| **Concordat Principle** | **Descriptor** | **Action** | | **Timeframe** | **Success Measures** | **Responsibility** | **Update May 2018** | **Update July 2020** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Recruitment & Selection 1.1 | Employers should strive to attract excellence and respect diversity | **Recruitment Policy & Procedure**  Review of recruitment and selection policy & procedure by new Recruitment & Operations team | | 31/03/17 | Changes agreed at EB & incorporated into training. | Pro Director Research & Enterprise | Review done; policy and procedure updated to more flexible framework & published on web site May 2018. Training updated to reflect changes | - Further process review completed Feb 2020.  New training course agreed and developed to go live from April 2020 (NB Delayed by COVID 19)  - Responsible Metrics Strategy prepared and awaiting approval. Recommendation to sign up to the San Francisco Declaration on Research Assessment (DORA) which will positively impact hiring, tenure and promotion decisions, i.e. valuing research on merit |
| Recruitment & Selection 1.2.1 | The level of pay or grade for researchers should be determined according to the requirements of the post | **Research Post Review**  Review of the currently agreed job descriptions and person specifications for research roles | | 31/07/17 | Roles added to templates on web site & used by recruiting managers | Pro Director Research | Ongoing. Research jds available for G6-8 on request but being redesigned with support of REO. Date due 1/09/18 | Template job descriptions for G6 – 10 reviewed and on web site. Used by REO for recruitment to all research roles.  Job description titles G6-8 modified |
| Recruitment & Selection 1.2.2 | The level of pay or grade for researchers should be determined according to the requirements of the post. | **Research Staff Policy**  Consider the need to produce research staff policy outlining what duties research staff should undertake at different grades | | 31/07/17 | Policy considered. If need identified, agreed and on web site for research staff | Pro Director Research | Awaiting new Pro-Director Research (start 01/09/18) | Review concluded research Staff Policy not needed. Researcher expectations clarified in JDs, probation, promotion and SDR process clarified |
| Recruitment & Selection 1.3.1 | Employers should strive to attract excellence and respect diversity | **Recruitment and Selection**  Ensure access to International Staff resource is made available at an early stage of the recruitment process by adding information to the relocation pack | | 01/07/17 | Added to 100% of packs for international staff. Usefulness checked in annual focus groups. Target for 2020: to retain current % of applications from international researchers (in light of anticipated constraints) | HR | Information part incorporated into ECR Handbook already published. Further information to be incorporated in ‘Work for us’ page on to be designed HR page. To include information on moving to London etc. Due 31/01/19. | -ECR Handbook published on web pages and Moodle (as is Researcher Handbook)  -Information for all new staff on New and Prospective staff page, designed to be useful for all staff groups  -All new research staff receive email with research related resources in their first month  -HR web pages under review from new Recruitment function |
| Recruitment & Selection 1.3.2 | Employers should strive to attract excellence and respect diversity | **Recruitment Pages**  Investigate the development of a SOAS recruitment page on web site in order to provide specific details about the benefits of being a researcher at SOAS | | 01/07/17 | Recruitment page created. Target: page accessed by all applicants. Positive feedback from annual focus groups on usefulness of site | HR | As above. Web site still in development. Due 31/01/19. | Not possible to amend recruitment web page as hosted by external online recruitment provider. New researcher handbook on procedures published on web page |
|  | | | | | | |  |  |
| Recognition & Value 2.1.1 | Organisational systems must be capable of supporting continuity of employment for researchers | **Redeployment**  Ensure research staff engagement with redeployment processes and opportunities through end of fixed term contracts process | | 01/09/18 | Target: All research staff offered end of FTC meetings and PIs sent automated reminders of this. | HR | BAM written and all PIs receive detailed information about how to end FTCs and the content of these meetings. | Leaver form launched February 2020 to provide more data on reasons for leaving and destinations. Too early for data to be collected |
| Recognition and Value 2.1.2 | Organisational systems must be capable of supporting continuity of employment for researchers | **Research Pool**  Create a research assistant pool for ad hoc and casual appointments | | 31/07/18 | Process created & redeployment monitored. Staff feedback positive (current and those in pool). | HR | Reviewed. VT option not possible. New GDPR rules may affect such a pool. LinkedIn may be a better option. To consider by 31/07/19 | Considered Linkedin option to create research pool. Alternative solution still being sought. End of fixed term contract meetings offered to research staff and vacancy page highlighted |
