Lancaster University HR Excellence in Research 2019-21 Action Plan

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 2019-21 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 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.](https://www.vitae.ac.uk/policy/hr-excellence-in-research)

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.

HR in research Excellence 2019-21 Action Plan

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| **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.** | | | |
| *A1.1 – All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.* |  |  |  |
| Existing activity  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 [Our People Strategy 2020](http://www.lancaster.ac.uk/hr/people-strategy/OurPeopleStrategy2014.pdf) which, in respect of researchers, states that the University will:   * “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”. * “Continue to support our research students and researchers, especially during the early stages of their careers and in support of career progression”.   A recently introduced service level agreement [HR and Payroll Service Standards](https://lancaster.app.box.com/file/481612643432) seeks to ensure that all prospective employees are treated fairly and receive a consistent, effective and efficient service from the HR Service Delivery Team.  The University is also proactive in developing and implementing schemes that attract and then support early career researchers, such as the [50th Anniversary Lectureship](https://www.uhr.ac.uk/awards/awards-2019/) scheme. |  |  |  |
| New Actions  On-line recruitment (top up) training to be launched – for all those who have already undertaken the face to face recruitment training, (to be undertaken every three years to keep up to date with legislation). | Associate Director of HR (Organisational Development) | 100% interview panel chairs to have undertaken face to face training and/ or on-line top up training (as appropriate) within a three- year period. Participation to be logged through CORE and  reported annually to CIG to | Reviewed by CIG annually (November 2019 and November 2020) |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
|  |  | ensure compliance. |  |
| UKVI (Visas and Immigration) online toolkit to be available September 2019 | HR & Payroll Services Delivery Manager | Monitor of UKVI on-line training through COREHR. 10% increase usage over 6 month reporting period. | Termly reports completion July 2020. |
| Code of Practice to be refreshed following Concordat update – re- established as an active tool in supporting researchers. | Organisational Developer (Research and Academic) | [Code of Practice](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) – awareness by new researchers to be measured as part of induction programme feedback. 90% of all new researchers to be aware of Concordat and CoP. | To be reported at end of each induction programme (biannually – May 2020, September  2020) |
| *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.* |  |  |  |
| Existing activity   * The University has developed a [Code of Practice on Recruitment and Selection](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/recruitment-and-selection/) 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. * All chairs of recruitment panels are required to attend recruitment and selection training. * The University employs competency-based [recruitment](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/) where appropriate – the basis by which a candidate will be selected is made clear on the Person Specification. * The [Code of Practice](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) for the Development of Research Staff includes reference to recruitment and selection good practice. * [New HR recruitment web pages](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/) and on-line toolkit encourage best practice in recruitment panels and encourage diversity in applications. |  |  |  |

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| New Actions:  Use of on-line [Gender descriptor checker](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/recruitment-and-selection/) for all adverts | HR & Payroll Services Delivery Manager | 10% sample checked termly | Reported termly until July 2020 |
| Proactive encouragement of positive action for some roles to increase effectiveness of recruitment process to deliver on EDI objectives. Using [new manager’s toolkits and guidance.](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/recruitment-and-selection/) | HR & Payroll Services Delivery Manager | Applications to be monitored and reported to CIG termly 5% Increase in applications from specific pre-identified groups, relevant to the roles. | Reported March 2020, January  2021 and July  2021 |
| *A1.3 – Research posts should only be advertised as a fixed - term post where there is a recorded and justifiable reason.* |  |  |  |
| New policy on casual contracts and fixed term working currently being developed with the TUs. Final draft will go to JNCC in November 2019.  A review of all fixed term contracts will follow with focus groups with PIs and research staff. Adjustments will be made to bring existing contracts (where appropriate) in line with new policy. | Deputy Director of HR | There will be comparator measures available once policy has been launched. To be reported annually through CIG.  Fewer fixed term contracts to be issued – reported directly to University committees.  Increase in transitions from fixed term to indefinite contracts. (10% increase  annually) | Completed and reported to CIG by Aug 2020 |
| *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.* |  |  |  |
| Existing Activity  University recruitment and progression panels are formed at departmental level and |  |  |  |

