# 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.

| **Concordat clause, existing activity and new action(s) 2019-2021** | **Lead** | **Success measure** | **Review date** | **Updated activity (RAG)** |
| --- | --- | --- | --- | --- |
| *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.* |  |  |  |  |
| 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 ensure compliance. | Reviewed by CIG annually (November 2019 and November 2020) | November 2019  Total Vacancy Chairs/Owners: 561  Total who have taken Recruiting the Best since Jan 2010: 297  No. of These who have taken this prior to their Latest vacancy: 249  November 2020  Total Vacancy Chairs/Owners: 611  Total who have taken Recruiting the Best since Jan 2010: 308  No. of These who have taken this prior to their Latest vacancy: 298  Just over 50% of vacancy owners and chairs have completed the Recruiting the Best training within the last 10 years.  2020 –Review of Recruiting the Best workshop content in line with Athena Swan and inclusivity messaging.  UPDATE 02/03/2021 Statement on intranet amended to ensure **all** panel members now undertake Recruiting the best training (On line). Email message to recruiting managers and will go into recruitment guidelines. Symbol on stonefish (recruitment system) to show if they have completed training. End of March 2021.  **ACTION TO CARRY FORWARD** |
| 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. | January 2020, the online learning module; UKVI Online Training (Tier 2) was launched. The course has been designed for those involved in the recruitment of staff on Tier 2 visas.  Data June 2020 shows that 81 staff members have completed.  The Immigration and Compliance Committee are going to review who needs to undertake the training. Any changes, will be reported.  Since August 2020, we have been focused on the new Points Based Immigration System which launched 1st January 2020. The new rules made the current online moodle training out of date and no longer relevant to push out or advertise. We have now planned immigration sessions (face to face via Teams) to be delivered by Mills and Reeve to take place end of March, April and May. Following these sessions, we will have the slides and further information to then re- draft the online training and will push this and monitor new take up. We aim to have launched the training June/July .  **ACTION TO CARRY FORWARD** |
| 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) | CEDARS data shows a good awareness of the CoP and Concordat  Concordat to support the Career Development of researchers   * I have some understanding of this 36 (51.4%) * I know this exists but I don’t know the detail 17 (24.3%) * I have never heard of this 17 (24.3%)   Concordat to support Research integrity   * I have some understanding of this 18 (51.4%) * I know this exists but I don’t know the detail 17 (25.7%) * I have never heard of this 29 (41.4%) |
| *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.* |  |  |  |  |
| 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 | Gender descriptor checker now embedded in Stonefish recruiting tool allowing the HR Team to check the language used in adverts. The next part of the process, in terms of feeding back/informing Recruiting Managers that they are required to amend their adverts if they are bias in any way. Will be working with the Recruitment and Contracts Team Leader to inform/upskill the Team and start using the tool.  This is now part of the broader Athena Swan project looking at how we use the gender de-coder and where it sits as part of the broader process. This is still a work in progress looking at what stage we do the gender de-coder and how we use it. A snapshot of vacancies across departments & grades showed there was a mix between the masculinity and femininity of the words used in the gender descriptor.  19 would encourage more female applicants  5 Equal number of words so not off putting to either male/female  8 May risk putting women off but will probably encourage men  **ACTION TO CARRY FORWARD** |
| 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 | Built within Stonefish recruitment tool is the requirement for Recruiting Managers to select a Positive Action statement prior to advertising. There was a choice of from.  This choice has been removed and replaced with one.  ***The University provides an environment that strongly supports the individual needs of each employee, whilst promoting the importance of wellbeing for all our colleagues. We have a range of support networks available for our employees, and more information on these can be found on the ‘Working at Lancaster’ information page.***  ***We are committed to family-friendly and flexible working policies on an individual basis. The University recognises and celebrates good employment practice undertaken to address all inequality in higher education.***  ***We warmly welcome applicants from all sections of the community regardless of their age, religion, gender identity or expression, race, disability or sexual orientation, and are committed to promoting diversity, and equality of opportunity.***  Due to the COVID related recruitment restrictions, full data was not available. |
| *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 | Policy changed and implemented. New contracts issued to **all existing staff (as appropriate).**  Sparing use of any new fixed term contracts, only where appropriate. E.g. Apprenticeships. |
| *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.* |  |  |  |  |
| *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.* |  |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |  |
| B Recognition and Value |  |  |  |  |
| 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. |  |  |  |  |
| 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. | 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 | Working group (researchers, RSO, Faculty resources manager) met three times to look at different aspects of the CoP. Welcomed the new Code of Practice as a useful working document.  Information makes explicit reference to The Concordat on induction check sheet  CEDARS data shows a good awareness:  Concordat to support the Career Development of researchers   * I have some understanding of this (51.4%) * I know this exists but I don’t know the detail (24.3%) * I have never heard of this (24.3%)   Concordat to support Research integrity   * I have some understanding of this (51.4%) * I know this exists but I don’t know the detail (25.7%) * I have never heard of this (41.4%)   Verbal feedback at inductions new researchers have an awareness of Concordat. No data/feedback for CoP- Linked on moodle page. |
| 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 |  |  |  |  |