| Recognition & Value 2.2.1 | Research managers should be required to participate in active performance management, including career development guidance and supervision of those who work in their teams | **Probation Procedure**  Ensure that researchers and their managers follow the institutional probation procedure in all cases for staff employed on at least 6 months’ contract. | | 01/09/16 | Research staff managers receive automated probation messages. Target:  100% return of probation forms on ongoing basis. | HR | BAM messages go out to 100% of staff on probation. HR implementing a monitoring system for all probation forms by 31/07/19 | Reorganisation of HR structure has delayed the monitoring system but PIs are reminded of the probation process at start of contracts |
| Recognition & Value 2.2.2 | Research managers should be required to participate in active performance management, including career development guidance and supervision of those who work in their teams | **Staff Development & Review Scheme (SDR)**  Monitor engagement of researchers with SDR process ensuring that all post-probation research staff hold annual reviews and that the process includes an explicit focus on career development | | 31/7/18 | Target: all post probation research staff hold annual reviews; Reported in annual HR report for EDC | SL&DM | Due to major reorganisation SDRs held where appropriate. PIs not informed that they should hold meetings, only HoDs. Once line management routes are clear PIs will be informed separately. SDR as duty added to ‘Roles’ document | -Less than 30% participation across School due to OPS.  -New process trialled 2018-19; new scheme implemented April 2020 with better delineated structure for discussion of research plans and career development. Meetings to be held by 31 August 20. |
| Recognition & Value 2.2.3 | Research managers should be required to participate in active performance management, including career development guidance and supervision of those who work in their teams | **Support Principal Investigators who currently manage teams or who aim to in the future and offer tailored courses**  Develop SDR training for PIs | | 31/07/19 | Target: 100% of PIs trained by 2019. | Research Manager | Training available for all staff but not tailored to PIs. | -Major Grant Holders Network set up with first meeting in Jan 20 (second meeting March 20 cancelled due to Covid-19; virtual meeting planned)  -PI development programme agreed in principle. (On hold due to Covid-19; online version in consideration)  -HR Induction and Managing People courses concentrate on performance management & new Effective SDR course designed and delivered |
| Recognition & Value 2.2.4 | Research managers should be required to participate in active performance management, including career development guidance and supervision of those who work in their teams | **Support Principal Investigators who currently manage teams or who aim to in the future and offer tailored courses**   * Continue to develop the REO programme of support * Offer ‘Managing a Team’ for experienced PIs or consultants * Promote Vitae resources for PIs via website/MySOAS and staff Bulletin * Promote Desktop Mentor resources under theme of ‘Managing People and Teams’ | | 31/07/19 | Include management of teams as a ‘Coffee Morning’ topic; Increased awareness by PIs of Vitae & Desktop Mentor resources so that at least 75% of PIs are aware of the Concordat and Vitae resources, measured through annual survey and reported to REC by 2018. Target: 100% by 2020. | Research Manager | General programme in place and reviewed annually. Work with PI specific initiatives yet to start. Desktop Mentor renamed SOAS Self-Development Toolkit and advertised to new staff and at ECR lunches. | -General programme in place and reviewed annually.  -Desktop mentor resources no longer subscribed to but Vitae materials promoted  -Major grant holder project network initial meeting January 20  - Concordat and Vitae resources promoted at each ECR forum and at the MGHN  - New researcher support roles (associate director / research co-ordinators) deliver support to PIs and ECRs |
| Recognition & Value 2.2.5 | Research managers should be required to participate in active performance management, including career development guidance and supervision of those who work in their teams | **Support Principal Investigators who currently manage teams or who aim to in the future and offer tailored courses**   * Develop training programme * Launch and run training programme | | 31/07/19 | Include management of teams as a ‘Coffee Morning’ topic; Increased awareness by PIs of Vitae & Desktop Mentor resources so that at least 75% of PIs are aware of the Concordat and Vitae resources, measured through annual survey and reported to REC by 2018. Target: 100% by 2020. | Research Manager | As above. | Agenda for second MGHN meeting (due March 20) included wider discussion of external support resources such as Vitae, and SOAS commitment to the new Concordat. Meeting on hold due to Covid-19 and institution wide restructure. |
|  | | | | | | |  |  |
