UNIVERSITY *of York*

Action Plan to Support the Implementation of the Concordat to Support the Career Development of Researchers: 2018-2020

Report on Progress September 2020

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.

Concordat principle and new action(s) 2018-2020	Lead	Success Measure & Progress Update - ADD IN PROGRESS UPDATE TO THIS COLUMN	Status of Action: closed or transferred to RD Concordat Action Plan
1.1 All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.		Achieved 2010	No further actions anticipated at this time
1.2 Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role. Actions: 1.2.1 Review the support available to staff returning from an extended period of leave (including return from maternity/paternity/statutory paternity leave and adoption) and provide guidance to departments with regard to staff returning from career breaks	HR	Develop a toolkit for managers/PIs to support researchers on extended leave and disseminate to participants on the Research Leaders programme and through Athena Swan Faculty Groups.	September 2019 **TRANSFERREdDd** to RD Concordat Action Plan (EI6)

1.2.2 Review the University's (online) Unconscious Bias Awareness (UBA) training and mandate training for certain roles	HR	UBA training in place and clear guidelines about which roles should be required to undertake the training for example chairs of recruitment panels. Report to CIG and EDI committee. E&D training required for all recruitment panelists. Chairs of panels must complete UB training as part of Recruitment and Selection	June 2020. **COMPLETED**.
1.2.4 Review as part of the <u>EDI strategy</u> selection panel composition for research posts	HR	All research appointments at Grade 7 or above to be chaired the Faculty Dean or nominee and to include representative from another department. This is now part of the <u>requirements for selection panels</u>. There is a prompt on the recruitment timetable and panel selection form. If the Dean is not available they must give permission for someone to chair on their behalf.	**Sept 2020- COMPLETED**
1.2.5 Review the inclusion of equality expectations in the annual Performance Review process	HR	Explicit reference to equality expectations introduced into PDR 2018/2019 academic year. Review impact from 2020. - No formal requirement to complete PDR's 2019/2020 due to impact of Covid - will review impact 2021/2022s	September 2020- **TRANSFERRED**

1.2.6 Improve communication about and ensure that all research posts offer flexible working in line with the University's Guidance on Flexible Working	HR	Conduct focus groups to better understand researchers'' perceptions of flexible working and what can be done to provide consistency of the flexible working policy across departments. Increasing flexible working options for all staff is part of Athena SWAN action plan 2018-2022. Work continues.	**TRANSFERED** to RD Concordat Plan 2020 (EI6)
1.3 Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason. 1.3.1. Work with the new N8 PDRA working group to explore the block around the use of Fixed Term Contracts	RETT & HR	New guidance introduced on the use of Fixed Term Contracts. "With effect from 1 October 2020, where an employee's fixed-term contract is due to expire on or after 1 October 2020 if they have a period of two years consecutive service and there is an ongoing requirement for the work to be undertaken, they should transfer to an open contract. If, having reviewed the position, the department is not confident that there will be an ongoing requirement for the post (which may be related to the funding situation), consultation with the individual should commence in accordance with this guidance: Consulting with staff approaching the end of their contract." We believe this decision to be sector leading and if mirrored by changes by the funders this could transform the employment experience for researchers. i. Working group to meet in Oct and Dec 2018 and to set targets. ii. Increase the percentage of researchers who feel secure in their job (45% in SS2017 data)	**COMPLETED**

1.4 To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development. Actions: 1.4.2 Develop a robust process to collect data on the use of 'Named Researchers' by gender	HR & Academic Depts	All Depts. will have access to the HR data and supply an annual report to the CIG that explains why the use of Named Researcher was appropriate and equitable. In addition BAME representation has been increased on university promotions panels in 2020 and there is now a section in the application form for academic colleagues seeking promotion to disclose aspects of their personal equality-related circumstances that they feel may have impacted on their ability to evidence achievement against the Academic Promotions criteria. The Department of Chemistry have introduced an Unconscious Bias Observer scheme where they train people to observe the recruitment process. This is being cascaded internally and across the sector (see Appendix 1 Example of Good Practice).	September 2019 **COMPLETED**
1.5 The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.	HR	Achieved 2010*	COMPLETED