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| 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 [Recruitment Code of Practice.](https://portal.lancaster.ac.uk/intranet/services/people/recruitment/recruitment-and-selection/)  New HR recruitment web pages and on-line toolkit encourage best practice in recruitment panels and encourage diversity in applications. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity   * University pay grades for research staff are determined according to an established HR recruitment framework that applies to all University staff. * Pay grades are determined by job evaluation, and each grade has a range of normal and contribution points associated with it. Job evaluation determines grade, but not position within grade. Detailed information is available on the [HR website,](https://portal.lancaster.ac.uk/intranet/services/people/) and specifically, the document [Guidance on Starting Salaries.](https://lancaster.app.box.com/file/355408938034) * 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. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| **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.* |  |  |  |
| Existing Activity  The [Code of Practice for the Development of Research Staff,](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) references mentoring, |  |  |  |

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| access to teaching opportunities and wider professional development.  Research staff representatives on Faculty research committees have taken on the role of Faculty Concordat Champions  Presently the RSA Steering Group is represented on the Concordat Implementation Group (CIG). 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. |  |  |  |
| New Actions:  The new revised Concordat will be taken to all the relevant research committees at Department and Faculty level. The Researcher reps on these committees will gather feedback and through a working group, to include the [Research Staff Association,](http://wp.lancs.ac.uk/rsa/) inform CIG of any changes necessary to update Lancaster’s Code of Practice (CoP) for Research Staff. The working group to ensure all [Concordat](https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers) changes are reflected in the CoP, and that it is still fit for purpose, this may involve a broader set of stakeholders. The updated CoP will then be submitted to University level committees such as the Research Committee and Senate for final agreement. Once again, the RSA will host an event specifically for researchers to discuss the Concordat updates and its implications for the CoP. (December 2019) | Organisational Developer (Research and Academic) / RSA Executive | Clear understanding and usage of the updated [Concordat](https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers) and the refreshed [Code of Practice.](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) Measured through Research Staff Survey feedback and feedback gathered as part of research support programmes. Explicit questions on induction check sheet to ensure information is being made available to all new research staff and researcher managers.  90% of all new researchers to be aware of Concordat and CoP. | May 2020 |
| *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* |  |  |  |

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| Existing Activity  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 recruitment web pages and on-line toolkit encourage best practice in recruitment panels and encourage diversity in applications.  See 1.3.1 |  |  |  |
| New Actions  Ensure all researchers are offered career support including PDRs, access to training (included in contracted working hours), access to subject- specific career development workshops (included in contracted working hours), and access to LU’s redeployment register for 6 months after the end of a contract  New policy for 2019. See A1.3 | Concordat Implementation Group | 90% of all eligible research staff to have had PDRs by the end of the 2021 cycle | Summer 2021 |
| *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 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.* |  |  |  |

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| Existing Activity   * Principal Investigator Development Programme, established as an essential development opportunity for anyone moving into a research management position. * A refreshed PDR process and extensive PDR training for all those with line management responsibility. * Group Lead roles within the Faculty of Science and Technology to support Heads of Department in the management of academic staff. * Continue to develop future research leaders through raising awareness and promotion of Research Fellowships. |  |  |  |
| New actions:  [Research Leadership Masterclasses,](https://www.lancaster.ac.uk/oed/academic-and-research-staff/) for the coming cohorts new targeted signposting from this programme to specific HR policy specific training and management skills workshops.  A new induction session is currently being designed for those new to the role of PI.  Further focus on research leadership and the further development of a range of [Research leadership masterclasses,](https://www.lancaster.ac.uk/oed/academic-and-research-staff/research-and-leadership-masterclass-series/) linked to the updated [Code](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) [Of Practice](https://www.lancaster.ac.uk/research/researcher-development/code-of-practice/) and the updated [Concordat.](https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers) | Organisational Developer (Research and Academic) | 10% increase in PI/research leader attendance at policy/management skills workshops. From 2018 - 2020 Researcher survey questions on PDR quality and management support | May 2021 |
| *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.* |  |  |  |

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| Existing Activity  Staff at risk of redundancy are offered opportunities as part of the redundancy process, (refer to the University’s [Redeployment Process Chart](https://lancaster.app.box.com/file/481619943967)).  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 is reported and  developed further by the Associate Deans Research through the Research Committee and the ADR forum. |  |  |  |
| New Actions:  Research Committee to assess the potential costs and benefits of creating a competitive fund for career bridging finance for fixed-term research staff | Deputy Director of HR and onwards to PVC Research/PVC Academic Development | Report and recommendations ready for 2021-22 cycle of business | July 2020 / July 2021/ July 2022 |
| *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* |  |  |  |
| Existing Activity  See A1.5 |  |  |  |
| New Actions:  New guidelines being developed focussing on the progression of research staff between the grades, with a focus on moving between 6 and 7.  Follow up guidance for grant applications to be available through RSO –  to ensure funding for promotion to be made available within the bid. | Reward and Resourcing Manager  Research Support Office | Increase in promotion cases for researchers by 10%  Funding applications include opportunity for grade progression for research staff | Annual July  Completed July 2020 |
| *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.* |  |  |  |
| Existing Activity  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. The University has a mechanism where research staff may apply for re-grading where |  |  |  |

