Concordat to Support the Career Development of Research Staff

Update on UCLan's 2015-17 Action Plan and forward plan to 2020

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
	A. Recruitment and Selection				
A1	Members of the research community understand researchers are chosen for their ability to advance research.	The University is committed to home-grown talent and a key feature of this initiative is to advertise internally in the first instance unless exceptional circumstances apply. All research positions have a job description and person specification detailing the experience, skills and abilities required for the role. The University continues to have transparent processes and shortlisting and selection is undertaken in accordance with published guidance.	The newly agreed Research Strategy sets out the themes and structures to further research at UCLan, and researchers will be selected to contribute and achieve these aims. This ensures we have maximum research activity, outputs and impact in our key research areas and that individuals have the right infrastructure to grow at UCLan. The Career Researcher Pathway will support the strategy, ensuring development and career planning and support and reflect the aims for UCLan. The newly formed Researcher Development Steering Group will review and develop provision.	UCLan Research Strategy is disseminated to all levels following Academic Board approval (June 2018); Activity aligned with the strategy in all faculties (ongoing); Recruiting managers are selecting researchers to further this strategy. Launch of the Career Researcher Pathway in Autumn 2018; Successful uptake of the pathway by researchers at a range of levels throughout the University. Evaluation of all feedback on the pathway - and ongoing monitoring and enhancement.	**PVC Research and Head of Research Services (Strategy)** **Researcher Development Unit** **Reported to:** **Researcher Development Steering Group (RDSG)** **Faculty (S) Research and Innovation Committee (FRIC)** **University Research and Innovation Committee (URIC)** **Academic Board (AB)**
A2	Recruitment and selection processes are informative, transparent and open to all qualified applicants.	Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Roles are always advertised on our intranet, and if no internal candidates come forward, then posted on the external internet page. Any queries can be directed to HR for response.	The Early Career Researcher Network has been the first of the new informal networks to be developed - and the Mid Term Research Network is in the consultation phase. These networks will enable recruitment and selection processes to be shared and understood by the research community. There is already a well established Readers and Professoriate group that will also receive direct mailings. Additionally, a Research Newsletter has been proposed, and is currently under consultation for delivery commencing January 2019.	Successful continuation of the Early Careers Researcher Network, Launch of the Mid Term Network by Nov 2018. Engagement with these networks by a range of researchers, with positive evaluations emerging, and successful collaborations in evidence. Research Newsletter, subject to approval, being launched in January 2019.	**Researcher Development Unit** **Human Resources** **Reported to:** **Research Services Executive Team (monthly)** **Researcher Development Steering Group (quarterly)**

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A3	Person and vacancy specs must clearly identify the skills for the post, and these must be relevant to the role.	Content of job descriptions and person specs are reviewed as part of the HERA process prior to advert. Any issues are flagged with the recruiting manager before an advert goes live. Applicants will be shortlisted on the way in which they have evidenced essential and, as appropriate, desirable criteria.	UCLan's leadership development encompasses selecting and developing your team. UCLan has established organisational values and embedded within each person specification, together with advice for recruiting managers on how to assess the values. HR Business Partners regularly review JD/PS to ensure relevance and standards are applied.	All JD/PS to conform to UCLan standards. By 2020 all appointments will have tested the UCLan values at selection.	**Human Resources** **Reported to:Human Resources Management Team (annually)**
A4	Recruitment and progression panels should reflect diversity as well as a range of experience and expertise. Recruitment & selections panels should have received relevant recent training. Unsuccessful candidates should be given appropriate feedback if requested.	The Athena Swan submission document generated positive feedback including a strong commendation for the university's focus on diversity in the selection of recruitment panels. Furthermore, 100% of Chairs of recruitment panels have been trained in Recruitment and Selection techniques which includes Equality and Diversity. Internal candidates now all receive feedback and support to put a development plan in place as part of the Home Grown Talent initiative.	Recruitment and selection practice is being enhanced through the People Plan projects which ensure decision makers are trained in unconscious bias, assessing UCLan values, and giving feedback. Development in these areas is available through blended learning - in workshops and via online courses. This principle is promoted during every selection activity.	All candidates receive feedback from a panel member, tested through a survey of applicants as part of the Candidate Experience Project in HR. Maintain the standard that 100% of interview panel Chairs are trained in equality and diversity as well as appropriate recruitment and selection techniques, ensuring statistics of completion are monitored by HR and reported to the Athena SWAN Self-Assessment Team	**Human Resources** **Report to: Athena SWAN Self-Assessment Team and Equality and Diversity Executive Group (EDEG)**
A5	The level of pay or grade for researchers should be determined according to the requirements of the post and be consistent with pay or grading in the organisation as a whole.	Content of job descriptions and person specs are reviewed as part of the HERA process prior to advert. Any issues or inconsistencies are discussed with the recruiting manager to address before advertising. Existing posts are all subject to HERA grading and comply with the national pay framework. Research posts graded above the national pay grades are reviewed by one team for the whole university, to ensure consistency of application of the 'Hay' job evaluation system. If the requirements for a post change, the grade is reviewed by the same team.	Grade is always determined by the job role, the level of pay within that grade is determined by previous salary level evidenced on appointment. Requests for additional salary beyond this are scrutinised by the HR Business Partner and if the request does not meet the objective requirements to attract additional pay, it is rejected.	Monitor reasons for granting additional salary and report on this annually to Equality and Diversity Executive Group.	**Human Resources** **Report to: Equality and Diversity Executive Group (EDEG)**