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.			
Concordat Principle and new action(s) 2018-2020	**Lead**	**Success Measure & Progress Update**	**Status of Action: closed or transferred to RD Concordat Action Plan**
2.1 Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	HR	Achieved 2010. The N8 work on the use of FTCs (1.3.1) may impact upon this further for 2020 reporting.	
2.2 Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.	HR	Achieved 2010.	
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. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management. Actions: 2.3.1 Conduct a longitudinal evaluation of the impact of the Research Leaders programme. Drawing on 10 cohorts (100+ PIs) who have participated in the programme since it commenced in 2012	RETT with L&D	Capture baseline data on the number of participants who have i. gained promotion to senior leadership roles ii. participated in collaborative research. Commencing 2018/2019 capture baseline data (pre and post programme) on confidence levels of supporting researcher careers.	July 2019
2.3.2 Package the Careers support (training, online resources, coaching support) in one clear communication and use the research staff comms channels and RSLOs to disseminate.	RETT/ RSLOs	Increase the webhits on careers pages by 50% (from 245). Engage 20% of researchers in careers support and training. Subsumed as part of the 2020-2022 action plan E17. 91% increase in the number of researchers attending training since 2018 due to enhanced programme of KE, Impact and commercialisation training and the launch of the Enterprise Fellowship Programme and a	June 2020 **COMPLETED**

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strand of activity to support research and Enterprise Fellowships. The role of the three RSLOs in working with research staff associations at Department level and across faculties; galvanising engagement with the national consultation on the revised RD Concordat and co-creation of the York Researcher Conference programme cannot be underestimated. In addition closer alignment with the Commercialisation team and PVC Partnerships and Engagement has helped to promote the value of the Concordat.

2.4 Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective. Actions:			
2.4.1 Undertake a review of good practice in academic departments regarding availability and method of distribution of bridging funds (between grants) and disseminate across the University.	HR	HR to collate information and create guidance for Depts. around the use of bridging funds. Bridging funds reviewed and replaced by commitment to move open contracts. With effect from 1 October 2020, where an employee's fixed-term contract is due to expire on or after 1 October 2020 if they have a period of two years consecutive service and there is an ongoing requirement for the work to be undertaken, they should transfer to an open contract. If, having reviewed the position, the department is not confident that there will be an ongoing requirement for the post (which may be related to the funding situation), consultation with the individual should commence in accordance with this guidance	July 2019 **COMPLETED**
2.5 Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.			
2.5.1 Review the numbers of researchers who apply for promotion and run annual faculty based workshops sessions on promotion	HR	Data on promotions to be reviewed, by HR and as part of the Athena Swan submissions. The criteria and procedures for promotion of academic, research and teaching staff criteria explicitly state (clause 4.15) that the number of promotions is 'not cash limited'. Workshops on the promotion process to be delivered, evaluated and revised in the light of feedback. Promotions data now being examined by equality characteristic. Gender breakdown routinely reported as part of departmental AS applications, though not necessarily broken down by contract type (ie. researcher). Promotions workshops for women being run in Arts & Humanities. Intention to improve promotions comms/workshops across all faculties	**TRANSFERRED** to RD Concordat plan 2020 (EI1)

2.6 Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies. Actions: 2.6.1 Work in partnership with other universities (through Researchers14 and N8) to influence funders to make explicit that training should be included in grant proposals and that time is given to enable this. This action is reflected in the recommendations for the revised Concordat.	RETT	Hold R14 discussions with funders and UKRI about the explicit wording of grant proposals. Now subsumed as part of the RD Concordat T	November 2019 **COMPLETED**
2.6.2. Raise awareness amongst PIs of the opportunity to include in their grant proposals the appropriate funding to support the promotion of the research staff working on the grant.	RETT/BDMs /RDT	Communicate this message through grant writing programmes and put on CIG agenda	June 2019 **ONGOING & TRANSFERRED TO 2020-2022 ACTION PLAN (EM2)**

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.

Concordat principle 3 & 4 and new action(s) 2016-2018	Lead	Success Measure & Progress Update - ADD IN PROGRESS UPDATE TO THIS COLUMN	Status of Action: closed or transferred to RD Concordat Action Plan
3.1 It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors. Actions: 3.1.1 Increase the percentage of researchers who agree with the statement 'there is a clear career path available to me' (34% of researchers compared to 56% academics in SS data 2017).	RETT RETT	Run two faculty facing careers sessions to raise awareness of alternative careers and options. Sessions were delivered by specialist careers advisors/ educational researchers focusing on career options at the the <u>Science Research Staff Conference</u> and <u>Arts and Humanities and Social Science Conference</u> 2019. *"Rethinking and re-assessing our career is important to see if we're doing what we really enjoy."*	July 2019 **COMPLETED** July 2019 **COMPLETED**
3.1.2 Run the 2nd <u>European Professional Development Doctoral Summer School</u> with the Universities of Munster and Maastricht and employ postdoc researchers to help facilitate and mentor students.		Engage at least 5 postdoc researchers in the facilitation of the summer school. The York run summer school drew upon a range of postdocs in welcoming students and facilitating a mini 3MT competition.	June 2019 **COMPLETED**