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| circumstances apply, for example moving from one contract to another – or where contracts overlap.  Guidance for research managers is accessible through nominated HR Partners and the [‘Academic Promotions’](https://www.lancaster.ac.uk/academic-promotions/) section of the HR website. |  |  |  |
| New Actions:  Building on the current progression development review being undertaken for Grades 6-7, we will review and develop an organisational strategy for the career and pay progression of all  research staff. |  | See B2.5 |  |
| **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.** | | | |
| *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.* |  |  |  |
| Existing Activity  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.  The Careers Service participates in the annual RSA Christmas Fayre, a showcase of University resources available to research staff and other researchers. |  |  |  |

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| New Actions:  See appendix 1 for details of Prosper project. (Looks at alternative (Industry based) career pathways and development opportunities and training for fixed-term research staff (support, guide, advice) | Organisational Developer (Research and Academic) | Reported as part of Prosper project plan  Satisfaction reflected in a researcher survey data and exit questionnaire destination  data | Summer 2021  Summer 2020 |
| *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.* |  |  |  |
| Existing Activity   * A refreshed Researcher Development Programme launched 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. * A minimum of three Research Staff Association events scheduled each year which address different aspects of career pathways. * Ongoing engagement with Faculties through Faculty Concordat Leads to identify appropriate, discipline-specific career pathways. * 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 a key element in the implementation of the Concordat. |  |  |  |
| New Actions:  See 3.1  Active promotion of full access to [Abintegro](https://www.abintegro.com/public/) – an online career management and transition tool. Resources in [Abintegro](https://www.abintegro.com/public/) include job vacancies, sector news and updates, and recruitment and selection | Head of Careers service | Reporting on specific staff groups will not be possible. However, an overview of overall institutional usage of | July 2020 |

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| practice tools. Also included is a wide range of interactive skill development learning resources ranging from developing resilience, to time management techniques to leadership development. These resources can be accessed 24/7 and enable Researchers to proactively manage their personal and professional development as well as their career progression. (This is a generic tool now available to all staff at Lancaster.) |  | the on-line tool will be reported. (Increased usage by all staff by 30%.) |  |
| *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.* |  |  |  |
| Existing Activity  The University provides a wide range of training and skills development opportunities to develop the communication and other professional skills that research staff need. These include writing, presentation, confidence-building skills. |  |  |  |
| New Actions:  See C3.1 (Prosper) See C3.2 (Abintegro) |  |  |  |
| New Actions:  OED will develop guidance for researchers on the broach range of activities that could be considered as part of their own professional development plan. This will have direct links to the Concordat and the most effective use of their 10 days allocation for professional development. E.g. to include: opportunities to job shadow in other industries or sectors; peer coaching; personal research; conference  attendance; involvement in committees and focus groups; other experiential learning both on and off the job. | Organisational Developer (Research and Academic) | Satisfaction reflected in a researcher survey data | July 2020 |

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| Research Leaders will also be informed of their obligations to support a broad range of development options for all researchers during the Researcher leadership programmes. |  |  |  |
| *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.* |  |  |  |
| Existing Activity   * The University’s Careers Service is promoted at RSA events, on-line and also within the Researcher Development Programmes. A representative from the Careers Service is a member of the Concordat Implementation Group. * Researchers are encouraged to take up the offer of a one to one information, advice and guidance appointment from professionally trained and experienced Careers staff. These will be booked in using [TARGETconnect.](https://lancaster.targetconnect.net/home.html) Careers gives Researchers the option to keep their appointment confidential as there may be sensitivity around applying for another role, and their line managers may have access to TARGETconnect. Therefore their booking may be anonymised. * Researchers have full access to the [Careers Service website](https://www.lancaster.ac.uk/careers/) and can use the vacancy search, employer intelligence and employability resources within the site. |  |  |  |
| New Actions:  See C3.1 (Prosper) See C3.2 (Abintegro)  *No specific action identified for 2019-21* |  |  |  |
| *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* |  |  |  |
| Existing Activity  New HR web site is clearer and easier to use, with links and signposting to all relevant policies and process to support our researchers |  |  |  |

