# **HR Excellence in Research Action Plan – updated 2021-2023**

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| Lancaster University logo  | Hr Excellence in Research logo  |
| **Institution Name: Lancaster University**  |
| **Cohort number:** | **Cohort 3** | **Audience (beneficiaries of the action plan)** | **Number** | **Comments** |
| **Date of submission:** | **24-Sep-21** | **Research staff** | 393 | **Main target Audience are Research only staff - these are now all on 'contracts with end date'.**  |
| **Institutional context:**  | At Lancaster, the responsibility for the Researcher Development Concordat sits with the Concordat Implementation Group, a subcommittee of the Institutional Research Committee. The main audience for this action plan is those staff on research only contracts. By ensuring this category of staff have the support they need good practice can be shared to include all staff. On the table overlap activity within Athena Swan action plan is highlighted in yellow. We acknowledge that the Vitae CEDARS survey is now biannual, however an internal survey gathering similar data will be undertaken in 2022.  | Postgraduate researchers | 1800 | Currently supported by our Doctoral Academy |
| Research and teaching staff | 992 | Includes Teaching and Engagement, Teaching and Research, Teaching and Scholarship (Not included in plan) |
| Teaching-only staff | 138 |  |
| Technicians | 120 |  |
| Clinicians |  | Not currently listed as a separate staff category. |
| Professional support staff | 1438 |  |
| Other (please provide numbers and details): |  |  |