3.2 A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally. Actions:			
3.2.1 Explore with other organisations (such as Vitae and UKRI) the opportunity to commission a 'What do researchers do?' publication –	RETT with Careers and HR	Internally work with the data analysis team to develop destination data intelligence and with HR to refine the exit process and exit survey data. Review how the DHLE data can be used to provide institutions with examples of good practice. Now part of the Concordat Governance Responsibility.	June 2019 **COMPLETED**
	RETT	Programme delivered to 20 researchers. Evaluation to include production of clear outcomes identifiable (i.e. draft grants/submissions). Careers sessions ran and were well received by those who attended. Add in numbers. The conference sessions were very well received (3.1.1) and has led to an increased demand for one to one support offered to researchers re CV and interview guidance. Careers support for staff remains a challenged in the absence of dedicated institutional resource.	July 2020 **COMPLETED**

3..2..3 Develop and deliver a new Advanced Grant Writing - 3 part programme commencing with a Grant Writing Retreat (application by public engagement pitch) followed by mentoring and peer review panel	RETT	Deliver and evaluate the impact of the networking events on collaboration, skill development and shared practice. 91% increase in attendance and satisfaction rates recorded at 97% in 2018/19 and 95% in 2019/20 around all areas of provision including networking as part of the KE provision. .	June 2019 **COMPLETED**
3.2.4 Deliver two annual Fellowship networking events to enable cohort building, collaboration and networking			
3.2.5 Review the mechanism for leaver destination data on the exit forms and if possible at 2 and 5 years to enable longitudinal tracking of researchers at York	HR	Exit forms and longitudinal tracking process started and initial data available for use in careers sessions.	**TRANSFERRED TO 2020 - 2022 PLAN PCDI5**
3.2.6 Deliver a new suite of PGR Supervisor training including all aspects of supervision (professional development and careers; processes; viva; equality and diversity, supporting international students; public engagement and an annual PGR supervisor symposium to enable shared practice	RETT with academic and support staff	20% of all PGR supervisors to engage in some form of training. The training was well received and attracted mainly new but also more experienced supervisors. The online sessions delivered in the latter half of 2020 was particularly well attended. Add in numbers.	June 2020 **C**OMPLETED

3.3 Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be effective researchers and highly-skilled professionals in whatever field they chose to enter.			
3.3.1 Continue to offer flagship Public Engagement events such as [Falling Walls](#) and targeted public engagement training to provide researchers with an opportunity to develop their communication and pitch skills	RETT	Engage 10% of all researchers in Public Engagement activities. This was achieved and exceeded with researchers taking advantage of the vast array of structured PE training on offer including bespoke support for researchers taking part in the annual research staff conferences, as part of the Award winning Enterprise Fellowship training, the 'Preparing for Fellowship Success' intensive training and one to one coaching for those applying for Fellowships. Several postdoc researchers were also successful in Falling Walls Engage labs and Falling Walls PE labs.	December 2019 **COMPLETED**
3.3.2 Deliver 3 annual sector focussed networking events to expose researchers to business. and include this opportunities as part of the new suite of training to support Knowledge Exchange	BDMs & RETT		
3.4 All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.		Expose researchers to 20+ employers and direct them to the suite of training and report to the CIG/Business Development Working Group Enhanced links to the Commercialisation Team and the KE programme (3.2.3) and Enterprise Fellowship Programme meant that this was achieved and exceeded and is now embedded in the work of the Enterprise and Research directorate.	June 2019 **COMPLETED**
		Increase the attendance at careers events from 10% to 25%. Use the RSLO(s) to work with researchers and alumni at Faculty level and develo p at least two careers events at faculty level. See 3.2.1 and 3.1.1	June 2019 **COMPLETED**