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| New Actions:  See B2.1 (CoP)  See C3.2 (Abintegro) See C3.4 (Intranet)  See C3.6 (Cohort Induction) |  |  |  |
| *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 endure 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.* |  |  |  |
| Existing Activity  New on-line University Induction portal 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. A parallel system for hiring managers (PIs) has also been introduced to ensure they are also following University procedures and code of practice.  Mentoring is encouraged throughout all the researcher development programmes but especially as part of new starter induction. |  |  |  |
| New Actions:  New cohort style induction for all new Researchers to launch Sept 2019. This is in addition to the departmental and faculty inductions currently in place. This workshop will raise the awareness of; the Concordat; the Code of Practice; the support and development available to them at Lancaster and how they access it. It will take a ‘cohort’ approach to developing the new members of staff and have a ‘coaching core’, to ensure they are fully supported in establishing themselves at Lancaster. | Organisational Developer (Research and Academic) and Head of Research Quality and Policy | 90% of all new researchers to have attended induction programme within 6 months of starting.  (Some ‘new’ researchers have previously held Lancaster contracts or have previous relevant experience. (Reports from COREHR)  Positive feedback following  programme, from participants | Annually September |

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|  |  | and departments. |  |
| *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.* |  |  |  |
| Existing Activity  Research staff are encouraged, through the Personal Development Review process to discuss, with their manager and/or PI, the development of skills and engagement in activities that extend beyond their present role.  Mentoring is now embedded in all development programmes; Programme alumni are actively encouraged to mentor current programme participants.  RSA offers opportunities for researchers to volunteer to represent researcher staff in their department on committees and also at researcher events outside the Institution. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity  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 [Development for Researchers at Lancaster University.](https://www.lancaster.ac.uk/oed/academic-and-research-staff/#d.en.388645) |  |  |  |
| New Actions:  Researchers to be encouraged to access the new [Lancaster internal](https://www.lancaster.ac.uk/oed/professional-services-staff/coaching-and-mentoring/1-to-1-coaching/#d.en.399421) [coaching bank](https://www.lancaster.ac.uk/oed/professional-services-staff/coaching-and-mentoring/1-to-1-coaching/#d.en.399421) for additional personal and career development support. | Organisational Developer (Professional Services) | Applications for and access to the central coaching bank is reported annually. (1% of take up by research staff) | Annually July |
| *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* |  |  |  |

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| *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.* |  |  |  |
| Existing Activity  Research staff are encouraged, through the activities of the Research Staff Association, Library ‘Research Bites’, 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.  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.  The new on-line PDR recording tool holds completed PDR (Performance Development Review) data centrally – allowing for easier recording of PDR outcomes and development objectives. The scheme encourages the use of PDR as a ‘living’ document to be updated at regular catch ups. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity  Full implementation of the PDR policy is now in place as part of the on-line CORE HR management system. |  |  |  |
| See C3.9 (PDR) See C3.8  *No specific action identified for 2019-21* |  |  |  |

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| *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* |  |  |  |
| Existing Activity  The University offers CPD processes and opportunities that are consistent and compatible with other HEIs. The University recognises CPD as an essential part of staff development and as such, ensures that its competency-based recruitment and selection processes recognise as far as possible the CPD schemes from other employing organisations. |  |  |  |
| See C3.1 (Prosper) See C3.2 (Abintegro)  *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity   * Opportunities for teaching are provided at local, departmental, level in response to the needs of department and Faculty. * The University provides support for teaching and academic development through Organisation and Educational Development, specifically through its [Educational Development](http://www.lancaster.ac.uk/hr/OED/ED/index.html) offer including PGCert, Associate Teacher Programme, ATLAS and PGCert Academic Practice (International). * Support for specific skills for demonstrating is closely aligned with the skillset of individual researchers and is provided locally by the relevant department. * RSA event 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. |  |  |  |
| New Actions:  Information sessions on support available and programmes (below) to  be included in new cohort induction. Clarity over appropriate | HR - OD/ED | Feedback from ED (Educational Development) colleagues on programme | November 2020 |