## **Environment and Culture**

### Institutions must:

|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** | **Action carried over from previous action plan?** | **Old Concordat principle and clause** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ECI1 | Ensure that all relevant staff are aware of the Concordat | Information on the Concordat/Code of Practice is included in Research Staff Induction and also included in responsibilites as part of new PI development session. Recommend the POED Partners team are briefed on this on a regular basis - the team is new. | Increasing numbers of researchers and research managers reporting that they are aware of the Concordat. As measured through the CEDARS Survey (Q.43.1a). (2020 - 24.3% had never heard of the Concordat, by 2021 this was down to 22.6% - aiming for down to 18% by 2022 survey results). Regular feedback directly from researchers at Research Staff Association events and as part of new starter survey. | Aug-22 | OD for research and Academic. All CIG members. HRBP (Research Committee) | Changes in the membership of CIG to include more faculty and department representation. This will broaden the reach of CIG and thus the awareness of the Concordat. CEDARS - knowledge of Concordat has slowly increased 72.4% (2021) 77% (2022) 78.4% (2023) Further actions to include working with POED colleagues to provide more information about the Concordat for new starters, and the RSO new induction for new grant holders.  | Carried forward | Yes (A1.1) (B2.1) (C3.6) (F7.4) | New |
| ECI2 | Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers | Athena Swan - 2019AP MCFW6 - PARS (Parental, Adoption, Research Support) scheme now open to those on fixed-term and indefinite with an end date contracts | a) PARS scheme eligibility criteria reviewed to ensure that “research active” is defined in a manner that applies in all subjects and includes all research staff. b) 100% increase in uptake of PARS scheme, that is, increase from around 2 per year to 4 per year. | a. Oct 21 b. Oct 23 | Faculty Deans, HRBP, AS lead (Athena Swan Projects Officer) | PARS scheme reviewed and relaunched in September 2021. Will provide impact report September 2023 | Reporting to continue through AS structures. |  | P2.1P6.8 |
|  |  | Equity - Consistency in application of policies e.g. funding for conferences and development activities. - 10 development days guidance, career and development activities available to researchers, - allocation of mentor - support and guidance and development programmes for all PI/CoIs, covering leadership and management programmes. | All researchers to be offered the same opportunities, and report improved satisfaction (CEDARS). Undertake an assessment of the 10 days development and how they have been used to ensure provision is applied fairly across all departments. Direct researcher feedback at RSA termly events. New questions to be added to new starter feedback responses. | Priority action - Easter 2022 - Easter 2023 | Research managers, RSO, Service Delivery manager, Research Directors | Central tracking system of 10 development days introduced in April. No data yet available. Some push back from Academic colleagues that this has introduced another system for Researchers to engage with and take up is currently slow. New programme for new grant holders for Summer 2023, will encourage the use of hte 10 day tracking system and other relevant information. Impact on behaviours to be monitored by CEDARS data. New starter feedback system to be improved for 2024. Current new starter report suggests that 29.9% of new researchers were offered and accepted a mentor, 4.5% were offered but declined and 44.8% were not offered a mentor. This data is at odds with the reports from departments and needs further investigation, as they are claiming that all new starters are offered a mentor.  | New starter feedback is proving difficult to report on. Action to be carried forward to allow for improved reporting. Further reports needed from faculties and department to confirm details. Action to carry forward. (under review by SDM) |  |  |
|  |  | Researcher Voice - Guidance on the inclusion of research staff in all departmental communications - OD to remind departments and faculties annually of the need and importance of including all staff in department communications and activities. | All new and existing research staff to be included in all departmental communications. Made aware of broader opportunities and included in departmental meetings. Feedback direct through RSA event in Spring term and monitoring within departments. | Priority action - Easter 2022 - Easter 2023 | OD, Faculty and Dept managers | CEDARS 2022 suggest 92.2% receive departmental communication. Verbal feedback at researcher forum, majority now happy with communications from departments and the centre. | No further action |  |  |
| ECI3 | Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues | Introduction of Simitive software to manage workloads, planned for 2022. Further encouragement for all PIs to attend the PI and management training. | CEDAR (Q14.8a etc) feedback on workload allocation and direct positive feedback through the RSA.  | Summer 2022 | POED Director | CEDARS - Workload allocation (treated fairly) : 48.7% (2021) 43.8% (2022) 48% (2023). This does show an improvement but there is still work do be done in this area, as this % is still disappointing. The new software has been slow to roll out with only a few departments currently using this system, so very little usable data available. Attendance data to be monitored in future actions. | Carried forward | Yes (E6.4) | P6.9 |
|  |  | Review of Bullying and Harassment policy - under review |  |  | Employment relations team | Plans are underway to launch a new Anti-bullying and harassment network. With a new statement Respect, Support, Report. A new lead appointed. Reporting tool which will sit alongside the Uni safe (reporting tool for students) will include a case management system, allowing themes and trends analysis. | As this is still in planning reports will not be available until 2024/25. Reporting through University Executive Board and EDI committee. Carried forward. |  |  |
|  |  | Introduction of regular thematic pulse surveys | These will provide valuable data on the views of all staff groups. Help to monitor trends and highlight issues for action. Report to CIG for further actions if needed. | Termly reports | Associate Director People, Culture and Inclusion | Pulse surveys have not had a good take up. Isolating researcher responses is difficult due to low numbers. However overall pattern is similar to that of other staff groups. Pulse surveys to be paused. (20.04.22) To recommence Spring 2024 | No further action |  |  |
| ECI4 | Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health | Athena Swan 2019 AP C8 - mandatory EDI training completions. New mental health module to be developed.  | a) 95% of all new starters have completed mandatory EDI training. b) 95% of all (i.e., including existing) staff have completed mandatory EDI training.  | Oct-22 | Director POED. AS lead (Chris Atkinson to report) | Update 26/04/2022 EDI @ 85%, mental health 80%. Currently no mechanism for reporting on new starters. Action with HRMI team | Carried forward | Yes (E6.4) | P2.3 |
| ECI5 | Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity | Re-fresh of research integrity training. Improvement in monitoring participation. University Research Ethics Committee (UREC) currently undertaking a survey about existing training provision in departments and faculties. To be added as a question to the staff induction survey  | System developed to monitor participation in year one with a 20% increase in particpation reported for year 2.  | Oct 21 and Oct 22 | Head of Research Quality and Policy | New online training modules being introduced late 2023. New post to support their development and embedding in research practice. (QR funding) | Carried forward | Yes (D5.3) | P6.1 |
| ECI6 | Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices | Undertake an EDI/culture survey. Continue with annual CEDARS surveys. Use of feedback groups and the continued input from the RSA. | CEDARS (Q37 etc) Feedback to show a positive improvement in 'cultural' elements. Increase by 10%. | Aug-22 | Equality, Diversity and Inclusion Manager, OD (A and R) | 2 reports were commissioned to look at research culture with different lenses. One focussing on open research and a broader review based on CEDARS data. Both involved direct input from researchers. Outputs informed recommendations within the forward action plan and some of the action listed as 'Priority actions'.  | Carried forward (New research culture manager role.) See report for further details. |  | P6.10P7.5 |
|  |  | Identity - Agreed nomenclature - a clearer understanding of how various categories of research staff might describe themselves. | Feedback directly from Research staff at research staff events. Recognition and adoption of terminology across the institution. | Priority action - Summer 2022 | Director of POED, (HR service delivery manager) Head of Research Quality and Policy | Agreement to use (where possible) the term research staff rather than specific characteristics. e.g. Post Docs, ECR. etc) It is acknowledged that this is not always possible due to funding restrictions - in these cases clarification of the term used to be presented. (20.04.22) Recruitment team reminded to check adverts for use of term Post Docs. (11/22) | No further action |  |  |
|  |  | Identity - Clearer definition on contracts e.g. Academic or PS or research | Feedback directly from Research staff at research staff Summer event. Regulation through People and Organisation effectiveness contracts team. | Priority action - Summer 2022 | OD (A and R) HR service delivery manager | Now embedded in practice - re opened action as still some discrepancies.  | No further action - changed to carry forward |  |  |
|  |  | Researcher representation on departmental and Faculty committees to be reviewed with the process for ensuring new appointments, due to the transient nature of the contracts.  | Researcher representation on research committees to be monitored by the Departmental Research Directors to ensure all posts are filled and data collected by the OD A and R annually.  | Annual - Spring term | OD (A and R) Dept Research Directors | Recently advertised positions on committees were not filled. Researchers did not apply. Suggest more formal procedures are adopted for appointments to give fair and equitable opportunities. Action to take forward.  | Carried forward | Yes (C3.13) (D5.1) |  |