| 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 | Concordat Implementation Group | 90% of all eligible research staff to have had PDRs by the end of the 2021 cycle | Summer 2021 | CEDARS Results shown:  Over the past two years (or since taking up your current position if that us more recent) have you participated in staff appraisal/review?  Yes (68.8%)  No (31.3%)  How useful did you find your staff review/appraisal?  Very useful (9.1%)  Useful (36.4%)  Not very useful (31.8%)  Not at all useful (22.7%)  You have not participated in appraisal because:  You are on probation 0  You've only recently been appointed (30%)  You haven't been invited to do so (45%)  You haven't arranged this yet 0  You are not eligible (20%)  Other (5%) |
| 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. |  |  |  |  |
| 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 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 | Overall fewer participants from all staff groups attended the management skills workshops in 2019/20, compared to the previous year.  However, in response to COVID we moved all our programmes online and attendance at our bespoke Principal l Investigator and PG Supervisor sessions increased dramatically. We increased the number of participants able to attend and doubled the number of sessions.  Effective Doctoral Supervision (45)  PI Dev (95)  CEDARS- Summary  Nearly 70% of researchers have taken part in the PDR process within the past two years, and almost 50% found it useful.  62% of researchers felt their line managers clearly articulate their expectations of them with respect to their role and performance.  Over 75% of researchers felt their line manger provides constructive feedback on their performance.  Over 70% of researchers agree their line manager supports them to develop their research identity.  Nearly 50% agree their line managers support them in working toward promotion and wider career aspirations. |
| 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. |  |  |  |  |
| 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 | Successful small pilot in FHM – will continue. Not currently being adopted by larger departments due to funding restrictions. |
| 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 |  |  |  |  |
| 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 | Guidelines still in progress, This proposal is working its way through the various focus groups and committees and will launched later in 2021.  No new researcher promotion cases reported for this period. Mainly due to COVID restrictions on all promotions.  HR currently working with RSO to ensure funding for promotion is available within the grant application. |
| 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. |  |  |  |  |
| 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 |  | Still in progress (see B2.5)  ACTION TO CARRY FORWARD |
| 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. |  |  |  |  |
| New Actions:  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 | Small pilot of materials launched Spring 2021  Focussed recruitment of small cohort (with funding buyout 2021)  Full participation expected by 2023. |
| 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. |  |  |  |  |
| 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 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.) | Head of Careers service | Reporting on specific staff groups will not be possible. However, an overview of overall institutional usage of the on-line tool will be reported. (Increased usage by all staff by 30%.) | July 2020 | Reported slight increase – limited breakdown was made available showing a slight increase in the number of all staff, including researchers accessing the resources. |
| 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. |  |  |  |  |
| 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.  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. | Organisational Developer (Research and Academic) | Satisfaction reflected in a researcher survey data | July 2020 | Web pages refreshed. PI training refreshed. Excellent feedback received. |
| 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. |  |  |  |  |
| 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 |  |  |  |  |
| 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. |  |  |  |  |
| 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. | 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 and departments. | Annually September | COVID-19 interfered with the delivery of the full programme.  Induction was moved to an in person online event and follow up workshops online.  Participants appreciated that we had moved this induction online, a high proportion of those attending, were not geographically located near Lancaster and this method of delivery allowed them to attend and experience the networking opportunity not normally available to them. |
| *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.* |  |  |  |  |
| *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. |  |  |  |  |
| New Actions:  Researchers to be encouraged to access the new [Lancaster internal 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 | 2019-2020 9% increase  2020-2021 (so far) 2% increase |
| *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.* |  |  |  |  |
| *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.* |  |  |  |  |
| See C3.9 (PDR)  See C3.8  *No specific action identified for 2019-21* |  |  |  |  |
| *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* |  |  |  |  |
| 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. |  |  |  |  |
| New Actions:  Information sessions on support available and programmes (below) to be included in new cohort induction. Clarity over appropriate 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 | HR - OD/ED | Feedback from ED (Educational Development) colleagues on programme attendance by Faculty  Feedback reported through researcher survey. | November 2020 | CEDARS data results reports a positive response. |
| 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. |  |  |  |  |
| 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 | Proposal of membership of Senate was rejected, however, alternative refresh of the membership of Institutional level Research Committee is to be undertaken. To now specifically include a member of ‘research staff’. |
| C3.14 – Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement |  |  |  |  |
| 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 | Mentoring is still not widespread. Pockets of good practice. Looking to change the induction checklists – to include the allocation of mentors for all new staff – currently ‘recommended’.  New inter institutional scheme 2021 – for Mid Career researchers. A pilot cohort with Lancaster, Manchester Met, Liverpool, Huddersfield and Salford. A review in December to inform future plans. |
| **D: RESEARCHERS’ RESPONSIBILITIES** |  |  |  |  |
| D5.1 – Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers |  |  |  |  |
