

# Lancaster University Concordat updated report on Actions 2017-19

## Preface

Lancaster's Concordat Implementation Group (CIG) has formal oversight for implementation of Vitae's Concordat to Support the Career Development of Researchers (the 'Concordat'). The CIG is chaired by the Director of Human Resources & Organisational Development and membership comprises representatives from Human Resources (HR) and Organisational and Education Development (OED), Research and Enterprise Services (RES), the Careers Service, and the Research Staff Association (RSA) Steering Group.

Responsibility for reviewing, refreshing and implementing the institutional Action Plan rests with the CIG. The Group meets termly to review progress and reports to the University Research Committee. Individual members take responsibility for leading and driving actions within the Plan, with the active involvement of other stakeholders across the institution.

The Concordat Action Plan is updated continually, and provides an outline of actions undertaken and progress to date. Actions are initiated and reported against specific principles laid out in the Concordat. Lancaster's Concordat Forward Action Plan 2017-19 builds on the successes of previous Action Plans and is structured such that a response is made against each clause of the Concordat, to ensure completeness and eliminate gaps. Future actions are outlined, identifying evidence required, timescale and responsible lead. A summary of the institution's current compliance with the clauses of the Concordat is also provided. A crucial vehicle for implementing many of the actions within the Plan is the creation of a Code of Practice for the Development of Research Staff which seeks to embed the principle of the Concordat and is referenced throughout the plan.

## Background to the Concordat

The UK Concordat to Support the Career Development of Researchers is based on an agreement made in 1996 (updated in 2008) between funding bodies and universities, which aimed to improve the support for research staff on fixed-term contracts in their career development.

The Concordat provides a single, unambiguous statement of the expectations and responsibilities of research funders and institutions with respect to the management of researchers. The seven principles of the Concordat are specific to the UK context and is the primary mechanism for UK institutions to participate in the [European HR Excellence in Research Award](#).

## Concordat Principles

### **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.

### **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.

### **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.

### **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.

### **E: DIVERSITY AND EQUALITY**

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

### **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.

## Lancaster University Concordat Forward Action Plan 2017-19

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
<b>A: RECRUITMENT AND SELECTION</b>					
<b>Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.</b>					
<i>A1.1 – All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</i>					
1.1.0	<p><b>Existing activity</b></p> <p>The University is committed to open and transparent processes for the recruitment, selection and retention for all employees, including research staff. This commitment is articulated in the University’s <a href="#">Our People Strategy 2020</a> which, in respect of researchers, states that the University will:</p> <ul style="list-style-type: none"> <li>• “Develop a culture and environment that enables the best research globally to be undertaken by staff and students at Lancaster, including the encouragement of multi and inter-disciplinary work across the University”.</li> <li>• “Continue to support our research students and researchers, especially during the early stages of their careers and in support of career progression”.</li> </ul> <p>A service level agreement <a href="#">HR and Payroll Service Standards</a> seeks to ensure that all prospective employees are treated fairly and receive a consistent, effective and efficient service from the HR Service Delivery Team.</p> <p>The University is proactive in developing and implementing schemes that attract and then support early career researchers, such as the <a href="#">50th Anniversary Lectureship</a> scheme.</p> <p><i>No specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
A1.2 – 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.					
1.2.1	<p><b>Existing activity</b></p> <p>The University has developed a <a href="#">toolkit and guidance for recruiters</a> that applies to all aspects of recruitment for all staff groups including part time and short-term appointments. This has been communicated to senior stakeholders and includes a series of tools which recruitment managers have at their disposal.</p> <p>All chairs of recruitment panels are required to attend recruitment and selection training. A programme of Unconscious Bias training is being rolled out, and the Recruiting the Best Training has been updated.</p> <p>The University employs competency-based recruitment where appropriate – the basis by which a candidate will be selected is made clear on the Person Specification.</p> <p>The <a href="#">Code of Practice for the Development of Research Staff</a> includes reference to recruitment and selection good practice.</p> <p><i>No specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	New HR <a href="#">recruitment web</a> pages and <a href="#">on-line toolkit</a> encourage best practice in recruitment panels and encourage diversity in applications.
1.2.2	<i>No specific action identified for 2017-19.</i>				
A1.3 – Research posts should only be advertised as a fixed - term post where there is a recorded and justifiable reason.					
1.3.1	<p><b>Further action</b></p> <p>The University will seek to minimise the instances where research posts are advertised as fixed-term without a justifiable and recorded reason by continuing to seek alternatives to recruiting research staff on a fixed-term contract (FTC) basis.</p>	<p>Post implementation and communications analysis of CORE HR management system data to indicate:</p> <p>1) reduction in numbers of research staff employed on fixed-term contracts.</p>	Dir.HR [OD]	Review date: September 2018	A new updated version of the proposed policy on the use of fixed term contracts has been discussed with the trade unions and is now ready for final sign off with the Trade Unions in November 2019. Over the full reporting period there has been a slow increase in the number of permanent contracts. Up from only 2 (moving from fixed term to permanent) in the period 17/18 to 8 (moving from fixed term to permanent) in the period 18/19. The new policy will have a significant positive impact on these figures.