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| ECM1 | Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work | Athena Swan 2019 AP C8 - mandatory EDI training completions. New mental health module to be developed.  | Impact on management practice measured through CEDARS and AS reporting | Aug-22 | AS Lead (Chris Atkinson to report) | Update 26/04/2022 EDI @ 85%, mental health 80%. Currently no mechanism for reporting on new starters. Action with HRMI team. EDI training down to 87.9 (2022) from 96.1 (2021). Mental health down slightly from 76.9 (2021), to 75% (2022) | Monitoring passed to AS team |  | New |
| ECM2 | Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct | All PIs to undertake relevant PI and management development and research integrity training (See action ECM3) | Impact on management practice measured through CEDARS (CEDARS 2021 (Q39) , 'Felt pressured into compromising your research integrity 18.8% reported yes aiming for 15%) | Aug-22 | Director for RSO | CEDARS - Feeling pressured into compromising research - 5.6% (2021) 7.8% (2022) 6% (2023). This is an area that the RSO will be focussing on within the next year with the introduction of the new Research Culture manager and new training modules.  |  | Yes (D5.3) | New  |
| ECM3 | Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity | Athena Swan 2019AP C14 Reporting on Bullying and Harassment will be included in annual EDI report | 80% completions - not currently measured, coming soon.  | Jun-22 | Director of POED, AS lead (Akhtar Zaman as EDI manager) | Akhtar Zaman to report on this. Numbers were deemed too small to be included in annual EDI report for 2021 - New activity to review Policy and practice, action to be carried forward. | Carried forward. |  | P6.9 |
|  |  | PIs and research leaders to undertake appropriate training - full suite of development options is available. Any gaps identified as part of Culture Review. New programme at grant award to remind all PI/CoI's of their responsibilities.  | (CEDARS 2021 (Q25.8a, 25.9a) report for supporting mental health and wellbeing Disagree 25.8% and strongly disagree 25% - reduced to 15%) (Personally felt bullied or harassed - aiming for 15% down from 20.8%) (felt pressured into compromising integrity - down from 5.6% to 2%) With a year on year decrease in all areas. LU specific CEDARS in 2022 | Summer 2022 | RSO, OD | CEDARS - 'Working environment supports mental health and wellbeing (agree) 43.6% (2021) 33% (2023) No data for 2022). This decrease is disappointing and will be investigated as part of the review to be undertaken by the new Research Culture manager and the newly formed research culture working group. 'Feeling bullied or harassed' 20.8% (2021) 15.6% (2022), 17% (2023) New network and co-ordinator Summer 2023. | Carried forward |  |  |
| ECM4 | Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers | New to line management web resources to support those new to line management, offering clarity with regards to process and policy. | Impact on management practice and reported offers as part of new starter survey and CEDARS | Aug-22 | Director of POED | CEDARS - (Q.14.6a - 2021) - 76.4% positive (2021) down to 70.3% (2022) a drop of 6.1% now down to 69% (2023) New resources not currently being accessed by this target group. Action to carry forward. | Carried forward |  | New |
| ECM5 | Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | CIG and research committee representation. Inclusion of researchers in working groups. Clearer roles and responsibilities for Faculty Researcher Representatives on committees etc. Promotion of these opportunities as part of career development by research managers. | Increased presence at all research committee levels and involvement in broader institutional task groups etc. (CEDARS 2021 (Q.34.8) 'participation in policy and decision making' 17.4% have done this and 50% would like to. Aim for 25% have done this).  | Aug-22 | Directors for research, research managers/PIs | CEDARS - Opportunities to participate in decision-making - 61.8% (2021) to 54.7% (2022), a drop of 7.1% back to 61% (2023) which is a positive move, but more needed to be done. New formalised process for recruitment to be developed - carried forward action. | Carried forward |  | New |

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| ECR1 | Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students | Activity in relation to networking and support activities.  | Increase of active membership of the RSA by 5%, measured by participation in RSA activities/events and increased membership of Policy and working groups. Researchers having an impact on policy and decision making. Reports through RSA exec (to CIG) of impact and engagement. | Sept 22 and Sept 23 | RSA exec. OD (A and R), ADs R, Research Directors, HoDs faculty. | Increased membership of RSA executive reported. RSA termly themed meetings feeding direct actions on the action plan and direct actions/responses and information sharing not included in plan. New member/role focussing on communications, WordPress site is now back in use and up to date. | Carried forward |  | New |
| ECR2 | Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion | Measure the use of the online research ethics training module and the one-to-one sessions arranged by the RSO | CEDARS feedback and Moodle reports. Benchmark needs to be established as currently no measures in place. Feedback to include positive actions and greater understanding of the process and their role.  | Dec 21 then annual reports 2022/2023 | Director of RSO | New Research Integrity and Ethics modules to be launched late 2023.  | Carried forward. See report, new roles being established. | Yes (D5.3) | P5.3 |
| ECR3 | Take positive action towards maintaining their wellbeing and mental health | Take up offer of mentor by department. Attendance at central induction. Understand the central support provision including the Employee assitance programme.  | Increase attendance at central induction and uptake of mentoring within departments. (CEDARS Q 41.4) Feedback from new starters survey | Aug-22 | OD for research and Academic | All departments are now reporting that all new staff are allocated a mentor. Each faculty has adopted a new set of mentoring guidelines piloted by FASS. This is not reported in the new starter data. (See ECI2) Attendance at induction is still low. New comms with researcher managers is just starting to take effect, small increase in attendance numbers.  | Carried forward |  | New |
| ECR4 | Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct | Research staff to be informed of processes as part of departmental induction. Adoption of researcher induction developed by researchers from Comms and Comp Dept. Institutional review of bullying and harrassment policy and process underway. (Oct 2022)  | Awareness of policies - as reported CEDARS 2021 (Q37.1a etc, 38.1a etc, Q39 etc) reports 41.4% unfamiliar with mechanisms to report discrimination - decrease to 20%, 35% were not familiar with mechanisms to report bullying or harassment aim for decrease to 15%. | Aug-22 | HR service manager (HoDs/PI/CoI) | CEDARS - 'awareness of the procedure to report bullying, harassment or incidents of discrimination' 58.4% (2021) 71.9% (2022) 67% (2023) New reporting tool for 2024 and new network and coordinator role. | Carried forward. |  | P6.9 |
| ECR5 | Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | Alternative opportunities now emailed directly to the researchers themselves, rather than through the Departments. Increase attendance at Wellcome Culture cafes etc. Inclusion of researchers in working groups. Stronger connections between RSA and Dept research reps. Clearer Roles and responsibilities for research reps on all committees. | Researcher inclusion on working groups. e.g. People and Culture Plan implementation group, library working group | Ongoing, monitor annually in December | Associate Director of POED. RSA executive, ADRs and Research Directors | Researchers have been part of all new institutional working groups looking at People and Culture Plan, Athena Swan, REC, CIG etc.  | Carried forward. |  | P3.13 |