| Support & Career Development 3.1.1 | Employers should provide a planned induction programme to ensure early effectiveness through the understanding of the organisation and its policies and procedures | **Induction & Orientation**  Encourage research staff to attend the School’s orientation programme; ensure research staff receive supporting materials at induction and orientation | | 31/03/17 | 100% of new staff invited to orientation; Reported to REC in Term 3 annually. | SL&DM | All staff invited. Approx 40% take up by research staff. | All staff invited. 35% take up (staff may be former SOAS employees, former SOAS students or undertaking fieldwork overseas) so manager and mentor take on induction role in these cases. |
| Support & Career Development 3.1.2 | Employers should provide a planned induction programme to ensure early effectiveness through the understanding of the organisation and its policies and procedures | **Induction & Orientation**  Provide online handbook/web page of key information to support new research staff | | 31/03/17 | 25% increase in number of research staff to have accessed pages. Usefulness checked in annual focus groups with 75% satisfaction. Reported to REC annually | SL&DM | Web site and Moodle site developed. Online handbooks produced for ECRs and Researchers. Links sent to all new ECRs. Also 8 one page fact sheets. Annual focus groups 100% satisfaction with the content and reach. | -Information on SLOD and RED pages.  -6 essentials updated |
| Support & Career Development 3.2.1 | Researchers benefit from clear systems that help them to plan their career development | **Mentoring Scheme**  Ensure all new research staff are given a mentor to help them with settling into SOAS and career development | | 01/09/16 | 100% of new research staff to have a mentor | Deans | 80% of respondees had a mentor. New organisational structure means HoDs are now responsible for this but central monitoring has not taken place. | PRP process will ensure mentoring within depts. Currently optional but compulsory from Sept 20 which should mean 100% of ECRs have a mentor |
| Support & Career Development 3.2.2 | Researchers benefit from clear systems that help them to plan their career development | **Mentoring Scheme**  Ensure that mentors of research staff are clear on key areas where support is needed through the development of specific guidelines | | 01/09/16 | All mentors given written guidelines on research mentoring | Deans | Specific guidelines written and circulated to post docs. Further discussion at post doc lunch 27 April 17 and 3 May 18.  Revised Mentoring Guidelines approved at EB in Sept 19 | Revised guidelines linked from starters email and discussed at ECR Forum meetings. All attendees had a mentor. |
| Support & Career Development 3.2.3 | Researchers benefit from clear systems that help them to plan their career development | **Training & Career Development**  Promote Vitae web site and materials on web site, in online handbook and at new staff orientation programme | | 31/12/16 | Raised awareness of key information indicated in annual feedback questionnaire | SL&DM | Done. Support qnnaire sent out to post docs. Further feedback to be elicited after last post doc lunch | Some feedback gained informally after lockdown; agreement for ECR Forum to be led by ECRs and supported centrally |
| Support & Career Development 3.4 | Research managers encourage researchers to maintain or start their CPD | **Research staff forum**  Develop monthly lunch meeting for research staff to meet others from across the institutions and discuss issues | | 31/07/17 | 6 sessions run during term time starting October 2016. 25% increase in numbers of staff attending at least one session by 2018. | SL&DM & Research Manager | 4 sessions run each year. Attendance 6 – 11 per forum meeting | -10 lunches held since Nov 16, with virtual meeting planned for May 20. 56 places with 40 individuals showing continued engagement.  -Scholarly comms team help researchers build online profiles to make research more visible  -Launch of PRPs in Nov 19 to support career development |
| Support & Career Development 3.5.1 | Research managers provide effective research environments for the training and development of researchers | **Grant Applications**  Continue to run specific sessions for research staff on making grant applications including deciding on which funders to apply to at different points in the research career. | | 31/07/17 | One session run with all new researchers invited. Target: 25% increase in numbers of staff attending course by 2018. | Research Manager | Session ran Nov 16 with 11 attendees; 8 in Feb 2018. More support given to individuals as a result of the reorganisation of the REO and the introduction of the pre-award team to help prospective PIs find and apply for grants. | -Online course available on Moodle, and 1:1 support.  Tailored emails sent; Support advertised in Research Bulletin weekly  -Specific sessions; bespoke advice about funders and schemes offered |
