

Lancaster University Concordat Action Plan 2015-17



Revised and Updated January 2017 post CIG1 & CIG2

Revised and Updated February 2017 prior to CIG3 (IL/LT/JC review; LT/JC proposal re. significant change to Athena SWAN actions)

Revised and Updated February 2017 post CIG3

Revised and Updated May 2017 prior to CIG4

Revised and Updated May 2017 post CIG4

Update to B5 - Use of fixed term contracts – June 2017

Revised and Updated August 2017 post CIG5

	ACTION	PRINCIPLE(S)	SUCCESS MEASURE	INST. Lead	OPER. Contact	COMPLETION DATE	UPDATE
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.							
A1	To further refine and implement the University's Staff Recruitment Strategy and pursue the use of competency- based recruitment. In respect of research staff.	1.2	Refined strategy in place. Competency-based recruitment employed where appropriate.	D.HR	OD	September 2017	18 May 17 – Refine further to make more specific to research staff. 25 May 2014 – Code of Practice to include reference to recruitment
A2	To conduct a review of how faculties retain high quality research staff across short breaks in research contracts.		Identified good practice with the potential for an institution-wide approach.	D.HR D.RES	RSD	September 2017	18 May 17 – Evidence-gathering in respect of the retention of 'high quality' researcher is ongoing. Issue identified re. what constitutes a 'high quality' researcher and how retention may be seen as tacit form of recognition/value/promotion. 25 May 2017 – Findings indicate an ad hoc approach to retaining 'high quality' researchers. Code of Practice to pick this up.
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.							
B1	Develop a Code of Practice for research staff, including a reference to mentoring, access to teaching opportunities and wider professional development. Taking account	2.1	Code of Practice principles considered and reviewed by faculties and recommendations made to the University Research	D.HR D.RES	OD	September 2017	18 May 17 – The development of a Code of Practice for research staff is ongoing.

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	of the previous Lancaster Researcher Charter and be informed by FHM's research charter and sector developments.		Committee.				
B2	Develop a Code of Practice for PIs regarding the management of research staff.		Code of Practice developed, supported by faculties and embedded in practice.	D.HR D.RES	OD	September 2017	18 May 17 – The development of a Code of Practice for principal investigators is ongoing.
B3	Further embed the Concordat principles within departments. Completion of a 'conversational tour' with Faculties.	2.1	Completion of a 'conversational tour' with faculties and the identification of local action, together with input for the institution-wide action plan.	D.HR D.RES	OD	July 2017	18 May 17 – A 'conversational tour' to inform the development of a Code of Practice for both research staff and principal investigators is ongoing.
B4	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	2.1, 7.1	All researcher representatives on departmental/faculty/university research committees are members of the Research Staff Association Steering Group. Relevant committees identified and with research staff representation.	PVC.R OD	OD	September 2017	25 May 2017 – underway. Conversations re. role that research staff (as RSA members) could have on research committees.
B5	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.	2.2	Implementation of agreed policy.	D.HR	OD	September 2017	06 Jan 17 – November 2016-a new draft policy will be going to JNCC shortly. 19 May 17 - FTC Policy was signed off by JNCC in Mar 17, and Marie Knox-Davis is developing a communications plan to roll out and embed policy. 29 June 2017 – Implementation/communication plan in preparation (MKD). Pilot projects to minimise impact of FTCs and retain research staff underway in FHM.
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.							
C1	Build on the success of the Researcher	3.2	Newly launched research	OD	RSD	Review September	06 Jan 17 – Complete. Refreshed