## **Employment**

### Institutions must:

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| EI1 | Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices | Athena Swan CP1- stress inclusive Family friendly culture, CP2 consciously review images, CP5, Recruiting the Best training, CP8 monitor and publish metrics on appointment data annually, | a) Proportion of applications from females for academic roles has increased from 32% (2017-18) to at least 40%. b) The current percentage (20%) of BAME staff and students featured in university publicity material images is increased to 25%. c) 80% of panel members have completed ‘Recruiting the Best’ training by Oct 2022 and increasing thereafter. d) Diversity metrics to be made available Oct 2021 | A) June 2023 B) Dec 2022 C) Oct 2022 D) Oct 2021 | Director of POED and Faculty Deans - B) Director of Marketing and Comms. AS leads (Kate Savage to report on RTB numbers) | Diversity metrics available through the AS dashboard. Workbook: 4. Recruitment Data (lancs.ac.uk). Action may change as a result of the OD recruitment review | As there is currently a full recruitment and selection review underway measures may change. (18month review) |  | P1.2P6.2P6.7 |
|  |  | Improving recruitment practice across all roles and interview panels.  | All panel members to undertake Recruiting the Best training or top up. Aiming for 80% by April 2022. Participants to report a greater awareness of 'fairness' in recruitment and to make changes to their own recruitment practice. As reported in OD annual report. | Review April 2022 | Deputy Director of POED. | Working group looking at improving recruitment process currently underway (OD PS) | See EI1 | Yes (A1.1)  |  |
|  |  | New updated Immigration system, online training to be available. | launch December 2021. Users to report improved understanding of the system and its importance in improving practice.  | Launch 2021 | Director of POED | No longer relevant as use new Government guidance. | New action to look at internal Visa process as researchers are reporting difficulties. Carried forward | Yes (A1.1) |  |
|  |  | New REC team in post for Michaelmas 2021 - implementation plan to follow. | Focus on diversifying our research staff. Measures to be confirmed within new Plan. | Launch 2021 | Associate Director of POED. REC lead | REC team now in post, implementation plan to be developed as part of REC submission and shared with CIG at that point. REC team have included researchers on focus groups when forming new plan to increase inclusion. | No further action as further activity directly through REC committee.  |  |  |
| EI2 | Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position | Sharing good practice, for example School of Computing and Communications induction pack (designed and developed by researchers for researchers). New online central induction to continue as well as re-introduction of face-to-face event.  | CEDARS improved satisfaction data. (CEDARS 2021 (Q42.4) 'Feel included in research group' 28.8% Agree strongly and 46.4% Agree - increase these to 85% combined). New starter Induction questionnaire, to show that new staff have a broad understanding of the University and how their role fits within the local structures.  | Aug-22 | OD (A and R), ADs Research, HoDs | CEDARS - 'feel included in immediate research group' 75.2% (2021), 68.3% (2022), 72% (2023) Moving back in the right direction following the drop due to COVID. Central induction workshops consistently get very positive feedback. New starter survey data reports that 72.4% rated their departmental induction as Very or Quite Good. Use this as baseline data for next year’s report.  | Carried forward. |  | P3.6 |
| EI3 | Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances | Athena Swan, FT7, grade 6-7 promotion, rewrite of promotion pathways and criteria currently underway | Athena Swan action plan reports annually | Dec-21 | Director of POED, AS lead (Nick Thoume) | Paper supporting Researcher Progression currently under consideration by approvers - strands in paper include guidance on future research grants to support progression, request for funding for existing G6 to G7 researcher promotions, outline of a standard assessment process for G6 to G7 promotions and encouraging PDR discussions among researchers. Included researcher progression as part of promotions support activity (Gaining Academic Promotions workshops) for e.g. including research-based case studies and researcher representatives talking about personal promotions experience. | No further action for CIG as progression reported through AS committee. | Yes (B2.5, 2.6)) | P2.6 P6.3P6.4P6.7 |
| EI4 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent | New bespoke 'Managing your research project' is in development. Feedback showed that researchers didn't engage with generic Project Management workshops.  | CEDARS and programme feedback (CEDARS 2021 (Q33.6a - etc) 22.7% have done this 47.7% would like to do this. Aim for 45% to have completed training by 2023. If CEDARS is not available in 2022 then an alternative internal survey will be undertaken. | Aug-23 | OD Academic and Research | CEDARS 'having undertaken project management' - 22.7% (2021) not asked (2022) 34% (2023) New project management for researchers has proved very successful and a number of extra sessions were introduced to meet demand, now part of Business as usual.  | No further action |  | P2.3 |
| EI5 | Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation | New PDR system implemented 2022. Online training and support for PDR updated. New research managers management skills workshops introduced. Annual Making Professor event rebranded to broaden reach (now Gaining Academic Promotion - and includes research only case studies) | a) 80% of academic/research staff with contracts of 2 years or more have had a PDR. (B) Look to increase attendance from research staff. Increase in research only staff achieving promotion.  | A) Oct 2023 B) June 2023 C) Oct 2021 | Deans, Director of POED, AS lead (PDR completion rates reported by Kate Savage, Jean Bennett reports on Gaining academic Promotion, Nick Thoume on Promotion | New PDR system does not allow for a breakdown in reporting by staff group. Move to new system is slow in many departments. New measures as reported by CEDARS for next reporting period, until system data available. Gaining Academic Promotion event reported as a success with more Research Staff engaging. With the researcher case studies being well received.  | Carried forward. | Yes | P2.6P6.3P6.4 |
| EI6 | Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress | May 2020 significant amendments to redeployment in consultation with unions. All staff placed on redeployment list automatically 6 months prior to contract end date (previously 3). Sector wide approach to redeployment being considered as part of 2021 JNCES negotiations. Further review of 'bridging' or development contracts to help researchers transition form one contract to another. Successful pilot in one faculty, funding is currently a barrier to others following this route. All existing and new staff are now on indefinite (subject to funding) employment contracts. | CEDARS improved satisfaction data (CEDARS 2021 (Q25.2a) Guidance on institutional redeployment processes 38.5% not very confident and 11.5% not at all confident - aim to reduce these to 30% and 7% respectively.) LU specific CEDARS in 2022. | Aug-22 | Director of POED Faculty Deans.  | RSA exec/HR services manager, information event. Acknowledgement that there have been teething problems with new system. New guidance notes given to those using the redeployment register on how to recruit and retain these staff. CEDARS - Giving guidance on redeployment 50% (2021) not confident has gone up to 54.6% (2022) are not confident. Dropped in 2023 to 29% not confident with 73% now confident in giving advice. This is a positive outcome of the latest communications by HR colleagues. Recruitment and selection review underway.  | Carried forward |  | P1.3P2.1P2.2 |
| EI7 | Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making | Review of committee membership underway. RSA Executive membership refresh. New opportunities to involve Researchers in working groups.  | Visible increase in researcher representation on all relevant consultation groups. CEDARS (Q16.7) satisfaction data. LU specific CEDARS in 2022. | Annual monitoring December | OD (A and R), ADs/directors of Research | New Q for 2022 LU CEDARS - manager...'encourages me to engage with decision-making.' agree 65.6%, disagree 25% . Research representation now on all EDI/AS/REC groups. Slight increase in RSA executive membership.  | Carried forward. |  | P3.13 |