3.4.1 Deliver faculty facing career development training including follow up career mentoring opportunities. This may be offered as two research staff conferences and include input from researchers who have used the coaching pool and alumni 3.4.2 Explore ways in which existing contacts with industry may provide learning and/or secondment opportunities for Research staff.	RSLOs supported by RETT RETT, BDMs & depts	Support researcher-led learning and/or secondment opportunities in industry using existing contacts and new contacts developed through our KE programme.	June 2020 **NOT COMPLETED AND TRANSFERRED TO 2020-2022 (PCDI5)**
3.5 Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies. 3.5.1 Deliver information sessions on promotions as outlined in 2.6.2	HR	Sessions delivered, evaluated and revised if necessary Delivered by HR as part of the 2020 Researcher Conference	December 2020 **COMPLETED**
3.6 Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development. Actions: 3.6.1 Review the Departmental induction process for research staff and increase awareness of the Guidance for Researchers induction materials on the website.	RETT	The materials will be used in the Research Leaders programme, new faculty facing careers sessions and central induction. The RSLO will also raise awareness with RSAs. All Participants on the flagship Research Leaders programme made aware of the resources	July 2020. **COMPLETED**
3.7 Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students. Actions:	RETT	Review staff webpages and use all communication channels (staff	June 2019

| 3.7.1 Promote through web, social media and through the Research Leaders programme the professional development opportunities available and use testimonials and endorsements in publicity where possible | | digest, webpages, Dept. Fora, Research Leaders alumni community of | **COMPLETED AND SUBSUMED INTO CORE BUSINESS** |

		100+ PIs) to communicate the offer and collect web hits for consideration at the June CIG	
3.8 Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements. Actions: . 3.8.1 Integrate the promotion of the coaching scheme with the roll out of the University mentoring programme to raise awareness of provision. Evaluate take up by researchers.	L&D	Evaluate the take up of coaching and mentoring schemes and aim to Increase researcher engagement with the coaching programme by 10% (currently very small percentage). Use university wide communication through HR to promote the scheme. 66% of the total number of mentees participating in the University scheme are early career researchers. Since the 2018 report, 54 researchers have taken part as mentees of which 74% identify as female. 15% of all mentors are mid-senior researchers/PIs. In 2020, a new PGR mentoring programme was launched. This has involved 37 postdoctoral researchers being trained as mentors for PGR students in the last 18 months of their registration. 65% of these identify as female.	**COMPLETED**
3.9 Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices. Actions: 3.9.1 Review the current levels of researcher engagement in training and identify barriers	HR/L&D/HR	SS17 data suggests average engagement by researchers is 2-3 courses per year on mandatory training. Undertake a review of training in Depts. and identify how this and other CPD can be captured. Report to CIG June 2019. Engagement levels have increased exponentially partly due to the RSLOs and assisted more latterly by online provision made possible and necessary because of Covid-19	June 2019 **COMPLETED**
Principle 4			

3.10. Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career. Actions: 4.1.1 Develop a checklist for PIs to discuss with their researchers about career development at review meetings (in support of recommendation 13 of the Review of the Concordat).	RETT/L&D/ HR	Using Researchers14 network develop the checklist such that there is synergy across institutions Regular meetings, both face to face and online an increase in R14 members (now 19 Russell Group Universities represented) have enabled an effective and supportive group who share practice and ideas around Concordat implementation. The group were instrumental in getting the revision of the Concordat taken seriously and in contributing to the writing of the final document. K Clegg at York and K Prasad at Cambridge wrote the R14 network response to the Concordat consultation 2019.	June 2019 **COMPLETED AND ONGOING**

4.1.2 Review training evaluation data and systematically feedback to researchers what will be changed as a result to indicate to researchers that their feedback is valued and being taken seriously. For example feedback on the <u>research staff conference results</u>.	RETT	All feedback to be collated and a termly 'you said we did' item to be included in the research staff newsletter and circulated through the RSLO(s). The Research Staff Newsletter is circulated to all researchers and items regularly feature as standards in the University's Staff Digest sent to all staff. The prominence of the <u>Concordat Consultation 2020</u> has increased awareness amongst all staff groups and means they feel their voice is recognised.	December 2019 **COMPLETED**
3.11. Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another. Actions: 3.12.1 Conduct a review to ascertain how many postdocs are involved in teaching across the institution, what kinds of teaching they do, the support currently offered in departments and identify what future support should focus upon. Identify whether mandatory training for those who wish to teach should be introduced in line with GTA provision and what form this should take. Identify also how time for this training is to be built into existing workload.	Academic Practice Team/ RSO	Review of existing practice and support to be completed and recommendations to be made about mandatory training. To be received by University Teaching Committee.	**August 2020** **COMPLETED**
3.12. Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.	RETT	Achieved 2010*	Completed.
3.13. Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation and management committees. Actions: 3.13.1 Following the pilot introduction of the Research Staff Liaison Officer (RSLO) post in 2017/2018 recruit at least two for the year 2018/2019 and measure the impact they have on researcher engagement. 3.13.2 Continue to encourage through the Shared Practice Events researcher representation on committees.	RETT RETT	Recruit at least two faculty facing RSLO posts to liaise with Dept. research staff associations and run a series of roadshows briefing researchers and PIs on the new Concordat recommendations. <u>3 posts recruited</u> and enabled widespread engagement with the <u>current consultation process </u>and co-creation of the York <u>Researcher Conference Programme 2020</u> and focus on research culture.. Using the RSLO's as examples of good practice identify with Chairs of Dept Research Committees any additional opportunities for researcher representation on committees and opportunities for the new faculty facing RSLO to have a seat at Faculty groups.	October 2018 June 2020 **COMPLETED**