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| development options will make it easier for researchers to make informed choices. E.g. Introduction to Teaching at Lancaster/Associate Teacher Programme/Sharing Practice Events (including examples of good local practice as displayed by departments such as LEC – identified at RSA event 2019) |  | attendance by Faculty Feedback reported through researcher survey. |  |
| *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.* |  |  |  |
| Existing Activity  Research staff have the opportunity, through the activities of the RSA, and at local level, to take part, and be represented, in the governance of the institution at all levels. 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.  At least one Researcher reps now on each University research committee; University and Faculty level ethics committees; Athena SWAN working groups. Researchers are also included in the Staff survey feedback and action groups. |  |  |  |
| New Actions:  A request has been submitted to Senate review group for the possible inclusion of Research Staff representatives to attend Senate  *Further update*: Senate has agreed to look at the representation of Researchers at a strategic level and will make further recommendations. | PVC (research) | Appointment of a member of research staff onto Senate.  Proposal to Senate in September 2019. | September 2019 |
| *C3.14 – Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement* |  |  |  |
| Existing Activity   * Pro-active offer of mentoring as part of OED programme participation has proved successful. * The University’s Principal Investigator Development Programme ensures that research managers are aware of, and understand the value of mentors, both |  |  |  |

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| 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.   * 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. * A number of departments have set up their own matching schemes to encourage a diverse mentoring relationship. * PDR and mentoring training 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. |  |  |  |
| New Actions:  Following the successful pilot scheme in LEC other FST departments are looking at following this good practice and will initiate their own mentoring pools – to be driven by the researchers themselves.  Induction programme includes an introduction to peer mentoring followed by regular optional peer coaching opportunities.  See C3.7 for in programme mentoring.  See C3.8 for One to one coaching opportunities | Faculty ADRs  Organisational Developer (Research and Academic) | Details captured by Associate Deans (Research) and reported through CIG.  Feedback and uptake of peer mentoring by 20% of the new starter cohort. | June 2020 |
| **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.** | | | |
| *D5.1 – Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers* |  |  |  |
| Existing Activity  PIs encourage researcher engagement in professional and career development through increased participation by research staff in Personal Development Reviews (PDRs).  Research staff are encouraged to develop a sense of independence and self-reliance through activities of the RSA and the dissemination of Lancaster’s new Code of Practice to Support the Development of Research Staff.  Researchers are encouraged/invited to actively participate in departmental and faculty  committees. |  |  |  |

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| New Actions:  Engagement with RSA and cross disciplinary groups to be encouraged as part of new Cohort Induction – new opportunities offered to researchers as part of committee representation | Organisational Developer (Research and Academic | Positive feedback through new starter survey data. | July 2021 |
| *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.* |  |  |  |
| Existing Activity  Refreshed researcher training and development offer to promote internal services which support consultancy, contracts, IP, licences and spin-out companies.  Three new training and development events covering industrial engagement, public and community engagement, IP and consultancy. |  |  |  |
| New Actions:  See C3.2 (Prosper)  OED/RSO/RSA development programmes – review and refresh for 2020 | Organisational Developer (Research and Academic) | Existing and updated development opportunities. Positive impact reported as part of OED Annual  programmes review | June 2020 |
| *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.* |  |  |  |
| Existing Activity   * Research Service Office (RSO) supports research ethics and integrity across the institution, including the Research Ethics Committee. * 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. * Continued awareness will be raised through the Code of Practice. * Research Reps now part of University research committee * University and Faculty level ethics committees |  |  |  |

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| New Actions:  See C3.6 (Cohort Induction)  On-line Ethics training monitor and reporting, being developed by the Research Services Office | Head of Research Quality and Policy | Participation measured by COREHR increase in usage by 10% from September 2019 to report date. | Annual May 2019 |
| *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.* |  |  |  |
| Existing Activity  See 5.1.1 |  |  |  |
| New Actions:  See C3.2 (Prosper)  Lancaster Academic event - previously this event was focussed on ‘Making Professor’. Redesigned programme will look at all levels and promotion within academia and external career options and opportunities, to also include researcher career options. | Organisational Developer (Research and Academic) | Lancaster academic event – attendance breakdown to include a higher proportion of researchers. | December 2019 |
| *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 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.* |  |  |  |
| Existing Activity  See 5.1.1 |  |  |  |
| See C3.2 (Prosper)  See C3.9 (PDR)– encourages more regular 6 monthly reviews and updates  See C3.2 (Abintegro)  *No specific action identified for 2019-21* |  |  |  |
| *D5.6 – Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in* |  |  |  |