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| EM1 | Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care | See EI5 |  |  |  |  |  |  | P2.3 |
| EM2 | Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding | Training and development opportunities to be explicitly targeted at research managers, bespoke sessions to be introduced.  | Report from RSO highlighting any areas of concern regarding conditions of funding. Follow up with managers 6-12 months after the training to assess the difference it has made. | Aug-22 | Head of Research Quality and Policy | These workshops are receiving excellent feedback. New research culture manager will coordinate this activity and will look at development for all research managers. | Carried forward |  | P2.2 |
| EM3 | Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers | Good practice sharing and continued attendance at development activities. Baseline recruitment and promotions data to be established to understand the current situation.  | New starter survey and feedback to show researchers are satisfied with their local induction process. Increase in reports of researcher promotions.  | Termly report to CIG | HR service delivery manager, Reward and recognition manager | New starter survey data shows that 84% of new starters were happy with their departmental induction. This survey is to be refreshed and would provide a useful barometer for the future. Promotions: There has been an upwards trend in overall researcher promotions: 7 in 2018-19, 9 in 2019-20 and 11 in 2020-21. | Carried forward. |  | P6.3 |
| EM4 | Actively engage in regular constructive performance management with their researchers | New PDR online system introduced 2022 - monitoring of usage by academic departments. Follow up by HR partners for departments not taking part. | CEDARS Satisfaction data (CEDARS 2021 (Q16.2), Institution value on your contribution to Performance management 8.1% fully, 17.9% mostly - increase to 10% and 20% respectively,) these measures are low due to the mix of participants. Further broader feedback needed, could be incorporated into launch of new PDR system)  | Aug-22 | Deputy Director POED, HRPB | CEDARS - Q 16.2 - 2021 absent from 2022 survey. Data for specific staff groups not available from new PDR system. Up take by some departments is low. But CEDARS reporting a good uptake of PDR discussions happening in existing formats.  | Carried forward |  | P2.3 |
| EM5 | Engage with opportunities to contribute to relevant policy development within their institution | New promotions criteria encourages engagement and contribution to policy development. Now recognised in all promotional strands as part of 'leadership'. | Not currently measured, but trends shown as part of promotions process | Dec-23 | OD (A and R) HR reward and recognition manager; ER Team |  | No further action |  | New |