| 3.14 Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.

Actions:

3.14.1 Roll out an institution wide, objective led, cross departmental mentoring scheme for research and academic staff | L&D | The scheme will be advertised in autumn 2018 and two cohorts recruited for 2019. Each intake will accommodate 60 mentor/mentee pairs . See 3.8.1 | Review first phase July 2019. **COMPLETED** |

D: RESEARCHERS' RESPONSIBILITIES
Principle 5: Individual researchers share the responsibility for and need to proactively engage in their own personal and career development and lifelong learning.

Concordat principle 5 and new action(s) 2018-2020	Lead	Success Measure & Progress Update - ADD IN PROGRESS UPDATE TO THIS COLUMN	Status of Action: closed or transferred to RD Concordat Action Plan
5.1 Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	Heads of Academic Departments supported by HR training function	Achieved 2010*	Completed
5.2 Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole. Actions: 5.2.1 Actively promote the Enterprise Fellowships and the associated training to researchers. Use testimonials from participants in the new KE programme of training to promote it and encourage take up. Continue to encourage researchers more widely to take -up expanded provision of training in knowledge transfer and commercialisation of research.	RETT & BDMs	Engage 10% of all researchers in KE related activity in the first year of the revised programme. In the two years since the last report, 54 KE related events were delivered including 'Building Partnerships, Networking and Communicating with Partners' and 'Introduction to Industry'. Across all areas there has been a **91% increase in the number of researchers attending training.** SEE 3.2.3	July 2020 **COMPLETED**

5.3 Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge. Actions:			

5.3.1 Ensure, as a minimum, that the University's Codes of Practice in research integrity and ethics are brought to the attention of all researchers.	RETT and R&E with the Governance Office	Research and Ethics will continue to be delivered as part of the Research Leaders programme. Work with GDPR working group and Information Governance Officer to ensure that all researchers are aware of their due diligence regarding Data Protection. Explore the development of a staff focussed online research integrity tutorial. As part of 5.3.1 ensure that research funder requirements are met in the training developed. Both completed.	July 2019 **TRANSFERRED TO 2020-2022 PLAN (ECR2)**
5.3.2 Review research integrity training in light of funder requirements and UKRI		.	July 2019 **COMPLETED**
5.4 Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position			
5.5 Researchers should recognised that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.			
5.6 Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate. 5.6.1 Review the mechanisms available for researchers to engage in PDP.	HR with RETT	Review, in the light of the revised PR process (2018) whether researchers have sufficient tools and support for effective PDP and identify what tools would need to be put in place.	July 2019 **TRANSFERRED TO 2020-2022 PLAN (PCDI2 & PCDM1)**

E: DIVERSITY AND EQUALITY

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

Concordat principle 6 and new action(s) 2016-2018	Lead	Success Measure & Progress Update - ADD IN PROGRESS UPDATE TO THIS COLUMN	Status of Action: closed or transferred to RD Concordat Action Plan
The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression. Actions: 6.1.1 Continue to engage with the Athena SWAN Charter and similar schemes as a means to identify and embed good equality practice.	Athena SWAN Steering Group (ASSG) Faculty Deans Heads of Department.	All large and medium sized academic departments to have applied for an award by 2020. To date 18/27 depts hold Athens Swan awards, with 3 more awaiting application outcomes and remaining 6 planning to apply by 2022. Covid and the 2019/2020 review of the AS Charter have impacted progress in some departments	**TRANSFERRED** to RD Concordat action plan 2020. (ECM3)
6.1.2 Review and extend our data collection and monitoring categories to better understand our staff profile and create an environment which encourages disclosure of equality information.	HR	Extension of protected characteristics in data collection; communication and engagement activities to encourage staff to disclose. Reduce unknown ethnicity rate from 7% to 5%. Equality monitoring categories in the online staff records portal increased and comms to encourage disclosure began May 2020. The aim is to be better understand the staff profile and needs of staff.	December 2019 **TRANSFERRED** to RD Concordat action plan 2020 - 2022

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.