| Support & Career Development 3.5.2 | Research managers provide effective research environments for the training and development of researchers | **Epigeum Enhancing Research Impact**  a) Introduce 4-module impact training to be run as a mixed online/offline training for ECRs and champions (Impact 101, writing impact case studies and RCUK pathways to impact support).  b) Roll out more generally with researchers. | | 01/01/2017  26/04/2017 | a) All Research Coordinators to have completed at least one module by 2018.  b) start running with RCUK funding applicants on a regular basis. | Impact Officer | Slower uptake than planned. Resource exists but currently mostly taken by PhD students. Not yet made mandatory. Will be taken on by Research Governance officer, new post summer 2018. | -Advice on data management planning from scholarly comms)  -1:1 advice from REO and ethics panel  **-**Talking impact in research proposals - developed inhouse; offered since May 19. Completions - 2 in 2018-19 and 5 in 2019-20 -Enhancing Research Impact - Epigeum course which SOAS helped to develop in 2015/16, was purchased and uploaded to Moodle. |
| Support and Career Development 3.6 | Employers, funders and researchers recognise that researchers need to develop transferrable skills delivered through embedded training | **Develop Teaching Skills**  Ensure that all research staff who teach attend the PDHEP Core Modules as per current GTAs (unless they can show previous experience or qualification) | |  | R12 form amended to include research staff information; Monitoring system set up to ensure 100% compliance; reported in annual HR equality report | Pro Director (Learning & Teaching) | Process to centralise this information still to be developed. | Small number of research staff teach. Most have already completed initial training at SOAS or in other institutions but this is not formally recorded |
|  | | | | | | |  |  |
| Researchers’ Responsibility 5.1.1 | Researchers should recognise that the primary responsibility for managing and pursuing their careers is theirs | **Careers Support**  All new research staff to be made aware of the dedicated careers support and guidance available to them by email within 12 weeks of contract start | | 31/12/16 | 100% of new research staff to receive welcome email. All staff kept informed of available support by email. Target: 10% increase in numbers attending careers sessions by 2018. | Careers | Careers and Research office informed of research staff each month. ECR mailing list in place so100% of new research staff receive mail within one month of start date. New events and resources advertised via additional emails or in the Research bulletin. Changes in Careers Office organisation mean no system in place to identify research staff at events open to staff and students. Careers staff invited to at least one post-doc lunch per year. | -Careers and Research office informed of research staff each month.  -ECR mailing list in place so100% of new research staff receive mail within one month of start date.  -New events and resources advertised via additional emails or in the Research bulletin.  -Careers staff attend one post-doc lunch per year. |
| Researchers’ Responsibility 5.1.2 | Researchers should recognise that the primary responsibility for managing and pursuing their careers is theirs | **Training Needs**  Researchers make use of REO programme, Vitae web site and materials on web site, online handbook, departmental and centrally organised seminars and training events | | 31/07/20 | All staff kept informed of available support by email. Training needs recorded as part of SDR. Increased participation in centrally organised events to 60% per annum buy 2020 | SL&DM | In progress. As research staff now feel more part of their departments, and as all are invited to events, this target is on track. | Issues with reporting make it difficult to measure participation or research staff as a separate group. |
| Researchers’ Responsibility 5.2 | Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated | **Personal Development Research Plans**  Research staff discuss research plans at regular meetings with PI | | 31/07/18 | All PIs to ensure research plans are discussed | Heads of Department | Done as part of research plans. | ECRs can complete the PRP and integrate with the SDR process (will be mandatory next year) to support excellent research, greatest impact and fund generation  -Specific PRP form developed for ECRs, including plans for conducting research during Covid-19m and plans for building KE in research. The PRP serves as the device for research mentoring. HoDs ensure all ECRs in their department are matched with a mentor, i.e. the Departmental Director of Research |
|  | | | | | | |  |  |
| Diversity & Equality 6.1 | Public bodies to take positive steps to promote equality | **Institutional Commitment**  New EDI Strategy (2016-2020) adopted by SOAS summer 2016 | | 2016-2020 | Actions have been identified and will be monitored on a termly basis by EB and EDC | Diversity & Inclusion Manager | In progress | New EDI Strategy in development. New actions to be developed and monitored on a termly basis by EB and EDC |
| Diversity & Equality 6.2 | All managers of research should ensure that measures exist … through which discrimination, bullying or harassment can be reported and addressed | **Respect at SOAS**  Publicity campaign to advertise the policy; train more anti-harassment contacts and advertise their availability | | 31/07/17 | A further 5 anti-harassment contacts identified and trained by 2018. | Diversity & Inclusion Manager | Won’t be achieved – departure of key staff. Remains a priority action | 8 Dignity Advisers trained  -Dignity Policy agreed and launched January 2019 (refresh of Respect at SOAS Policy) laying out expectations of behaviour for staff and students  Purchased Where do You Draw the Line training materials to roll out in Terms 2 and 3, 2020 (Not achieved due to Covid 19) |