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	Development Programme as a development opportunity for research staff and academics, incorporating newly identified institutional needs and priorities (from the Staff Survey, CROS, PIRLS).		development programme revised to incorporate new institutional priorities.			2017	RDP launched again for 2016/17, application date 21 November 2016. Further review date September 2017.
C3	Use the Principal Investigator (PI) development programme to enhance PI expertise in managing and developing research teams and equip them in supporting researchers about career options.	3.2	A minimum of 20 PIs participating in the PI development programme in the first year.	OD	OD	July 2017	06 Jan 17 – PI Development Programme launched 2015/16 with a first cohort of 18. Programme evaluated positively and refreshed for 2016/17. Further review date July 2017.
C4	Establish 'career pathways' as the overarching theme for the Research Staff Association during 2016/17.	3.2, 3.4	A minimum of three Research Staff Association events scheduled which address different aspects of career pathway.	OD	RSD	September 2017	06 Jan 17 – Complete (see Research Staff Association annual report 2016). Theme continuing for 2016/17.
C5	Increase awareness amongst researchers of the independent advice offered by Lancaster Careers Service.	3.4	Careers Service to be promoted at relevant RSA careers events.	OD	CIG (Careers Rep)	Review September 2017	25 May 2017 – Careers service promoted at RSA events, also Researcher Dev. Prog. Also direct approach suggested i.e. letter to staff nearing end of contract.
C6	Identify new ways of promoting mentoring to researchers and increase the pool of mentors available (particularly for researchers and early career academics).	3.4	Increase by 15 the number of suitable mentoring matches made through OED.	OD	OD	September 2017	06 Jan 17 – Pro-active offer of mentoring as part of OED programme participation undertaken during 2015/16 and has proved successful.
C7	In order to enable researchers to develop sustainable career options, further enhance understanding of challenges facing researchers and their reasons for leaving.	3.5	Analysis of the Staff Survey submissions will be undertaken to identify issues facing fixed-term staff in particular.	HR (E&D)	RSD	February 2017	18 May 17 – Staff Survey results for research staff have been obtained (after a significant delay) and have been analysed. FHM RCAD survey and CROS/PIRLS will be included in analysis also. 25 May 2017 – LU researchers are encouraged to take responsibility for own career options. Encourage use of exit interviews (made mandatory?). At present, an exit interview has to be requested by the person leaving. Aside from this,

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							there is no way to capture reasons for leaving (where known) – knowledge stays within immediate department.
C9	New action: Clarify expectations around opportunities for teaching, and the training and support available.		Clarification and information to be provided as part of the new Code of Practice for the Management of Research Staff.	D.RES	RSD	September 2017	18 May 17 – A ‘conversational tour’ and other enquiries will inform the development of a Code of Practice in this respect.
C10	Enhance quality of Performance and Development Reviews (PDR) by conducting a full review of the PDR process 2015-6 – including an explicit focus on identifying researchers’ development needs and on plans to manage career progression. (Athena SWAN 3.11)	2.3, 4.10, 5.6	Designed, trialled, and implemented revised PDR process.	D.HR	OD	September 2017	06 Jan 17 – A revised policy for PDRs is going to JNCC in November 2016. 19 May 17 - PDR Policy signed off by JNCC November 2016. Roll out is dependent on CORE, should have further update once colleagues have been to Ireland to visit CORE. 25 May 2017 – Hiatus between now and adoption of online system to be resolved.
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.							
D1	Support research-led initiatives for career development, for example, Research Staff Association.	5.1	Increase in number of researchers participating in Research Staff Association.	ADRs, HR Partners	OD	September 2017	18 May 17 – gradual rise in numbers is observed but more needs to be done. Profile-raising measures are being undertaken, informed by CROS survey and RSA ‘World Café’ events. 21 June 2017 – OED/Careers meeting to discuss Careers Service promotion initiatives to research staff.
D2	Raise awareness of appropriate ethical practice and issues of research integrity. Enhance the advice available to researchers on good ethical conduct.	5.3	Running of regular workshops and availability of other resources to support appropriate ethical practice and research integrity. Inclusion in appropriate guidance for both research staff and Pis.	PVC.R	OD	September 2017	06 Jan 17 – One event re. awareness of appropriate ethical practice has been held – another is planned. The university has recently had a renewed focus on ethics and progress has been made

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							on awareness of ethics and the responsibilities. Continued awareness would be raised through, for example Researcher's Charter, Code of Practice or similar)
D3	Develop role profiles to clarify and reinforce the core responsibilities and expectations associated with being a 'Lancaster Researcher' and 'Lancaster PI'.	5.3, 5.5	Role profiles created and incorporated into new Code of Practice for the Management of Research Staff.	HRD	OD	September 2017	18 May 17 – Both profiles are underdevelopment as part of Codes of Practice, and informed by the 'conversational tour' and other enquiries.
D4	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.	3.6	Improve induction support through the development and implementation of new induction materials, and include as key aspect of Code of Practice for the Management of Research Staff.	HRD	OD	September 2017	06 Jan 17 – New bespoke session for research staff and academics at the 'Welcome to Lancaster' event is proving effective. 06 Jan 17 – Exploration of local practice in departments to be picked up during the 'conversational tour'.
E: DIVERSITY AND EQUALITY							
Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.							
E1	Identify and assess existing Diversity & Equality activity across the University, prior to developing specific actions within this Principle that address research staff.	Athena SWAN	Development of complementary actions specific to the D&E needs of research staff.	HRD	OD	September 2017	
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.							
F1	Review the effectiveness of Lancaster University's approach to monitoring the implementation of the Concordat.	7	Review conducted, actions and an appropriate mechanism identified.	PVC.R	OD	September 2017	