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p>Development of a range of options available across the institution to encourage and facilitate retention of research staff on fixed term, externally funded research contracts.</p> <p>Options referenced within, and accessible from, <a href="#">Code of Practice for the Development of Research Staff</a>.</p> <p>Principal Investigators to include reason for fixed-term contract role on HR staff requisition proforma and recorded on HR management system.</p> <p>Further development of the training provision for PIs to include more reference to recruitment training and the use of PDRs for all.</p>	2) insights into reasons for continuing to use FTCs.			<p>Discussions with internal groups, such as Associate Deans (Research) and research staff themselves. Indicated that for most posts the use of a pool of researchers was not the best option due to the specialist nature of the research. However, in some departments and Faculties bridging funding is available where researchers who face a gap of up to 3 months can bid for some funding to follow their own research in the interim and thus maintain continuous service and also advance their careers.</p> <p>PIs have been specifically targeted in the recruitment drive for the Recruiting the Best and PDR training. Feedback from these participants includes “I wasn’t expecting to learn very much, but it has been most enlightening and relevant to my role” research leader participant at OED PDR training session.</p>
<p><i>A1.4 – 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.</i></p>					
1.4.0	<p><b>Existing activity</b></p> <p>University recruitment and progression panels are formed at departmental level and seek to reflect diversity in addition to the range of experience and expertise required to fairly assess candidate’s suitability for a role, or for progression within a role, as outlined in the University’s <a href="#">toolkit and guidance for recruiters</a></p> <p><i>No further specific action identified for 2017-19</i></p>	n/a	n/a	n/a	<p>New HR <a href="#">recruitment web pages</a> and <a href="#">on-line toolkit</a> encourage best practice in recruitment panels and encourage diversity in applications.</p>
<p><i>A1.5 – 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.</i></p>					
1.5.0	<p><b>Existing activity</b></p> <p>University pay grades for research staff are determined according to an established HR recruitment framework that applies to all University staff.</p> <p>Pay grades are determined by job evaluation, and each grade has a range of normal and contribution points associated with it. Job evaluation</p>	n/a	n/a	n/a	<p>HR commissioned an external review of the job evaluation system to identify areas for improvement. This reviewed the grading matrix there were some minor adjustments suggested to the role descriptor. But overall the report’s findings were very positive. Ensuring Lancaster has a good benchmark for the future.</p> <p>As reported in the 2018 Staff Survey, 80% of Research only staff felt that they were fairly rewarded for the work they do in comparison to 68% for the University as a whole (Q1-14).</p>

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	<p>determines grade, but not position within grade. Detailed information is available on the <a href="#">HR website</a>, and specifically, the document <a href="#">Guidance on Starting Salaries</a>.</p> <p>The University also observes national pay bargaining and any research staff based in London (such as those based at the Work Foundation) attract a London weighted allowance.</p> <p>Pay levels within grade are determined by HR and the Principal Investigator upon appointment, recognising an individual's skills, competencies, circumstances and market forces.</p> <p><i>No further specific action identified for 2017-19.</i></p>				

## 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.**

*B2.1 – 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.*

2.1.1	<p><b>Further action</b></p> <p>Complete final development of the <a href="#">Code of Practice for research staff</a>. Recommendations agreed by Research staff groups and Research Committee, ensuring references to mentoring, access to teaching opportunities and wider professional development.</p> <p>The development of a Code of Practice for principal investigators as a separate document was reviewed by Concordat Implementation Group (CIG). Roles and responsibilities for principal investigators will be incorporated into <a href="#">Code Of Practice for the Development of Research Staff</a>.</p>	<p>Completed Code of Practice, disseminated and implemented.</p> <p>Effectiveness evidenced by:</p> <p>1) Research Staff Association (RSA) research staff focus group events.</p>	Dir.HR, Dir.RES [RSD]	Implementation and embedding by September 2019.	<p><a href="#">Code of Practice now a published web page</a></p> <p>CoP and Concordat main theme for RSA Christmas event. This gave Lancaster researchers an opportunity to feed into the Concordat updates.</p> <p>Consultation with Research Staff Association members ongoing, further refresh will be undertaken in line with Concordat updates. This will ensure the content is fit for purpose and is responsive to the changing environment.</p>
2.1.2	<i>No further specific action identified for 2017-19.</i>				

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2.1.3	<b>Further action</b> Include Concordat as an annual session at the University's Leadership Group meeting (VC, PVCs, Deans, HoDs, ADs and professional services leads will all be present).	Minutes of Lancaster University Leadership Group.	PVCR [OD]	December 2018	Organisational Developer and Chair of Research Staff Association presented an update to University Leadership Group. This is now an annual agenda item.
2.1.4	<b>Further action</b> Appoint/select a Concordat lead in each Faculty	Nominated Concordat leads appointed for each Faculty.	ADR [OD]	January 2018	Research staff representatives on Faculty research committees have taken on the role of Faculty Concordat Champions.
2.1.5	<b>Further action</b> Maintain RSA representation on CIG and develop greater connection between the Research Staff Association Steering Group and Lancaster's structures for research governance, ensuring research staff representation on relevant committees and decision-making bodies at all levels within the organisation strengthen.  Identify relevant committees with/for research staff representation.  Request for Researcher representation on Senate.	All researcher representatives on departmental/faculty /university research committees are members of the Research Staff Association.  Senate minutes	Dir.HR, [OD]	April 2018  September 2019	The RSA Steering Group is represented on the Concordat Implementation Group (CIG) (4 members, one from FASS and 3 from different areas in FST). Representatives on institutional research committees and researcher groups are not necessarily members of the RSA Steering Group. However, the RSA has strengthened the links between the RSA and research staff reps through a research rep mailing list and formalising regular meetings. All relevant committees (e.g. Research committees) have research staff reps on them, with the notable exception of Senate.  Request submitted to the Senate review group to include researcher representation - currently under consideration
<i>B2.2 – 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</i>					
2.2.1	<b>Further action</b> Continue negotiation and reach agreement with campus trade unions on the policy relating to the use of fixed-term contracts and how transitional funding for fixed term researchers can be better used.  Implement agreed policy – development of a communications policy to roll-out and embed the policy.	Agreement with campus trades unions.  Analysis of CORE HR management system to indicate reduction in numbers of research staff employed on fixed-term contracts.	Dir.HR [OD]	Union agreement: Ongoing  CORE Analysis: January 2018 (year on year data set)	See 1.3.1  Pilot projects to minimise the impact of fixed-term contracts and retain research staff are underway in Faculty of Health & Medicine. See Clause 2.4.  New HR <a href="#">recruitment web pages</a> and on-line toolkit encourage best practice in recruitment panels and encourage diversity in applications.
<i>B2.3 – 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</i>					