Concordat principle 7 and new action(s) 2018-2020	Lead	Success Measure & Progress Update - ADD IN PROGRESS UPDATE TO THIS COLUMN	Status of Action: closed or transferred to RD Concordat Action Plan
The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress. Actions: 7.1.1 Enhance the communication channels to PIs. Continue to run the Shared Practice Event for Chairs of Dept Research Committees and Concordat contacts and provide information about new support and have contacts for the faculty facing Research Staff Liaison Officer 2018/2019	RETT	Develop a short termly briefing note for PIs highlighting new resources, training and support for researchers to enable them to support them effectively.	July 2019 **TRANSFERRED TO 2020-2022 PLAN (ECI1)**
7.12.2 Ensure alignment between the actions relating to the Concordat, Athena Swan and broader EDI agendas (to ensure against conflict/duplication) and work with the REF Manager to ensure that these support the development of the REF Environment Template and Research Strategy.	RETT/HR/Athena Swan and REF Manager	Meet with the REF Manager to ensure information and evidence required for the REF submission is available and work aligns with the research strategy All departments receive clear guidance about information required and provide appropriate examples about local equality initiatives to support REF environment and research strategy. The REF Manager & HREiR Coordinator have worked together to ensure guidance re the Environment submissions at all panels is clear and that institutional information reflects the 10 recognition afforded through the process.	June 2020 **COMPLETED**

The signatories agree:

a) to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.

b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.

c) to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.

d) to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).

e) to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).

Actions:			
7.2.1 Use institutional data from the 2019 institutional staff survey to inform future support for researchers	RETT/HR	Ensure that questions regarding careers and training are included in the revised Staff Survey. Review the data and identify where provision can be enhanced. Include this in the feedback to researchers (3.10.2) The Staff Survey did not run in 2019 but will take the form of pulse checks in future.	September 2019 **TRANSFERRED TO 2020-2022**
7.2.2 Contribute to the new N8 working party on PDRAs/research staff and host a second meeting (December 2018).	RETT/HR	Contribute to the setting of and delivery against objectives for the PDRA project. and deliver on agreed objectives of the N8. The HREiR Coordinator was an active member of the N8 PDRA working group and provided feedback on the successful Liverpool led Research England RED Fund Prosper bid.	June 2019 **COMPLETED**

Abbreviations:
CROS – Career Researchers Online Survey; SS – Staff Survey; PVCR – Pro Vice Chancellor for Research; RET - Researcher Excellence Training; RETT – Research Excellence Training Team HR – Human Resources; L&D – Learning and Development; HoD – Head of Department; ASO – Academic Support Office; R&E – Research and Enterprise RSLO - Research Staff Liaison Officer - BDMs Business Development Managers

Notes:
1) The Researcher Excellence Training Team are part of the Research and Enterprise Directorate
2) The Concordat Implementation meet quarterly and dates have been set for 2018-2019
3) The PVC Partnerships and Engagement took over as Chair of the CIG in March 2020

Employment
Research and Culture
Professional and Career Development

Possible Gaps in provision mapped against the 3 new Principles and institutional requirements:

Employment – review all of current section A and check for relevance

Effective Researcher Induction – numbers taking part, evaluation, access to policies' (2)
Line and Project Management training opportunities for PIs and HoDs (4)
Excellent People Management – embedded in institutional culture – awareness raising about promotion, prof development, mentoring, use of proleptic appointments for Fellows (5)
More researcher representation on committee (7)

Environment and Culture

Increase awareness of the Concordat – web and newsletter, develop comms plan and narrative – link work on Fellowships? (1)
Audit of mental health strategies (3)
EDI, wellbeing and mental health training (4)
Research Ethics training (5)
Feedback from researchers (staff survey?) about the research environment and culture (6)

Professional and career development

Training, support and time for PIs/managers to engage in career development reviews (not PDR) with their researchers (2)
Access to professional advice on career management - mentoring and RETT support - careers have no remit for staff (3)
Opportunity and time to develop their research identity and leadership skills (4)
Monitoring and recording of 10 days minimum prof dev training and career development reviews – process required (6)