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| *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.* |  |  |  |
| Existing Activity  In addition to the University’s Departmental and Faculty induction programmes 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.  Research staff are encouraged to take a pro-active attitude to the PDR process, preparing adequately and ensuring that their PI carry out the PDR in a timely fashion.  PDR process now runs throughout the year, constantly updatable as a living document. More suited to the dynamic nature of research contracts and careers. |  |  |  |
| See C3.9 (PDR)– encourages more regular 6 monthly reviews and updates  *No specific action identified for 2019-21* |  |  |  |
| **E: DIVERSITY AND EQUALITY**  **Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.** | | | |
| Existing Activity  Lancaster University’s [Equality and Diversity Plan 2016-2020](https://www.lancaster.ac.uk/media/lancaster-university/content-assets/images/athena-swan/EDI-Plan-2016-2020-COUNCIL-web.pdf) supports its Equality, Diversity and Inclusion [EDI Strategic Vision 2020,](https://www.lancaster.ac.uk/media/lancaster-university/content-assets/images/athena-swan/StrategicVision2020-CURRENT.pdf) which reflects its commitment to “celebrating the diversity of members of the University and maximising their potential, underpinned by an emphasis on equality of opportunity and equality of treatment”.  These will all be reviewed and ensured in-line with University Strategic Review and University People strategy review. The Vision, Plan and Objectives apply to all staff and students and all roles – including research academic and professional – and are supported by policies and procedures outlined on the [HR website..](https://portal.lancaster.ac.uk/intranet/services/people/)  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 of the 4-year Athena SWAN action plan to be released in Autumn 2019. |  |  |  |

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| New Actions:   * 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 of the 4-year Athena SWAN action plan to be released in Autumn 2019. * EDI Data: Improve data collection and reporting on EDI characteristics to better understand our EDI issues, including lack of representation or progression, and embed consideration of these issues into strategic decision making * EDI Impact and Implementation Group: Establish an EDI Impact and Implementation Group to align key EDI work streams and to project manage all EDI actions * Lancaster University’s Equality and Diversity Plan 2016-2020 supports its Equality, Diversity and Inclusion EDI Strategic Vision 2020, which reflects its commitment to “celebrating the diversity of members of the University and maximising their potential, underpinned by an emphasis on equality of opportunity and equality of treatment”. * These will all be reviewed and ensured in-line with University Strategic Review and University People strategy review * New for 2019 onwards –   + EDI specific roles e.g. PROVC with EDI explicitly in remit and a new University Dean for EDI.   + New priorities and measures for Senate to explicitly include EDI objectives.   + Faculty Associate Deans to now include Associate Dean for EDI | Director of HR and OD with PVC Education and EDI | These actions are currently being discussed or will be in place from Autumn 2019 with their own success measures and review dates identified. The exception is the people strategy which isn’t due until 2020.  Report to CIG on status updates relevant to recruitment, retention and career management of researchers | Annually January |
| *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* |  |  |  |

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| *specific schemes and action plans related to gender, race and disability to address*  *specific issues of underrepresentation or lack of progression* |  |  |  |
| Existing Activity  Lancaster University’s Equality and Diversity Plan 2016-2020 supports its Equality, Diversity and Inclusion EDI Strategic Vision 2020, which reflects its commitment to “celebrating the diversity of members of the University and maximising their potential, underpinned by an emphasis on equality of opportunity and equality of treatment”.  These will all be reviewed and ensured in-line with University Strategic Review and University People strategy review. The Vision, Plan and Objectives apply to all staff and students and all roles – including research academic and professional – and are supported by policies and procedures outlined on the HR website.  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 of the 4-year Athena SWAN action plan to be released in September. |  |  |  |
| New Actions:  Aiming to have all Academic departments with an Athena SWAN award by 2021 | PVC (Research) | Athena SWAN charter mark awarded to all academic Departments | October 2021 |
| *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.* |  |  |  |
| Existing Activity   * Member of Stonewall * New recruitment policy – adverts explicitly target specific groups. * Disability confidence level 1. |  |  |  |
| New Actions:  New policy on casual contracts and fixed term working currently being developed.  **See 1.3 above** |  |  |  |
| *E6.3 – It should be emphasised that the demanding nature of research careers has a* |  |  |  |