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diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is develop and how effectively this supports good research management.					
2.3.1	<p><b>Existing activity</b></p> <p>Principal Investigator Development Programme launched 2015/16 with a first cohort of 18.</p> <p>The Programme was evaluated positively and refreshed for 2016/17. Following an internal review in July 2017, the programme has been further developed and relaunched as the 'Research Leadership Development Programme'.</p> <p><i>No further specific action identified for 2017-19.</i></p>	<p>Run two cohorts during 2017-19.</p> <p>Impact of programmes on PI behaviour assessed with Questions included as part of LU Staff Survey</p>	OD [OD]	<p>1<sup>st</sup> cohort: June 2018</p> <p>2<sup>nd</sup> cohort: June 2019</p>	<p>Lancaster did not undertake the CROS/PIRLS surveys during this period, as there was duplication with the University Wide staff survey. CIG will further explore the benefits of alternating between the surveys to allow full reporting.</p> <p>Staff survey results show an upturn in engagement both by PIs and by researcher in development opportunities. For example, as reported in the 2018 Staff Survey, resulting in support, guidance and direction viewed favourably by Researchers. An example being, 85% of researchers responded favourably to Q4-16 My immediate manager, the person I most regularly refer to for guidance or direction when it is needed deals with poor performance effectively in comparison to 74% for the University as a whole.</p> <p>A refreshed PDR process and extensive PDR training for all those with line management responsibility as resulted in positive feedback including improved satisfaction by researchers as evidenced in the Staff Survey.</p> <p>The Research Leadership Programme has further developed into a Research Leadership Masterclass series, with bespoke sessions looking at the role and management skills of PIs.</p>
2.3.2	<p><b>Further action</b></p> <p>Rollout of new institution-wide PDR scheme scheduled for 2018 with mandatory training for all managers, including research managers.</p>	<p>100% of research managers participated in training.</p> <p>Effectiveness of PDR process reflected in LU Staff Survey 2018.</p>	Dir.HR [OD]	Roll-out scheduled for March 2018	<p>Positive responses to the PDR roll out. Improved quality of conversations is noted. As is the value of the process. Of those who had reported as part of the 2018 Staff Survey that they had undertaken a PDR, 80% of researchers responded that they had agreed an appropriate learning and development plan in comparison to 68% for the University as a whole (Q3-7).</p> <p>New on-line training tool for PDR is used by reviewers and reviewees. Supported by innovative scenario-based training sessions. University wide take up – data not available until 2020.</p>
2.3.3	<p><b>Further action</b></p> <p>The creation of new Group Lead roles within the Faculty of Science and Technology to support Heads of Department in the management of academic staff.</p>	Evaluation of the bespoke Development Programme and the effectiveness to date of the Group Lead structure scheduled for November 2017.	Dir.HR [OD]	December 2017	Report to University Management Group confirmed success of the Group Lead structure and the accompanying development programme Group leads are also encouraged to access the range of existing Researcher and Research Leadership Programmes and to actively input good practice into these workshops and speak at the masterclass series.



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	This initiative is accompanied by a bespoke Group Lead Development Programme.				
2.3.4	<b>Further action</b> Implementation of new Code of Practice for the Development of Research Staff aims to embed the principles of the Concordat and reinforce research leaders, research staff and institutional responsibilities.	See 2.1.1	Dir.HR, Dir.RES [RSD]	See 2.1.1	<u>Code of Practice</u> now a published web page  Consultation with Research Staff Association members ongoing, further refresh will be undertaken in line with Concordat updates.  Direct links will be made to the CoP from development workshops
2.3.5	<b>Further action</b> Develop future research leaders through raising awareness and promotion of Research Fellowships.	Increase the number of research fellowship applications by 10%.	Dir. HR [OD]	September 2019	Target achieved.  Institutional fellowship totals for 2015 – 2017 = 30 Institutional fellowship totals for 2017 – 2019 = 33
2.3.6	<b>Further action</b> Evaluate the effectiveness of the 50th Anniversary Lectureship Scheme to explore wider opportunities for research talent development.	Evaluation complete and report to PVCr and senior management.	Dir. HR [OD]	Annual review September 2018 & 2019	The 50th Anniversary Lectureship Scheme has been recognised by UHR (award winner) and nominated for CIPD award in various categories in recognition of its innovative approach. Best practice has been incorporated in a number of researcher development areas. Very positive response and further recommendations for future initiatives including the use of a cohort approach to induction with all new researchers. (to develop community and support across disciplines)
<i>B2.4 – 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.</i>					
2.4.1	<b>Existing activity</b> Guidance and support is available from the University's HR webpages including <a href="#">Redeployment Policy</a> , <a href="#">Redundancy Policy</a> . The University maintains a Redeployment Register which Researcher Staff at risk of redundancy are offered as part of the redundancy process, (refer to the University's <a href="#">Redeployment Process Chart</a> ).	Development of a range of options available across the institution to encourage and facilitate retention of research staff on fixed term, externally funded research contracts.  Options outlined within, and accessible from, <a href="#">Code of Practice for the Development of Research Staff</a> .	Dir.HR [OD]	July 2018	Pilot projects to minimise the impact of fixed-term contracts and retain research staff are underway in Faculty of Health & Medicine.  Small bridging funds are available in some departments as is seed funding to assist in the start-up and development of new research areas. Best practice will be reported and developed further by the Associate Deans Research through the Research Committee and the ADR forum.  Two ADRs currently represent this forum on CIG and will be able to report any activity directly.

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p><b>Further action</b></p> <p>To establish and refine a range of measures for the retention of research staff on externally funded research contracts.</p> <p>The University is actively seeking ways by which the challenges of fixed-term contracts may be mitigated. A number of options are under consideration following the ‘conversational tour’ aimed at supporting the Code of Practice for the Development of Research Staff and the implementation of the institutional Concordat Action Plan:</p> <ul style="list-style-type: none"> <li>• researcher pools</li> <li>• centrally-held bridging fund</li> <li>• funding levy to cover bridging (e.g. a percentage of all awards)</li> <li>• a standard post-project ‘extension’ during which the researcher produces papers/publication etc. of direct interest and value to the institution</li> <li>• generic researcher roles (i.e. that are not discipline/sector specific)</li> </ul>				
<i>B2.5 – 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</i>					
2.5.0	No further specific action identified for 2017-19.	n/a	n/a	n/a	See Clause A1.5.
<i>B2.6 – 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.</i>					
2.6.0	<p><b>Existing activity</b></p> <p>Promotion opportunities for researchers on fixed-term contracts are necessarily limited where a post is entirely dependent on the support of an external funding body.</p> <p>The University has a mechanism where research staff may apply for re-grading where circumstances apply, for example moving from one contract to another – or where contracts overlap.</p>	n/a	n/a	n/a	