## **Employment**

### Researchers must:

|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** | **Action carried over from previous action plan?** | **Old Concordat principle and clause** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ER1 | Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder | Improved induction at faculty and departmental level (under review). Signposting to relevant policies, when identified, through RSA WordPress site.  | Satisfaction with induction processes and knowledge, reported through new starters induction survey and CEDARS Q20.1a 2021 - Very useful 14.8%, 44.4% useful. Increase to 65% satisfaction overall. | Aug-22 | Faculty Managers, OD (A and R), Researcher managers | New starter survey data under review, new question needed here. CEDARS - Usefulness of Induction (agree) - 59.2% (2021) Not included 2022, 49% (2023)  | Carried forward |  | New |
| ER2 | Understand their reporting obligations and responsibilities | Improved induction at faculty and departmental level (under review). Signposting to relevant policies, when identified, through RSA WordPress site.  | Satisfaction with induction processes and knowledge, reported through new starters induction survey | Aug-22 | Research Managers | As above | Carried forward |  | New |
| ER3 | Positively engage with performance management discussions and reviews with their managers | See EI5 |  |  |  |  |  |  | P5.6 |
| ER4 | Recognise and act on their role as key stakeholders within their institution and the wider academic community | New opportunities are available to take part in focus groups and working groups. These include, the institutional people and culture plan, the library research working group, the RSA etc | Increased membership by researchers on all opportunities offered. Input and effectiveness reported back through the RSA.  | Dec-22 | RSA exec. OD (A and R), Directors of Research | Current recruitment to central committees is limited. More uptake at a local level, with encouragement from Directors of research.  | Process for recruitment and monitoring to be carried forward. |  | P5.2 |

## **Professional and Career Development**

### Institutions must:

|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** | **Action carried over from previous action plan?** | **Old Concordat principle and clause** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| PCDI1 | Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors | Explore development of a new support programme to include a variety of activities both within and without the University, offering a 'menu' of optional development activities. This new offer is targeted directly at the researchers and their managers. A new web page gives guidance on the possible uses of ther 10 development days. | Programme feedback to show that content is appropriate and supports researcher needs.  |  | OD (A and R) | New 10 day tracking tool will enable improved reporting on activities undertaken by researchers. New guidance web pages have been well received. Further feedback on impact to be collected at RSA event. | Carried forward | Yes (B2.2) | P3.1P3.3P5.5 |
|  |  | Managers to be made aware of the new facilities in the library extension, providing physical, digitally equipped spaces for the library to co-deliver researcher development activity and to be a hub for researchers to meet and collaborate. The main spaces are the Open Research Lab and Digital Scholarship Lab. | Impact will be difficult to measure, usage will be monitored and look to increase year on year. Interaction and networking across research groups will be encouraged in a way not possible in departments.  | Usage and impact report to CIG Jan 2022, then termly | Assistant Director: Digital Innovation and Research Services | The spaces have been well used and played host to a variety nearly 70 difference research events, including training sessions, research project meetings and departmental events, engaging with nearly 900 attendees both in person and online. These are detailed further in the usage report. These spaces will continue to be developed in the forthcoming academic year.  | Carried forward. |  |  |
|  |  | Data Conversations: a series of informal and inclusive events for researchers from all disciplines and career stages to share their experiences of collecting, managing and sharing research data. Includes informal presentations, group discussion and networking. • Open Research Cafes – similar to the above, but with a broader focus across the full breadth of open research, not just research data. | These new sessions are open to all staff and will utilise a mixed approach of in person (in the new facilities) and online delivery to allow for full flexibility to encourage the broadest attendance possible.  | Usage and impact report to CIG Jan 2022, then termly | Assistant Director: Digital Innovation and Research Services | Post pandemic although attempts were made to reinstate data conversations, attendance was very low. Feedback suggested that there was less appetite for these sorts of events due to there being fewer people on campus (who appreciated lunchtime catered seminars) and increased competing priorities.Instead, the Library has shifted focus to hosting events in partnership with departments/research groups e.g. Digital Humanities launch event. | No further direct action as further activities will be developed as part of the above. |  |  |
|  |  | The above are linked by the new recently approved 'Principles of Open Research'.  | Success will be measured by a 5-year library road map, which will measure deliverables. Working group will include researcher rep.  | Usage and impact report to CIG Jan 2022, then termly | Assistant Director: Digital Innovation and Research Services | The university's Open Research Group is now established and will oversee establishment of its Principles of Open Research as part of its remit. Deliverables to date include the launch of a new institutional Rights Retention Policy (launched 1st March 2023) to give researchers the mandate and support to keep the rights to their own research.  | Carried forward. |  |  |
|  |  | Further investigation of mechanism to track the 10 development days and report on them. Options include using new PDR system or existing CoreHR system. | Currently no central mechanism in place. No measures for benchmarking. CEDARS 2021 (Q35 etc) reports that although 8% reported they had had more than 10 development days 12.8% said they had fewer than 1 day. Ambitious target of a 50% take up of 10 development days over two years. CEDARS 2023. | CEDARS 2023 | OD (A and R), HR service delivery manager | CEDARS - Development days - for those taking 5+ days, the numbers have dropped from 25.6% (2021) to 22.2% (2022) and 23% (2023). This data was collected before the launch of the new tracking tool. With the increased publicity around the entitlement to development day these should now increase. | Carrying forward as new tracking tool only just launched. |  |  |
| PCDI2 | Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers | See EI5 |  |  |  |  |  | Yes (B2.2) | P3.10 |
| PCDI3 | Ensure that researchers have access to professional advice on career management, across a breadth of careers | Departmental mentoring schemes to be encouraged. Signposting to Prosper resources. Careers workshops by external expert twice a year. | Monitoring and reporting on Departmental mentoring schemes to CIG. 16 Lancaster researchers on current Prosper cohort and 20 researchers took part in a parallel internal programme. | Annually, Michaelmas | Faculty and Departmental Research Deans and Directors | Departments are all reporting that they have mentoring schemes in place for all new starters. New mentoring guidance piloted by FASS now adopted by all Faculties. ADs R to disseminate. | Internal resource request currently in Institutional process to request dedicated internal careers support, to work with Prosper materials. Current model is using external experts.  | Yes (C3.14) | P3.1 |
| PCDI4 | Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills | Pan-institutional pilot mentoring scheme was a success, additional institutions have joined the scheme offering a broader experience and a range of opportunities. Second cohort in Spring 2023.  | Pilot feedback showed positive impact on research confidence and increase in networking opportunities. Mentors also reported that the experience offered them opportunities to expand networks. | Feb-22 | OD (A and R) | Feedback from pilot reported a success, further cohort started April 23. Presentation at Vitae conference. (Sept 2022) |  | Yes (C3.14) | P3.11P3.14 |
| PCDI5 | Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this | Prosper, Portal launched 2021, full programme launches late 2021. Actively encourages researcher staff to develop new 'transferable' skill sets and introduces a broad range of alternative career options and contact with employers. Parallel Prosper group supports research managers and creates a support network. CEDARS Q25.2 suggests that there is an incongruence between Research Managers confidence to 'actively support researchers working towards career aspirations (33.3% - fully Confident and 56.4% - Confident) and Q28.5 satisfaction with support for broader career aspirations (Agree Strongly 20% and agree 33.3%) More emphasis to be placed on broadening career options, in PDR discussion training and other development programmes. | Prosper feedback and CEDARS satisfaction surveys (10% increase in satisfaction with career guidance). Additional feedback from exit surveys on breadth of career alternatives taken. | 01/08/2022 - Prosper feedback 2023 | OD (A and R) | CEDARS - although 93.9% (2022), 86% (2023) of managers are confident of supporting researchers 'towards their career aspirations', only 54.7% (2022) 32% (2023) feel their immediate manager 'supports me in my broader career aspirations'. This is another area we are looking to invest in with actions for the next action plan. Currently exploring options to make Prosper BAU with a dedicated careers consultant. | See PCDI3 | Yes | P3.2P3.4 |
| PCDI6 | Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews | See EI5 |  |  |  |  |  |  | New |
|  |  | Researcher Identity - Clear guidance within PDR process, which forms to use and how to get the most out of it as a researcher. | To be launched with the new software. Feedback directly from Researchers as part of implementation plan. | Priority Action - by Summer 2022) | OD for PDR | Action completed.  | No further action |  |  |