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| *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.* |  |  |  |
| Existing Activity  New women’s network and disabled employees network |  |  |  |
| New Actions:  EDI Data: Improve data collection and reporting on EDI characteristics to better understand our EDI issues, including lack of representation or progression, and embed consideration of these issues into strategic decision making  See E6.0 (Diversity and Equality) above |  |  |  |
| *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.* |  |  |  |
| Existing Activity  The University supports requests for changed work patterns as part of its commitment to Athens SWAN and its staff. Five staff case studies (four of which are researchers) demonstrate this commitment on the University [EDI website.](https://www.lancaster.ac.uk/edi/diversity-groups/gender-equality/flexible-working-practices/) |  |  |  |
| New Actions:  Review and update the University’s flexible working policy, informed by Athena SWAN and the 2018 Staff Survey working group focused on improving Work Life Balance.  Acknowledgement that some flexible working requests are granted locally and are not recognised officially through HR process. The importance of recording such arrangements needs to be more widely  communicated. | Deputy Director of HR | Increase in number of requests submitted to CORE for flexible working (5%) for all staff from June 2019 to June 2021. | June 2020 and  June 2021 |
| *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* |  |  |  |

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| New Actions:  See 6.4 above |  |  |  |
| *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.* |  |  |  |
| Existing Activity  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.  Funders – RSO web pages lead to pre and post award support |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| Existing Activity  New manager dashboards available to increase awareness and visibility of any issues. No time delay in actions due to availability of reports. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity  EDI manager now included on HR OPS group meetings to highlight issues and look for possible issues and changes in policy where appropriate. |  |  |  |
| New Actions:  Raise awareness of support groups such as: Parent and carer’s network, Disabled employers’ network, Women’s network, Research Staff Association. Communication directly with new starters at new style induction and with existing staff through use of targeted newsletters.  Feedback through research staff association on additional adjustments that might be needed to ensure full participation by all researchers in their professional development.  Staff Circumstances panel, established as part of the REF code of  practice, will increase understanding in this area. | Organisational Developer (Research and Academic)  RSA Executive EDI Manager | Feedback in researcher staff surveys  Number of staff Circumstances approved through the REF process and annually thereafter | 2021 in line with staff survey reporting |
| *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.* |  |  |  |
| Existing Activity  The University has an institution-wide policy statement and guidelines in respect of bullying and harassment which applies to [all staff](https://www.lancaster.ac.uk/bullying-harassment-and-sexual-misconduct-policy/) [(policy)](https://lancaster.app.box.com/file/388433281583) and [students](https://www.lancaster.ac.uk/student-based-services/counselling-and-mental-health-service/bullying-harassment-and-sexual-misconduct/) . |  |  |  |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| These were re-written January 2018 |  |  |  |
| New Actions:  Ensure all research managers are aware of [New University Bullying,](https://www.lancaster.ac.uk/bullying-harassment-and-sexual-misconduct-policy/) [harassment and sexual misconduct policy](https://www.lancaster.ac.uk/bullying-harassment-and-sexual-misconduct-policy/)  Staff survey outcomes to include identifying if a higher number of reports by disadvantaged groups Opportunities being sought to introduce ability to record, informally, discrimination, bullying or harassment to enable trend analysis and introduction of preventative measures as appropriate | Director of HR & OD | Increase in reporting of instances through formal and informal routes (initially).  Success will then be to address those reports. | Spring 2021 |
| *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.* |  |  |  |