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	<p>Guidance for research managers is accessible through nominated HR Partners and the <a href="#">‘Academic Promotions’</a> section of the HR website.</p> <p><i>No further specific action identified for 2017-19.</i></p>				
<p><b>C: SUPPORT AND CAREER DEVELOPMENT</b></p> <p><b>Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.</b></p> <p><b>Principle 4: The importance of researchers’ personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.</b></p>					
<p><i>C3.1 – 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.</i></p>					
3.1.0	<p><b>Existing activity</b></p> <p>Research Staff are encouraged to make use of the information, advice and resources available from the University’s Careers Service. A specialist Careers Consultant is available for appointments; who is also a member of the Concordat Implementation Group.</p> <p>The Careers Service participates in the annual RSA Christmas Fayre, a showcase of University resources available to research staff and other researchers.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	<p>Lancaster is a partner on the Liverpool-led Prosper: Enhancing first-time postdoctoral career development and success project. This £4.4M project is funded by Research England, through their Research England Development (RED) scheme. The project will develop researchers – particularly early postdoctoral talent – with the broader capabilities, attributes and mind-set needed to thrive in multiple careers. Recognising that career paths for researchers in academia are limited and other options outside of HE should be explored and that relevant skills and training might be needed to enable researchers to take advantage of these opportunities.</p>
<p><i>C3.2 – 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.</i></p>					
3.2.1	<p><b>Existing activity</b></p> <p>A refreshed Researcher Development Programme was launched for 2016/17, and was reviewed July 2017.</p> <p>The RDP specifically promotes increased self-awareness and sense of independence as part of its personal development offer.</p>	<p>Effectiveness evidenced by:</p> <ol style="list-style-type: none"> <li>1) course evaluation,</li> <li>2) questions included as part of LU Staff Survey</li> </ol>	OD [RSD]	<p>Course evaluation: July 2018</p>	<p>Annual review of programme feedback supports the ongoing development of these programmes. Both programmes consistently receive scores of Very Good (post programme feedback). The resilient researcher with its peer coaching core, and individual workshops has very positive feedback including comments such as “I have worked at a number of institutions, but never before had the opportunity to take part in such a useful programme. The workshops feel current and very relevant and the support offered by the peer coaching has been invaluable.” And of</p>

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	<p>Recruitment to RDP 2018 opens on 16 October 2017.</p> <p>All research staff will be directly targeted, through an internal targeted mailing list and Managers newsletters.</p> <p>New programmes for 2018/19 – The balanced academic and the Resilient Researcher – programmes with a coaching core, supported by a series of open workshops. Focus of sessions on information and skills needed by researchers at Lancaster, covering process, information and skills for researchers and those who manage researcher teams.</p> <p><b>Further action</b> Further develop the Researcher Development Programme as a means of promoting increased self-awareness, confidence and sense of independence amongst research staff.</p>				<p>the Writing Retreats “I’ve always struggled with my writing but Will has enabled me to find the time and space to get it done, his guidance and advice was most useful in getting me started.”</p> <p>(See also 3.1 above from details of Prosper project.)</p> <p>As reported in the 2018 Staff Survey, 80% of researchers felt that the University had provided them with the training and development opportunities to develop their careers in comparison to 76% of the University as a whole (Q3-19). Of those who had responded they had had a PDR, 86% of researchers responded that their career aspirations had been discussed as part of their PDR in comparison to 77% of the University as a whole (Q3-6).</p>
3.2.2	<p><b>Existing activity</b> OED’s Organisational Developer is leading the development of an RSA NW Forum, and has hosted a meeting of North West HEIs to progress this agenda. The establishment of a NW RSA Forum is perceived as key element in facilitating researcher mobility within and without the region.</p> <p>The University was represented at the 2017 Vitae conference, where the OED researcher support team design and facilitated a joint workshop with UKRSA and Marie Curie Alumni Association (MCAA). The workshop was entitled ‘Leveraging researcher support networks to facilitate mobility’.</p> <p><i>No further specific action identified for 2017-19.</i></p>	N/A	N/A	N/A	See 3.1 for details on Prosper project.

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3.2.3	<p><b>Further action</b></p> <p>Retain 'career pathways' as a key ongoing theme for the Research Staff Association future activities.</p> <p>Careers pathways' remain a popular and productive RSA theme (see Research Staff Association annual report 2016). Theme continues for 2017/18.</p>	A minimum of three Research Staff Association events scheduled which address different aspects of career pathway.	OD [RSD]	September 2019	<p>RSA ran three workshops relating to research staff development and other relevant information and networking events each year. Topics covered this year included:</p> <ul style="list-style-type: none"> <li>December 2017 – Christmas Café</li> <li>June 2018 - Transitioning from conference attendee to leader</li> <li>July 2018 – Demystifying REF</li> <li>December 2018 – Christmas Café (inc. Lancaster's response to the Concordat)</li> <li>April 2019 - Exploring teaching opportunities and support for those who teach.</li> <li>July 2019 – Concordat Update- this was also an opportunity for researcher to meet some of the research Reps for their departments.</li> </ul> <p>There is an average attendance of 40 researchers from across all disciplines.</p>
3.2.5	<p><b>Existing activity</b></p> <p>Lancaster University Research Staff Association was established in 2012. The Association is supported by senior management and offers a range of activities aimed establishing a research staff community; sense of personal independence; career development and networking opportunities. The Association also provides a voice for research staff, and is key element in the implementation of the Concordat.</p> <p><b>Further action</b></p> <p>Develop a long-term sustainable operational plan for Lancaster University Research Staff Association.</p>	Review terms of reference. Update strategic plan for 2017-19. Identify and appoint officers to key roles.	OD [RSD]	October 2017	The RSA now has an <u>executive group</u> of 4 researchers, one from FASS and 3 from different departments in FST. Who meet on a regular basis with the ODR to discuss any issues that may have arisen and to plan activity and representation for the researcher community. The RSA has strengthened the links between the RSA and research staff reps through a research rep mailing list and formalising regular meetings. They share news and updates via a <u>word press site</u> . The RSA executive members are all members of the CIG.
<p><i>C3.3 – 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 both effective researchers and highly-skilled professionals in whatever field they choose to enter.</i></p>					
3.3.1	<p><b>Existing activity</b></p> <p>The University provides a wide range of training and <a href="#">skills development</a> opportunities to develop</p>	n/a	n/a	n/a	