| Diversity & Equality 6.3 | Working conditions should allow both female and male researchers to combine family and work, children and career | **Review Equality Information required for REF**  Seek to facilitate the re-entry into research after maternity leave or prolonged caring or other leave | | 31/12/16 | Additional research leave offered; take up monitored and reported to REC | HR | Additional one term research leave granted after maternity leave. | Due to small numbers there has been no take up of this scheme by ECRs in this period. Access to Parental leave and other family friendly policies are regularly advertised in the SOAS weekly Bulletin and are on the HR web pages. |
| Diversity & Equality 6.4.1 | Employers should also consider participation in schemes such as the Athena SWAN Charter … and other initiatives aimed at promoting diversity in research careers | **Athena Swan Charter, Equality**  **Bronze Award**   1. Reapply for bronze award 2. Preparations for the Silver award for submission | | 30/11/17  01/12/17 – 30/04/19 | Athena Swan Self-assessment complete submission by deadline | Diversity & Inclusion Manager | Submission made. Resubmission to be made | -Success confirmed in November 2019.  -EDI project lead employed December 2019 to support  4 departments to apply for departmental awards and for the institutional level silver award |
| Diversity & Equality 6.4.2 | Employers should also consider participation in schemes such as the Athena SWAN Charter | **Race Equality Charter Mark Bronze Award**  Decision taken regarding involvement in scheme; submission made | | 30/11/19 | Working group set up & submission completed (depending upon institutional priorities). | Diversity & Inclusion Manager | Decision taken February 2018 to start work on this application for submission in 2020/21 | -EDI project lead employed to prepare submission Jan 20. Submission in development for 2022 |
| Diversity & Equality 6.5 | Address the disincentives and indirect obstacles to retention and progression … which may disproportionately impact on some groups more than others | **REF 2021 Submission**  Inclusion in Research Working Group to be established. This will include focus on ensuring equal representation in the REF and on support for all ECRs and future REF submissions | | 31/01/17 (set up)  31/07/20 | Working group set up with ToRs and reporting line. Minuted meetings on a termly basis. | Pro Director Research | Steering Group meetings held regularly. | -Equality data on REF collected and analysed. Correlation between age and gender. In depts with more submissions by women, these are made at a lower average age suggesting a link with family friendly policies. |
|  | | |  | | |  |  |  |
| Implementation & Review 7.1.1 | Promote implementation through a commitment to reviewing progress | **Focus groups**  Ensure that all research staff are informed by email of the outcomes and new action plan once approved by REC | | 30/06/16 | Email sent to all research staff | SL&DM | DONE | Actions an short history of ECR forum emailed to all new research staff starters within their first month |
| Implementation & Review 7.1.2 | Promote implementation through a commitment to reviewing progress | **Focus groups**  Request feedback on perceived progress against targets from research staff and PIs (focus groups, interviews & questionnaire) to report to REC annually | | 31/07/17 & annually | Information gathered; action plan amended as necessary | SL&DM | Information gathered from focus groups of researchers. Plan for PI data gathering | -Information gathered from focus groups of researchers annually and reported to REC. PRPs developed as a response to feedback about varied mentor and line manager support,and launched in March 20.  - Information fom  PI perspective will be collected via MGHN meetings |
| Recognition & Value 7.1.3 | Promote implementation through a commitment to reviewing progress | **Exit Interviews**  Collect information on what we are doing well / badly; Provide online form for exit interviews and monitor feedback | | 31/07/20 | Research staff included in exit form process; Increase return rate by 100% by 2020.  Feedback monitored & reported to REC | HR | Automated system in development | Online exit interview created and launched February 20, but too few leavers so far for this to provide enhanced data. |
|  | | | | | | |  |  |

**Glossary**

BAM Business Alert Manager – automated email

EB Executive Board

EDC Equality & Diversity Committee

HR Human Resources

OPS One Professional Services – major restructure of all professional services function 2017-19

MGHN Major Grant Holders Network for PIs holding/applying for large grants

PDHEP Core Units Professional Development in Higher Education Programme, 3 day core units as minimum teacher training requirement

PRP Personal Research Plan

PI Principal Investigator

REC Research & Enterprise Committee

RM Research Manager

SDR Staff Development and Review scheme

SL&D Staff Learning & Development

SL&DM Staff Learning & Development Manager

VT 2000 System developed for recruiting staff on fractional contracts e.g. those working a small number of hours per week