## **Professional and Career Development**

### Managers of research must:

|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** | **Action carried over from previous action plan?** | **Old Concordat principle and clause** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| PCDM1 | Engage in regular career development discussions with their researchers, including holding a career development review at least annually | See EI5 |  |  |  |  |  | YES (B2.3) | P2.3 |
| PCDM2 | Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments | Encourage researchers to apply for places on the Prosper Project to be launched in late 2021. All Lancaster places to be filled. | Prosper Programme feedback. Researcher satisfaction with programme. | Annual report June 2022 | OD (A and R) | Follow on programme for Prosper being piloted Summer 2022. (20.04.22) this programme also ran full to capacity. Report being compiled to recommend future programme. | Carried forward | Yes (C3.1) | P3.4P3.8P5.5 |
|  |  | Use of departmental and faculty mentoring schemes - new guidance developed by FASS to be used by all faculties. All new staff to be allocated a mentor from outside of their own research team. | Uptake in numbers of those with mentors and those willing to mentor. Direct input from Faculty Research Deans and Directors | Oct Annual | Research Deans and Directors (HoDs and R managers) | All faculties are now using guidelines developed by FASS to support a mentoring scheme for their researchers and other new academic colleagues.  | No further action | Yes (C3.14) |  |
| PCDM3 | Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development | Clearer communications about the Code of Practice and responsibilities of each of the 'stakeholders'. Need clear direction on what constitutes a 'development' activity as not always recognised. Clarity of allocation within grant applications and understanding of grant implications.  | CEDARS 2021 (Q35 etc) reports that although 8% reported they had had more than 10 development days 12.8% said they had fewer than 1 day. Aiming for a 50% take up of 10 development days over two years. Acknowledging that not all development days are recognised as such. | Aug-22 | Director POED, OD (A and R) RSO support manager,  | CEDARS - the figure for those taken 10+ development days has increased slightly 8% (2021), 7.9% (2022), and 12% (2023) New guidance pages published. Researchers (at RSA events) have reported that the new web page guidance gives them a clearer idea about what they may undertake as part of their 10-day allocation. New tracking system should also have an impact.  | No further action - 10 days tracking in other sections. |  | New |
| PCDM4 | Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours | Improved signposting and development routes with direct links to the RDF. CEDARS reports a higher number of researchers 'interested' in a variety of development activities, than those who have taken up the options available. This suggest that communication isn't clear and that researcher managers need a clearer steer on what is available. OD to target email researcher managers to ensure understanding of all development options available to them and their research teams. To be done on a termly basis as new provision becomes available. | OD attendance reports show an increase at researcher development events and CEDARS (Q33 etc) balance to show more people attending than 'wanting' to attend for each of the areas listed. Further attendance monitoring to be undertaken. | Aug-22 | OD (A and R) | CEDARS - more people attending than 'wanting to attend, remains the case except in the area of 'Managing Staff Performance'  | No further action |  | P3.6P3.9P5.5 |
|  |  | Managers to be made aware of the new facilities in the Library extension, providing physical, digitally equipped spaces for the library to co-deliver researcher development activity and to be a hub for researchers to meet and collaborate. The main spaces are the Open Research Lab and Digital Scholarship Lab. | Impact will be difficult to measure, usage will be monitored and look to increase year on year. Interaction and networking across research groups will be encouraged in a way not possible in departments.  | Usage and impact report to CIG Jan 2022, then termly | Assistant Director: Digital Innovation and Research Services | See PCDI1  |  |  |  |
| PCDM5 | Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development | New Research Leadership sessions to be developed in response to Pandemic and new challenges in bring staff back to campus and in kick starting research projects. More emphasis from the institution on the value of research managers in supporting the development of researchers.  | CEDARS satisfaction survey. (CEDARS Q.30.1) survey currently shows that Research Manager support for 'developing researchers' appears to be undervalued. 28.5% Not very and 15.4% not at all.) Aspire to reduce this by 20%. If CEDARS is not available in 2022 than an alternative internal survey will be undertaken. Programme feedback to show an increase in confidence in leading and managing by participants.  | Aug-22 | Director POED, OD (A and R), RSO support manager,  | New programme piloted Spring 2022, feedback was very positive, this programme is now part of OD standard offering. Supervisor development programme enhanced and relaunched in line with UKCGE framework. CEDARS - this area remains relatively static except in support in 'working toward promotion' which showed a 12.8% improvement. Research Managers report that 52% have now undertaken leadership training and 43% would still like to. 90% of research managers have undertaken Recruitment and selection training and 29% have undertaken managing staff performance with 52% saying they would like to and 81% have undertaken PDR training. | No further action | YES (B2.3) | New  |