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p>the communication and other professional skills that research staff need. These include writing, presentation, confidence-building skills.</p> <p><i>No further specific action identified for 2017-19.</i></p>				
<p><i>C3.4 – 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.</i></p>					
3.4.1	<p><b>Existing activity</b> The University's Careers Service is promoted at RSA events, also within the Researcher Development Programme. A representative from the Careers Service is a member of the Concordat Implementation Group.</p> <p><b>Further action</b> Increase awareness amongst researchers of the independent advice offered by Lancaster Careers Service.</p> <p>Access to Careers Service information and resources facilitated via the Code of Practice for the Development of Research Staff. Careers Service to be promoted at relevant RSA careers events.</p>	<p>20% increase in take-up of Careers Service by research staff.</p>	<p>OD [CIG/ Careers]</p>	<p>September 2019</p>	<p>We aim to increase Researcher engagement with Careers. However, it is difficult to measure face to face, email and telephone interventions as TARGETconnect reporting (the Careers CRM) does not differentiate between staff and students.</p> <p>Researchers are welcome to request Careers appointments but appointments cannot always be guaranteed as Careers do not have designated staff for Researchers. However Researchers can use the Careers website including our on-line Careers portal for personal and professional development, vacancy search, employer and sector intelligence, and help with the application process.</p> <p>There is indicative feedback from the Careers Services that the number of researchers accessing the face to face service has remained constant over the last 2 years.</p>
<p><i>C3.5 – 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</i></p>					
3.5.1	<p><b>Existing activity</b> Staff Survey results (2016/17) for research staff have been analysed and assimilated with FHM RCAD survey and CROS/PIRLS to gauge the extent of the challenges facing research staff in developing their own career options.</p> <p>Research staff are encouraged to take responsibility for their own career options. This is reflected in the content and delivery of</p>	<p>Effectiveness evidenced from:</p> <p>1) Research Staff Association (RSA) research staff focus group events.</p>	<p>HR E&amp;D [RSD]</p>	<p>September 2018</p>	<p>New <a href="#">HR web site</a> is clearer and easier to use with links and signposting to all relevant policies and process to support our researchers</p> <p>Evidence provided by departments as part of their REF environment statement submissions signals a positive move by departments to clarify the internal processes for promotion and reward.</p>

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p>Researcher Development Programme and the theme/activities of the RSA.</p> <p><b>Further action</b></p> <p>In order to enable researchers to develop sustainable career options, further enhance understanding of challenges facing researchers, to include those considering leaving the institution and/or research and their reasons for leaving.</p>				<p>The RSA has focussed a number of events on career options, with a specific focus on teaching routes. Feedback from these sharing practice sessions has been positive.</p> <p>In January 2019 an on-line exit questionnaire was launched. Employees receive an invite to complete the exit questionnaire through a link provided to them via their leavers letter. Employees can complete the exit questionnaire online but the tool also invites people to contact HR if they wish to have a more in-depth discussion or raise concerns on a face to face basis. So far there have been around 35 responses and therefore insufficient data to gather overarching themes.</p>
<p><i>C3.6 – 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.</i></p>					
3.6.1	<p><b>Existing activity</b></p> <p>University policies and processes for <a href="#">promotion and reward</a> are available on the HR website. HR partners provide information, advice and guidance to research managers and other staff responsible for research staff.</p> <p>A bespoke session for research staff and academics at the ‘Welcome to Lancaster’ event is proving effective. Exploration of local practice in departments has been picked up during the ‘conversational tour’.</p> <p><b>Further action</b></p> <p>Enhance the induction and support for all new research staff to enable them to fully understand their responsibilities, particularly in relation to research governance and ethics, health and safety, personal development and career planning, data management and lone working.</p> <p>Improve induction support through the development and implementation of new induction materials, and include as key aspect of Code of Practice for the Development of Research Staff.</p>	<p>Improved induction support materials, reference within Code of Practice for the Development of Research Staff.</p> <p>Effective research environment for training and development evidenced by LU Staff Survey.</p>	Dir.HR [OD]	September 2018	<p>New on-line University <a href="#">Induction portal</a> ensures all staff have an enhanced induction experience. Getting up to speed quickly with systems and process is essential and research staff have valued the on-line elements, particularly when joining us from overseas. Additional information and smoother process have been welcomed, with complimentary comments being received by HR staff, when they meet new starters “how smooth and painless the process was.” A parallel system for <a href="#">hiring managers</a> has also been introduced to ensure they are also following University procedures and code of practice.</p> <p>During the face-to-face induction, all new researchers are provided with details of the development programmes designed to support them and their research.</p> <p>As reported in the 2018 Staff Survey, 80% of researchers felt the University had provided them with the training and development opportunities to develop their career in comparison to 76% of the University as a whole (Q3-19).</p>

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C3.7 – Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.					
3.7.0	<p><b>Existing activity</b></p> <p>Research staff are encouraged, through the <a href="#">Personal Development Review</a> process to discuss, with their manager and/or PI, the development of skills and engagement in activities that extend beyond their present role.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	
C3.8 – 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.					
3.8.0	<p><b>Existing activity</b></p> <p>OED has an organisational and education strategy that includes a comprehensive provision for both research staff and research managers, integrated with other staff development initiatives. See <a href="#">Development for Researchers at Lancaster University</a>.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	
C3.9 – 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.					
3.9.0	<p><b>Existing activity</b></p> <p>Research staff are encouraged, through the activities of the <a href="#">Research Staff Association</a>, <a href="#">Library 'Research Bites'</a>, and other initiatives, to develop further skills and other developmental activity that not only provide a personal benefit but also make a direct contribution to research output e.g. through publications, papers, conference presentations and wider dissemination activities.</p>	<p>Include access to CPD support materials within Code of Practice for the Development of Research Staff.</p> <p>Effectiveness evidenced by CPD-specific questions within LU Staff Survey</p>	Dir.HR [OD]	September 2018	<p><a href="#">Code of Practice</a> updated accordingly.</p> <p>Results from the latest staff survey are positive, showing an increase in satisfaction from the Researchers that PDR is more effective and engagement by line managers (PI) are having a positive impact on individual CPD.</p> <p>For example, as reported in the 2018 Staff Survey, 80% of researchers felt that the University had provided them with the training and development opportunities to develop their careers in comparison to 76% of the University as a whole (Q3-19). Of those who had responded they had had a PDR, 86% of researchers</p>