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| Existing Activity  The University holds Athena SWAN Award Bronze at institutional level and a mix of Silver and Bronze throughout the majority of its departments. With an aim to have 100%.  **LGBTQ+ Equality**  The University is a member of the Stonewall Global Diversity Programme, for Lesbian, Gay, Bisexual and Trans (LGBT) equality.  Stonewall also provide country briefings on LGBT equality in Stonewall Guidance – Malaysia (where Lancaster has entered into an academic partnership with [Sunway](http://www.lancaster.ac.uk/study/international-students/international-teaching-partnerships/sunway/) [University](http://www.lancaster.ac.uk/study/international-students/international-teaching-partnerships/sunway/) Kuala Lupur) and Stonewall Guidance – China (where [Beijing Jiaotong](http://www.lancaster.ac.uk/news/articles/2016/lancaster-to-open-new-china-campus-with-beijing-jiaotong-university/) [University](http://www.lancaster.ac.uk/news/articles/2016/lancaster-to-open-new-china-campus-with-beijing-jiaotong-university/) has established a new Lancaster University campus). |  |  |  |
| New Actions:  Lancaster is currently aiming to have Athena SWAN awards for all departments and existing Bronze award holders to aim for Silver. E.g. [For details of Chemistry’s application](https://www.lancaster.ac.uk/chemistry/about/athena-swan/) | PVC (R) | Athena SWAN charter mark for all academic Departments | 2021 |
| New Actions:  EDI Impact and Implementation Group: Establish an EDI Impact and Implementation Group to align key EDI work streams and to project manage all EDI actions  See E6.0 (Diversity and Equality) above |  |  |  |
| **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.** | | | |
| *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.* |  |  |  |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| New Actions:  Concordat Implementation Group - Terms of reference to be refreshed. Additional membership considered including a Faculty EDI representative. | Concordat Implementation Group | Revitalised and refocussed activities – inclusion of EDI representative | Dec 2019 |
| *F7.2 – The signatories agree:*   1. *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.* 2. *to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.* 3. *to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.* 4. *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).* 5. *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).* |  |  |  |
| Existing Activity  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, 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. |  |  |  |
| *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.* |  |  |  |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| Existing Activity  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  Funding bodies [terms and conditions](https://www.lancaster.ac.uk/research/research-services/post-award-management/funder-requirements/#research-councils-uk-rcuk-standard-terms--conditions) are now available on the RSO web pages. |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |
| *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.* |  |  |  |
| Existing Activity  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 programmes and through the activities of the RSA.  The University, through OED/HR, has attended Vitae Researcher Development International Conference as a contributor, designing and leading a workshop ‘Leveraging Research Staff Association networks for researcher mobility’.  As a major stakeholder and part of the inter-institutional development team Lancaster will join Liverpool and Manchester to develop the Prosper project. Focussing on alternative career pathways for Researcher’s. Engaging with Industrial partners to produce a support and development platform to encourage mobility and HE alternative pathways. |  |  |  |
| New Actions:  Research Services Office and Organisational and Educational | Head of Research Quality and Policy | User feedback on effectiveness of refreshed  pages. Gathered at new | Jan 2020 |

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| Concordat clause, existing activity and new action(s) 2019-2021 | Lead | Success measure | Review date |
| Development departments will improve web page access and increase links to and from resources available on other web pages across the Institution. Further work to raise the profile of the Concordat, the Code of Practice and Vitae to be targeted. | Organisational Developer (Research and Academic) | Induction workshops. |  |
| *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.* |  |  |  |
| Existing Activity  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. (CROS to be reviewed as not undertaken 2018/19) |  |  |  |

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|  | **KEY PRIORITY** | **BROAD SUCCESS MEASURES** |
| **G: ADDRESSING LANCASTER UNIVERSITY’S ‘HR EXCELLENCE IN RESEARCH’ STRATEGIC PRIORITIES 2019-2021** | | |
| KP1 | Raise the EDI agenda | * Formation of EDI impact and implementation group * Draw greater parallels with the Athena SWAN objectives and action plan. Now also included in University Senate Priorities. * Continued to increase in Athena SWAN awards at University and departmental level. * Increase the diversity of Researcher representatives on University Committees |
| KP2 | Reinforce Principal Investigator responsibilities as leaders and managers of research staff | *This priority was on previous action plan – Institution recognises that this is an area that needs further development.*  - A further 10% increase in research leader participation in relevant professional development (e.g. Research Leadership Development Programme). |

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|  | **KEY PRIORITY** | **BROAD SUCCESS MEASURES** |
|  |  | * Continued excellent research leadership as recognised through a sub-set of indicators within Lancaster’s 2020 Staff Survey or researcher survey. * Code of Conduct to be reworked in response to Concordat update, to be fully embedded in all PI and researcher   development activities. Awareness of Concordat to be 90% as reported through Induction feedback. |
| KP3 | Transparency of promotional routes and procedures, internal policies and processes. | * New policies and processes communicated via a variety of media to researchers and to their PIs. * New web links to ensure easy accessibility to information and documentation * New on-line PDR process fully utilised by all staff   Awareness of the above to be 90% as reported through Induction feedback. |
| KP4 | Foundation of good practice and development of alternative career pathways for researchers | * 2% Increase in positive responses re. Career progression in CROS/PIRLS/LU researcher 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 Abintegro support tools. * Staff leavers survey data – show destination data and alternative career routes. * Active participation by Lancaster in the setting up and delivery of PROSPER career alternatives project. |
| KP5 | Enhance Lancaster’s practices re. recruitment, retention & development of research staff | * Agreement of refined fixed term contract policy with the Trade Unions. * Roll-out and communication plan for this policy developed and implemented. * The sharing of good practices across the Institution by further utilising existing communities and the creation of new working groups. |