## **Professional and Career Development**

### Researchers must:

|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** | **Action carried over from previous action plan?** | **Old Concordat principle and clause** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| PCDR1 | Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year | Identified and explored during PDR conversations. Researchers to be encouraged to attend 'Gaining Academic Promotion' events. Measure, increase in research staff attending.  | Development day monitoring just launched (2023) No data available yet. New guidelines published online. |  | OD (A and R) | see EI5 |  |  | P5.5 |
| PCDR2 | Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments | Apply for place on PROSPER. Use of PROSPER portal. Apply to Mid-career cross institutional mentoring scheme, broaden networks and support from research professionals in other institutions. (Pilot just started - first review of impact due in January) | All PROSPER places have been filled. Increase in access usage of PROSPER Portal to increase, year on year, awaiting reports from Liverpool. All available cross institutional mentoring slots filled. Positive feedback from end of programme impact assessments. Researchers to feel confident in their broader skill sets, when exploring non-HE career options.  | annual reports Jan 2022 | OD (A and R) | Prosper continuation programme developed for delivery as pilot in Summer 2022 resulted in budget request for 1 FTE to continue Prosper and provide full careers service for researcher staff and PGRs. | Carried forward | Yes (C3.1) | P3.8 |
| PCDR3 | Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications | Use of PROSPER portal to access career and professional training and career alternative and job family and skills training advice. | Long term monitoring of promotional routes and career destinations. As measured through exit interviews and promotional activity reports from across the institution. | Annual report June 2022 | OD (A and R), EDI manager | See PCDR2 |  |  | P5.5 |
| PCDR4 | Positively engage in career development reviews with their managers | See EI5 |  |  |  |  |  |  | P3.10 |
| PCDR5 | Seek out, and engage with, opportunities to develop their research identity and broader leadership skills | Identify themselves a mentor. Seek out and volunteer to be part of institutional working groups and members of RSA and other staff groups.  | Membership of RSA and staff groups to increase. Increase in use of Mid-Career Mentoring scheme. | Annual report Jan 2022 | OD (A and R), EDI manager | Mid-career mentoring scheme continued with 6 new mentors. RSA executive membership increased from 4 to 6, more recruitment to key roles needed to allow resilience  | No further action | Yes (C3.14) |  |
| PCDR6 | Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation | New programmes being developed to support our researcher community to engage at a higher level. Looking at enhancing the opportunities for research leadership and engagement. Encouraged to attend sessions by the Parliamentary trust and other external opportunities for example. These are targeted directly at research staff.  | Attendance at new programmes and greater understanding of research culture at Lancaster and beyond. Could impact on career potential and influence promotional opportunities. Long term impact and reputation for individuals and institution. Long term monitoring of promotional routes and career destinations. As measured through exit interviews and promotional activity reports from across the institution.  | Annual report June 2022 | OD (A and R), Reward and recognition manager - Promotions; SDM - exit interview; HR Systems - destination of leavers | Lancaster provides a range of activities at faculty level to support researchers with knowledge exchange. Central sessions by the Industry and Parliament Trust and the Open innovation partnership are always fully subscribed. However, acknowledge general feedback from research staff that they are not always aware of the opportunities available to them more could be done - see carry forward action.  | Action to be carried forward as new Engagement portal being developed for end 2023.  |  | P5.5 |

\* The Concordat defines researchers as individuals whose primary responsibility is to conduct research and who are employed specifically for this purpose by a higher education institution or research institute. The primary audience is research staff, e.g. postdoctoral researchers, research fellows, research assistants. The Concordat encourages institutions to include other groups who actively engage in research as beneficiaries of their Concordat action plan. These could be postgraduate researchers; staff on teaching and research, or teaching contracts; clinicians; professional support staff; technicians.

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| **Acronyms:** |
| AS - Athena Swan |
| ADR - Associate Director Research |
| CIG - Concordat Implementation Group |
| EDI – Equality, Diversity and Inclusion |
| HoDs - Head of Department |
| HRBP - Human Resources Business Partner |
| OD - Organisational Developer A and R (Academic and Research) |
| POED - People and Organisational Effectiveness Division |
| RDF - Researcher Development Framework |
| REC - Race Equality Charter |
| RSA - Research Staff Association |
| RSO - Research Services Office |
| SDM - Service Delivery Manager |