	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p><b>Further action</b></p> <p>Principal Investigators will be encouraged, through the <a href="#">Code of Practice</a> for the Development of Research Staff, to ensure that opportunities are provided to discuss such activities with their research staff as both as part of the <a href="#">PDR process</a> and as part of routine project development and management.</p>				<p>responded that their career aspirations had been discussed as part of their PDR in comparison to 77% of the University as a whole (Q3-6).</p> <p>In addition, 81% of researchers felt that they were given the same opportunities to develop as other staff in comparison to 80% of the University as a whole (Q3-18)</p>
<p><i>C3.10 – 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.</i></p>					
3.10.1	<p><b>Existing activity</b></p> <p>A revised policy for the Performance Development Review process was presented to the Joint Negotiation and Consultation Committee (JNCC) in November 2016, and was signed off by JNCC November 2016.</p> <p><b>Further action</b></p> <p>Implementation of new Performance Development Review (PDR) policy as part of the implementation of CORE HR management system.</p>	Designed, trialled, and implemented revised PDR process.	Dir.HR [OD]	Roll-out scheduled for March 2018	Roll out was dependent on the implementation of CORE, the internal HR management system. This was delayed – go live has been started June 2019 – no data available yet.
<p><i>C3.11 – 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</i></p>					
3.11.0	<p><b>Existing activity</b></p> <p>The University offers CPD processes and opportunities that are consistent and compatible with other HEIs. The University recognises CPD as an essential part of <a href="#">staff development</a> and as such, ensures that its competency-based recruitment and selection processes recognise as far as possible the CPD schemes from other employing organisations.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	
<p><i>C3.12 – 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.</i></p>					

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3.12.1	<p><b>Existing activity</b>  Opportunities for teaching are provided at local, departmental, level in response to the needs of department and Faculty.</p> <p>The University provides support for teaching and academic development through Organisation and Educational Development, specifically through its <a href="#">Educational Development</a> offer including PGCert, Associate Teacher Programme, ATLAS and PGCert Academic Practice (International).</p> <p>Support for specific skills for demonstrating is closely aligned with the skillset of individual researchers and is provided locally by the relevant department.</p> <p><b>Further action</b>  Clarify expectations around opportunities for teaching, and the training and support available.</p> <p>Use <a href="#">Code of Practice</a> to disseminate teaching opportunities open to, and expectations of, research staff.</p>	Clarification and information provided to research staff and research leaders within new Code of Practice for the Development of Research Staff.	Dir.RES [RSD]	October 2017	<p><a href="#">Code of Practice</a> updated accordingly.</p> <p>RSA event Summer 2019, focused on teaching and the support available – guest panel, covered case studies and support available for those who are wanting to or are already teaching.</p> <p>This event highlighted some disparity within research funding, but highlighted some excellent practice within some departments LEC (Lancaster Environment Centre) was identified as showing particularly good practice. This will be transferred forward to 2019-21 action plan for further actions.</p>
<i>C3.13 – 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.</i>					
3.13.0	<p><b>Existing activity</b>  Research staff have the opportunity, through the activities of the <a href="#">RSA</a>, and at local level, to take part, and be represented, in the governance of the institution at all levels.</p> <p>These include the RSA Steering Group (representation from all four Faculties, as a minimum); Faculty Research Committees; and other departmental and Faculty research development and organisational committees.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	At least one Researcher rep is a member of each Faculty research committee; University and Faculty level ethics committees; Athena SWAN working groups.

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<i>C3.14 – Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement</i>					
3.14.1	<p><b>Existing activity</b></p> <p>Pro-active offer of mentoring as part of OED programme participation undertaken during 2015/16 and has proved successful.</p> <p>The University's Principal Investigator Development Programme ensures that research managers are aware of, and understand the value of mentors, both involved in providing support and guidance for the personal and professional development of both principal investigators and researchers. Similarly, the Researcher Development Programme also encourages research staff to take up a mentor.</p> <p><b>Further action</b></p> <p>Continue to pro-actively offer mentoring as part of OED programme participation.</p>	Increase by 10% increase the number of mentor-matches made within relevant development programmes (e.g. Researcher Development Programme/Research Leadership Development Programme)	OD [OD]	September 2019	<p>New approach to mentoring shared with departments and on-line guidance refreshed. Emphasis on the role of PI in helping all researchers to find an appropriate mentor for their individual needs.</p> <p>Take up of mentoring within programmes is currently 20%, this would be in addition to any existing departmental mentor they may have and for some departments such as Law 90% of staff have a departmental mentor.</p> <p>Following the mentoring (Odyssey) Programme review outcome mentor matching now happens at a local level, not centrally.</p> <p>Some departments have set up their own matching schemes and support.</p> <p><u>PDR</u> and <u>mentoring training</u> are still provided centrally – line managers, PI etc encouraged to take an active role in finding an appropriate mentor for each researcher, from induction and throughout career. No longer measured centrally.</p>
<b>D: RESEARCHERS' RESPONSIBILITIES</b>					
<b>Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.</b>					
<i>D5.1 – Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers</i>					
5.1.1	<p><b>Further action</b></p> <p>PIs to encourage researcher engagement in professional and career development through increased participation by research staff in Personal Development Reviews (PDRs).</p>	<p>Evidenced by:</p> <p>1) questions included as part of LU Staff Survey</p> <p>2) Research Staff Association (RSA) research staff focus group events.</p>	ADRs, HR Partners [OD]	September 2019	<p>Research staff included in the HR staff survey focus groups.</p> <p>In the 2018 Staff Survey, 86% of researchers responded that overall learning and development had helped them to do their job more effectively in comparison to 81% of the University as a whole (Q3-17).</p>
5.1.2	<p><b>Further action</b></p> <p>Encourage research staff sense of independence and self-reliance through activities of the RSA and the dissemination of Lancaster's new <a href="#">Code of</a></p>	Feedback on effectiveness of Code of Practice in supporting this action, RSA focus groups, research committees	OD [OD]	June 2018	RSA/OD organising further discussion groups to feed into review

