>Action:</strong> Further steps to be taken to disseminate training and development opportunities to researchers. The development of a dedicated area of the website to hold this information (part of a project to develop the staff intranet) will assist – see below.</td>
<td>University Research Office with Leadership &amp; Staff Development Unit</td>
<td>Intranet development currently planned for later in 2014, subject to University approval.</td>
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<tr>
<td>10 Ensure that future development of the University website includes the planned introduction of an area of the website as a single point of information on researcher development and training opportunities to facilitate access for Principal Investigators, research staff and doctoral students.</td>
<td>University Research Office with Leadership &amp; Staff Development Unit</td>
<td>To be addressed through new governance arrangements for the website to be put in place following approval of University Strategic Plan</td>
</tr>
<tr>
<td><strong>Update:</strong> This development remains subject to work being undertaken to replace the current staff intranet. This was discussed most recently with Marketing in March 2014 and remains on the list of requirements to be addressed through the planned work, now overseen by a University Web Steering Group. <strong>Action:</strong> Keep under review through Web Steering Group discussions.</td>
<td>As above with Marketing</td>
<td>Intranet development currently planned for later in 2014, subject to University approval.</td>
</tr>
<tr>
<td>11 Training needs analysis for research staff to be carried out and acted upon.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>July 2012 with review in 2013/14</td>
</tr>
<tr>
<td><strong>Update:</strong> This work was carried out as planned with report made to the Research and Enterprise Committee. <strong>Action:</strong> Regular review of needs with Schools and reporting to Research and Enterprise Committee will continue.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>Next review mid-2014 and annually thereafter.</td>
</tr>
<tr>
<td>12 Development of an Induction Checklist for Academic and Research Staff.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>September 2012</td>
</tr>
<tr>
<td><strong>Update:</strong> Taken forward through the Research and Enterprise Workstream as part of the University Strategic Plan</td>
<td>Pro Vice-Chancellor (Research and</td>
<td>Schools to report to the June 2014 meeting of the</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.

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<tr>
<td>See 8: Map the development opportunities available to research staff to the Researcher Development Framework and promote to research staff.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>See 8</td>
</tr>
<tr>
<td>See 9: Carry out CROS survey in 2013 and analyse results.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>See 9</td>
</tr>
<tr>
<td>See 10: Ensure that future development of the University website includes the planned introduction of an area of the website as a single point of information on researcher development and training opportunities to facilitate access for Principal Investigators, research staff and doctoral students.</td>
<td>University Research Office with Leadership &amp; Staff Development Unit</td>
<td>See 10</td>
</tr>
<tr>
<td>See 12: Development of an Induction Checklist for Academic and Research Staff.</td>
<td>Leadership &amp; Staff Development Unit</td>
<td>See 12</td>
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</table>
### 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.

#### Action Required

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<th>Action Required</th>
<th>Institutional lead</th>
<th>Proposed timeline</th>
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<tr>
<td>14 <strong>Align the University probation, appraisal and promotion processes with the inclusion criteria of the Code of Practice that is being developed for REF 2014 in relation to expectations for staff research performance according to individual circumstances.</strong></td>
<td>University Research Office with Leadership &amp; Staff Development Unit and Human Resources</td>
<td>Work to be undertaken following implementation of the Code for REF 2014</td>
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**Update**: The University Academic Promotion policy now states “Due regard will be given to career breaks and relevant personal circumstances such as maternity leave, disability, long term illness. While career breaks might explain delayed career development, they are not viewed as a weakness in a career profile.”

**Action**: Consideration to be given to probation and appraisal policies. The University joined Athena SWAN early in 2014 and is currently devising an Action Plan which will be submitted alongside an application for Bronze membership later in 2014. The Action Plan will address gender equality on a University-wide basis rather than being restricted to STEM subject areas. It will also adopt a broader remit on wider equalities issues including ethnicity and disability. It includes a number of points which will address the needs of researchers in particular, as noted also in the University’s published Equality Impact Assessment Report on the Research Excellence Framework 2014. The Athena SWAN Working Group reports to the University Equality Committee. Both are chaired by the Dean of the City Law School, who provides regular reports to the University Executive Committee to ensure good governance. In addition, it has been agreed that the University Research and Enterprise Committee will receive annual reports from Schools on progress on their research strategies including REF requirements. These reports will include progress made to address equalities issues in relation to research.

**Update**: Human Resources on policy documentation. For Athena SWAN Action Plan: Chair of University Equality Committee For annual reporting to Research and Enterprise Committee: Pro Vice-Chancellor (Research and Enterprise) Annual monitoring through University Equality Committee and Research and Enterprise Committee in 2015 and 2016

### 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.

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<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>University Research Office with Leadership &amp; Staff Development Unit</td>
<td>Complete first review of the impact of changes in 2013/14</td>
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<td><strong>Update:</strong> As noted in the progress report, some actions and the consequent planned review were affected during 2013 by the unusually high loading on HR and by the REF preparations.</td>
<td>Pro Vice-Chancellor (Research and Enterprise)</td>
<td>Dissemination of HR information by 1 August 2014. Review of practice to be undertaken in summer 2015 based on planned internal audit with follow-up to support preparation for external review in 2016. R&amp;E Committee to agree timetable for monitoring and review during 2014/15 and 2015/16.</td>
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<td><strong>Action:</strong> It is now proposed to undertake the dissemination of information as indicated above to raise awareness amongst research staff, PIs, School academic managers and HR staff and to support consistency of implementation. A fuller review of the impact of the changes will then be undertaken by summer 2015, supported by an internal audit of School and HR practices in this area, ahead of the external review by the HR Excellence in Research Award Panel in 2016. This internal review report will be presented to the Research and Enterprise Committee in June 2014 with a timetable for monitoring and review during 2014/15 and 2015/16.</td>
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<td>16 Continue to participate in and review the outcomes of national surveys.</td>
<td>University Research Office</td>
<td>Ongoing</td>
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<td><strong>Update:</strong> As detailed in the progress report, the University participated in the CROS survey in 2013.</td>
<td>As above</td>
<td>Determine CROS and PIRLS participation in 2014/15 as preparation for external review in 2016.</td>
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<td><strong>Action:</strong> Both the CROS and PIRLS surveys will next run in Spring 2015. Participation in one or both is to be agreed but may provide useful input into the planned review.</td>
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<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>
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<td><strong>Update:</strong> As noted in the progress report above, University-level data on responses from research staff to the 2013 staff survey have been considered as part of this review.</td>
<td>As above</td>
<td>Consideration of staff survey content in 2015.</td>
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<td><strong>Action:</strong> Consider research staff group when developing the next staff survey, expected to be in 2015. Responses will help to inform the external review in 2016.</td>
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