| 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 | Committee Representation  Positive feedback from new starters about RSA engagement.  71% rated the workshop 3 out of 3.  85% rated the workshop 3 out of 3.  Comments included stay in touch with other attendees, engage with other researchers for collaboration  Participants were from a broad range of departments and faculties. |
| 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. |  |  |  |  |
| 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 | OD annual report shows that attendance at researcher support programmes has increased this year with the move to online delivery. This will influence the delivery method for future years, with a blended approach, alternating between face to face and online. |
| 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. |  |  |  |  |
| 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 increase in usage by 10% from September 2019 to report date. | Annual May 2019 | Ethics support is often provided one on one and there is limited data from the online modules available to staff.  **ACTION CARRIED FORWARD** |
| 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. |  |  |  |  |
| 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 | 2017  Academic- Research = 1  Academic- Teaching & Research = 53  2019  Academic- Research = 1  Academic- Teaching & Research = 53  Next Making Professor – The whole journey - event planned Sept 2021. Online due to COVID. |
| *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.* |  |  |  |  |
| *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 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.* |  |  |  |  |
| *No specific action identified for 2019-21* |  |  |  |  |
| **E: DIVERSITY AND EQUALITY** |  |  |  |  |
| New Actions:   * Gender Pay Gap Task Group (May 2018 – July 2019) highlighted issues that were subsequently recognised by Athena SWAN work groups. * EDI Data: Improve data collection and reporting on EDI characteristics to better understand our EDI issues, * Establish an EDI Impact and Implementation Group to align key EDI work streams and to project manage all EDI actions * EDI specific roles e.g. PROVC with EDI explicitly in remit and a new University Dean for EDI. * 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 in AS action plan. The exception is the people strategy which isn’t due until 2020 (NOW 2021).  Report to CIG on status updates relevant to recruitment, retention and career management of researchers | Annually January | Action update report from ASIG meeting on 4th February 2021 in the evidence files.  Promotion data currently not an automated process. Update from October 2020, Female success rates higher than male success rates, and have been for years. Application rate for women this year 15%, success rate 77% same as last year. Men 16% application rate, success rate 50%  All now in place:   * EDI implementation Group established. * EDI specific roles e.g. PROVC with EDI explicitly in remit * New University Dean for EDI. * Faculty Associate Deans to now include Associate Dean for EDI |
| 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 |  |  |  |  |
| 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 | Still awaiting final submissions, but nearly all there. |
| 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. |  |  |  |  |
| New Actions:  New policy on casual contracts and fixed term working currently being developed. **See 1.3 above** |  |  |  | Done (See 1.3) |
| 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. |  |  |  |  |
| 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 |  |  |  | Currently an annual report with data on EDI breakdown. |
| 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. |  |  |  |  |
| 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 | No report as yet on flexible working requests – not within the remit of CIG.  New measures and New flexible working policy will now be published in line with COVID, return to work etc. All linked to “Future ways of working” project. |
| 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 |  |  |  |  |
| 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.* |  |  |  |  |
| *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.* |  |  |  |  |
| *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. |  |  |  |  |
| 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.  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 | Raise awareness of support groups – membership of these groups has increased.  Communication with new starters as part of new induction  These have been skewed by COVID |
| 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. |  |  |  |  |
| New Actions:  Ensure all research managers are aware of [New University Bullying, harassment and sexual misconduct policy](https://www.lancaster.ac.uk/bullying-harassment-and-sexual-misconduct-policy/) | 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 | Increase reported. |
| 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. |  |  |  |  |
| 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 | Final awards due later this year. |
| 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 |  |  |  | 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** |  |  |  |  |
| 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. |  |  |  |  |
| 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 | Updated and agreed by Research Committee (EDI rep from FHM) |
| *F7.2 – The signatories agree:*  *a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders’ Forum of progress.*  *b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.*  *c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.*  *d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).*  e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector). |  |  |  |  |
| *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.* |  |  |  |  |
| *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. |  |  |  |  |
| New Actions:  Research Services Office and Organisational and Educational 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. | Head of Research Quality and Policy  Organisational Developer (Research and Academic) | User feedback on effectiveness of refreshed pages. Gathered at new Induction workshops. | Jan 2020 | CEDARS reports a heightened awareness of the Concordat.  Concordat to support the Career Development of researchers  I have some understanding of this 36 (51.4%)  I know this exists but I don’t know the detail 17 (24.3%)  I have never heard of this 17 (24.3%) |
| 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. |  |  |  |  |

**G: ADDRESSING LANCASTER UNIVERSITY’S ‘HR EXCELLENCE IN RESEARCH’ STRATEGIC PRIORITIES 2019-2021**

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|  | **KEY PRIORITY** | **BROAD SUCCESS MEASURES** |
| 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). * 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. |
| 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 |
| 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. |