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	<a href="#">Practice to Support the Development of Research Staff.</a>				
<i>D5.2 – 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.</i>					
5.2.0	<p><b>Further action</b></p> <p>Refresh the researcher training and development offer to promote internal services which support consultancy, contracts, IP, licences and spin-out companies.</p>	<p>Creation of three new training and development events covering industrial engagement, public and community engagement, IP and consultancy.</p> <p>Effectiveness measured through feedback and evaluation.</p>	OD [OD]	Available from January 2018	<p>This action builds on <u>current provision</u> which included ‘Engaging with the media’, ‘Engaging parliament and policymakers with engaging research’.</p> <p>3 new programmes were piloted and reviewed 2018 and are now business as usual</p> <ul style="list-style-type: none"> <li>• Getting started: the funding landscape and opportunities</li> <li>• Developing successful proposals</li> <li>• Making a difference: engagement and impact</li> </ul>
<i>D5.3 – 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.</i>					
5.3.1	<p><b>Existing activity</b></p> <p>Research Service Office (RSO) supports research ethics and integrity across the institution, including the Research Ethics Committee.</p> <p>Events and workshops on the awareness of appropriate ethical practice have been held – e.g. the Library regularly hold ‘Research Bites’ which cover topics of specific value to researchers.</p> <p>The university has recently had a renewed focus on ethics and progress has been made on awareness of ethics and the responsibilities of research staff in this regard.</p> <p>Continued awareness will be raised through the Code of Practice.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	
<i>D5.4 – 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.</i>					
5.4.0	See 5.1.1				
<i>D5.5 – Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide</i>					

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<i>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.</i>					
5.5.0	See 2.3.4				
<i>D5.6 – 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.</i>					
5.6.0	<p><b>Existing activity</b></p> <p>In addition to the University's induction programme for all new staff, the Research Staff Development Programme ensures that research staff are aware of, and understand the value of PDRs in providing support and guidance for their personal and professional development.</p> <p>Research staff are encouraged to take a proactive attitude to the PDR process, preparing adequately and ensuring that their PI carry out the PDR in a timely fashion.</p> <p>A revised policy for PDRs has been developed and will be implemented as soon as possible (see 3.8.0).</p> <p>Mandatory training and resources will support the roll-out of Lancaster's new PDR scheme in 2018.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	PDR process now runs throughout the year, constantly updatable as a living document. More suited to the dynamic nature of research contracts and careers.(went live Summer 2019)
<b>E: DIVERSITY AND EQUALITY</b>					
<b>Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.</b>					
<i>E6.1 – The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression</i>					
6.1.0	<p><b>Existing activity</b></p> <p>Lancaster University's <a href="#">Equality and Diversity Plan 2016-2020</a> supports its Equality, Diversity and Inclusion <a href="#">EDI Strategic Vision 2020</a>, which reflects its commitment to "celebrating the diversity of members of the University and maximising their</p>	n/a	n/a	n/a	Gender Pay Gap Task Group (May 2018 – July 2019) highlighted issues that were subsequently recognised by Athena SWAN work groups, outcomes and recommendations will be addressed as part

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	<p>potential, underpinned by an emphasis on equality of opportunity and equality of treatment”.</p> <p>The Vision, Plan and Objectives apply to <i>all</i> staff and students and all roles – including research academic and professional – and are supported by policies and procedures outlined on the <a href="#">HR website</a>.</p> <p><i>No further specific action identified for 2017-19.</i></p>				of the 4-year institutional Athena SWAN action plan to be released in Autumn 2019.
<i>E6.2 – As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</i>					
6.2.0	<i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	<p><u>Member of Stonewall</u></p> <p><u>New recruitment policy</u> – adverts explicitly target specific groups.</p> <p><u>Disability confidence level 1.</u></p> <p>Athena SWAN accreditation both institutionally and academic departments.</p>
<i>E6.3 – It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</i>					
6.3.0	<i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	<u>New women’s network and disabled employees network.</u>
<i>E6.4 – Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</i>					
6.4.0	<i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	Research staff focus groups took place in 2018/19 as part of <u>Gender Pay Gap task groups</u> . Reported back to GPG task group and through University committee structure.
<i>E6.5 – It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently</i>					
6.5.0	<p><b>Existing activity</b></p> <p>The University supports requests for changed work patterns as part of its commitment to Athens SWAN and its staff. Five staff case studies</p>	n/a	n/a	n/a	

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	(four of which are researchers) demonstrate this commitment on the <a href="#">University EDI website</a> .  <i>No further specific action identified for 2017-19.</i>				
<i>E6.6 – Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.</i>					
6.6.0	<b>Existing activity</b> HR information and policies (for example those addressing Fixed Term, Equal Opportunities and Redeployment) are available on the HR website and intranet and aims to improve accessibility to guidance for current and potential researchers and their line manager.  This includes guidance, policies and support for researchers on parental leave (paternity and maternity) , and adoption leave.  RSO web pages provide funding information for pre and post award support.  <i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	
<i>E6.7 – Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is ‘representative’ will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.</i>					
6.7.0	<i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	See 6.1.0  New <a href="#">manager dashboards</a> available to increase awareness and visibility of any issues. No time delay in actions due to availability of reports.
<i>E6.8 – Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.</i>					
6.8.0	<i>No further specific action identified for 2017-19.</i>	n/a	n/a	n/a	See 6.1.0  EDI manager now included on HR OPS group meetings to highlight issues and look for possible issues and changes in policy where

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					appropriate. EDI manager also part of the Staff Circumstances panel, as outlined in our <a href="#">REF Code of Practice</a>
<i>E6.9 – All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.</i>					
6.9.0	<p><b>Existing activity</b></p> <p>The University has an institution-wide policy statement and guidelines in respect of bullying and harassment which applies to <a href="#">all staff (policy)</a> and <a href="#">students</a> .</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	These were re-written January 2018
<i>E6.10 – Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.</i>					
6.10.1	<p><b>Existing activity</b></p> <p>The University holds Athena SWAN Award Bronze at institutional level awarded in 2008, and renewed in 2012 and 2015. At faculty and departmental level, the following have been achieved:</p> <ul style="list-style-type: none"> <li>• Lancaster's Physics Department (Silver, 2017)</li> <li>• Faculty of Health and Medicine (Bronze 2013; Silver, 2017)</li> <li>• Lancaster Environment Centre (Bronze, 2013)</li> <li>• Psychology Department (Bronze, 2015)</li> <li>• Chemistry Department (Bronze, 2016)</li> <li>• Maths Department (Bronze, 2017)</li> </ul> <p><b>LGBTQ+ Equality 2017-18</b></p> <p>The University is a member of the Stonewall Global Diversity Programme, for Lesbian, Gay, Bisexual and Trans (LGBT) equality, and has been developing an action plan for 2017-18.</p>	n/a	n/a	n/a	<p>2018 update – All Faculty of Science departments have individual awards, Faculty of Health and Medicine has silver; Lancaster Institute for Contemporary Arts has a bronze and 5 FASS Departments are currently awaiting results following submission in April 2019.</p> <p>Stonewall</p> <p>2019 update – the Institution has decided not to submit an annual assessment against the Stonewall Workplace Equality Index although continues to be a member of the Stonewall Global Diversity Programme.</p>



	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p>As part of this the University submits an annual assessment against the Stonewall Workplace Equality Index.</p> <p>Stonewall also provide country briefings on LGBT equality in Stonewall Guidance – Malaysia (where Lancaster has entered into an academic partnership with <a href="#">Sunway University</a> Kuala Lumpur) and Stonewall Guidance – China (where <a href="#">Beijing Jiaotong University</a> has established a new Lancaster University campus).</p> <p><i>No further specific action identified for 2017-19.</i></p>				
<b>F: IMPLEMENTATION AND REVIEW</b>					
<b>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.</b>					
<i>F7.1 – 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.</i>					
<i>F7.2 – The signatories agree:</i>					
<p><i>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.</i></p> <p><i>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</i></p> <p><i>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</i></p> <p><i>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).</i></p> <p><i>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).</i></p>					
7.1.1	<p><b>Existing activity</b></p> <p>The Concordat Implementation Group (CIG) is the main instrument through which the institutional Concordat Action Plan is implemented. The CIG replaced the Concordat Monitoring Group in 2015. Restructured, and with greater representation from Research Staff through the RSA, (4 members), 2 ADR, 2 from RSO, 1 Careers,</p>				

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
	<p>1 ODR the new Group has developed further an approach to implementing the Concordat within the framework of a Code of Practice for the Management of Research Staff. The CIG is chaired at senior management level, Director HR, and reports to PVC Research.</p> <p><i>No further specific action identified for 2017-19.</i></p>				
<p><i>F7.3 – The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that the fund will adopt the principles of the revised Concordat.</i></p>					
7.3.0	<p><b>Existing activity</b></p> <p>The post-awards team within the Research Support Office (Research and Enterprise Services) ensure that research managers are aware of the Vitae Concordat and the University's commitment to adopt its principles.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	
<p><i>F7.4 – The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding The University has membership of Vitae and actively encourages it's researchers to engage with Vitae professional development training and resources. signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</i></p>					
7.4.0	<p><b>Existing activity</b></p> <p>The University is an institutional member of Vitae. The University promotes awareness of Vitae to research staff, and actively encourages research staff to engage with Vitae's training and development resources (e.g. Researcher Development Framework) through the University's Researcher Development programme and through the activities of the RSA.</p> <p>The University, through OED/HR, has attended Vitae Researcher Development International Conference 2017 as a contributor, designing and leading a workshop 'Leveraging Research Staff Association networks for researcher mobility'.</p> <p><i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	<p>As a major stakeholder and part of the inter-institutional development team. Lancaster is a partner with Liverpool and Manchester to develop the Prosper project. Focussing on alternative career pathways for Researchers. Engaging with Industrial partners to produce a support and development platform to encourage mobility and HE alternative pathways.</p> <p>The University, through OED/HR, also attended the 2018 and 2019 Vitae Researcher Development International Conferences.</p>

	Current level of compliance/Action to be undertaken	Evidenced by	Lead [Contact]	Timescale	Status update/additional notes
<p><i>F7.5 – Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the coordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.</i></p>					
7.5.0	<p><b>Existing activity</b> Existing data sets used include the biennial CROS, PIRLS and Lancaster University’s staff survey. These have been run twice as complementary surveys and can be compared with previous years. Lancaster’s staff survey permits research staff to be differentiated from other staff, allowing like-for-like comparison with CROS.  <i>No further specific action identified for 2017-19.</i></p>	n/a	n/a	n/a	CROS and PIRLS not undertaken 2018 due to duplication with Staff Survey – this will be reviewed by CIG in 2019.

### Key Priorities 2017-19

	KEY PRIORITY	SUCCESS MEASURES
<b>G: ADDRESSING LANCASTER UNIVERSITY’S ‘HR EXCELLENCE IN RESEARCH’ STRATEGIC PRIORITIES</b>		
KP1	Secure greater buy-in to the Concordat agenda & commitment to the 2017-19 action plan	<ul style="list-style-type: none"> <li>-Briefing and discussion of the Concordat agenda at the University Leadership Team.</li> <li>-Appointment of a Concordat Lead in each Faculty.</li> <li>-Develop a reporting structure which facilitates the embedding of actions within faculties.</li> <li>-Identification and sharing of good practice in faculties/departments.</li> </ul>
KP2	Reinforce Principal Investigator responsibilities as leaders and managers of research staff	<ul style="list-style-type: none"> <li>-Impact of the new Code of Practice for the Development of Research Staff identified by CIG and reported to University Research Committee.</li> <li>-10% increase in research leader participation in relevant professional development (e.g. Research Leadership Development Programme).</li> <li>-Continued excellent research leadership as recognised through a sub-set of indicators within Lancaster’s 2017 Staff Survey.</li> </ul>
KP3	Pro-actively identify and develop future research leaders	<ul style="list-style-type: none"> <li>-Increase the number of fellowship applications by 10%.</li> <li>-Evaluate the effectiveness of the 50<sup>th</sup> Anniversary Lectureship Scheme to explore wider opportunities for talent development.</li> <li>-Effective use of Lancaster’s revised Performance and Development Review scheme as evidenced by the Staff Survey</li> </ul>
KP4	Promote and expand mentoring practice across the research community	<ul style="list-style-type: none"> <li>-10% increase in mentor-matches made within relevant development programmes (e.g. Researcher Development Programme/Research Leadership Development Programme)</li> </ul>

	KEY PRIORITY	SUCCESS MEASURES
		-Promote and encourage mentoring amongst research staff and research leaders.
KP5	Enhance awareness of research career pathways	-Increase in positive responses re. career progression in LU Staff Survey. -Continue 'career pathways' as a central theme for Research Staff Association activity. -20% increase in the number of research staff accessing the Careers Service.
KP6	Enhance Lancaster's practices re. recruitment, retention & development of research staff	-Agreement of refined fixed term contract policy with the Trade Unions.
KP7	Ensure researcher representation within Lancaster's internal governance structures	-Expand the role of the Research Staff Association to enable research staff representation on all relevant university committees.