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	B. Recognition and Value				
B1	Value and afford equal treatment to all researchers. In particular, the development of researchers should not be undermined by the instability of employment contracts.	UCLan follows national legislation in regard of all contracts, fixed term and indefinite. All staff have the same access to development and training opportunities and appraisal processes. UCLan upholds the commitment to develop researchers 'beyond the life of their contract' through appraisal discussions and regular 121 meetings. 86% of responders to the recent staff survey had an appraisal discussion in the past twelve months. No distinction is drawn between contract types other than end date, on any aspect of employment or development.	The University Appraisal scheme, as detailed previously, includes a commitment to develop researchers beyond the life of their current contract. Furthermore, the Career Researcher Pathway will ensure that irrespective of the length of contract, all staff will have the same access to development opportunities to support career mobility. HR continue to systematically review all fixed term contracts to ensure correct application of the regulations.	All fixed-term contracts are reviewed annually. The launch of the Career Researcher Pathway Autumn 2018. Career pathways are being publicised for all job types, including researchers, and this will be ready Autumn 2018.	**Researcher Development Unit/Research Services** **Reported to:** **Researcher Development Steering Group (RDSG)** **Human Resources Management Team (HRMT)**
B2	Everyone involved should be committed to improving the stability of employment conditions for researchers. Implementing and abiding by the Fixed Term Employee Regulations.	The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least an annual basis and conversion to indefinite contracts is completed where appropriate / possible. Where a member of staff legitimately remains employed on a fixed term contract, the University ensures that there are appropriate development plans in place to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways, and are monitored by HR Business Partners.	The University Appraisal scheme, as detailed previously, includes a commitment to develop researchers beyond the life of their current contract. Furthermore, the Career Researcher Pathway will ensure that irrespective of the length of contract, all staff will have the same access to development opportunities to support career mobility. HR continue to systematically review all fixed term contracts to ensure correct application of the regulations.	All fixed-term contracts are reviewed annually, and all contracts made permanent where possible.	**Human Resources** **Reported to:** **Human Resources Management Team (HRMT)**

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B3	Research managers participating in active performance management. This includes career development guidance and supervision. Research managers should be aware of, and understand, their responsibilities for the management of researchers. Training should be provided including equality and diversity training, to achieve this. Consideration given to how research managers performance in these areas is developed assessed and rewarded.	The appraisal scheme applies to all staff and encourages year-round discussions regarding career development and performance. There is a special form available on the intranet for researchers to record their discussions which tracks more detailed progress, goals, achievements and development. This was designed by researchers, for researchers. HR Business Partners support discussions at School level to identify common areas of development need, and also where under-performance is an issue to address. Research managers are then supported to take action by their HR Business Partner. Career development guidance and support is available to all staff through the university careers service, HR and Research Services. A programme of manager learning is currently being developed to help research managers understand their role and create a positive environment for researchers to thrive. EDI training is mandatory for all staff and this is monitored through regular reports to managers who take responsibility for ensuring completion. Research Faculty Directors take responsibility for overseeing the performance of research managers, along with School Heads. Reviews of appraisal discussions, common development needs and achievements is undertaken at School level involving both Head and Director.	As noted in A3 above, managers of research staff are being supported in development initiatives to ensure their currency in issues affecting researchers; both internally in terms of development and CPD opportunities, and externally - ensuring that researchers maintain career mobility. Furthermore, the re-configured Faculties each now have Faculty Directors of Research who can co-appraise researchers with the researcher's line manager, to ensure fullness of support.	Successful programme of Appraisals with systems for capturing, via Faculty Directors of Research/Business Partners, emerging issues, and channelling these appropriately. FDRs feedback quarterly to Faculty Research and Innovation Committees (FRIC's) on views around training and development requirements, and consider reports on completion statistics of optional and mandatory training. Faculty Directors of Research feedback to Research Services where they need more/different development to be offered. All research managers understand, and are equipped in their role of active performance management, this will be assessed through the staff survey responses. Annually in January. Additionally, the new Career Researcher Pathway Portal has a direct feedback button, enabling any and all staff to submit evaluations, or requests for additional /other training.	**Faculty Directors of Research/Human Resources/Faculty Business Partners** **Reported to:** **Captured by HR analysis of feedback and shared with Faculty Directors of Research, Researcher Development Unit, Faculty Research and Innovation Committees (FRICs)**

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
B4	Organisational systems capable of supporting continuity of employment for researchers.	The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least annual basis and conversion to indefinite contracts is completed where appropriate / possible. Where a member of staff remains employed on a fixed term basis, the University seeks to ensure that there are appropriate development plans in place so as to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways. There are organisational systems for re-deployment should alternative employment be appropriate at the end of a fixed term contract.	Aim to agree the security of employment HR policy cluster in 2018 which brings together the policies for fixed term contracts, redeployment, redundancy avoidance and terminations.	Agreement of the employment policy cluster December 2018	**Human Resources** **Reported to:** **Senior Executive Team (SET) and Human Resources Management Team**
B5	Transparent pay progression in accordance with agreed procedures.	All researchers progress equally with increments on the salary scale until the top of the grade, national annual pay rises or established promotions processes. Promotions criteria is promoted to all researchers and available on the intranet. Career progression is monitored (anonymously) through the Athena Swan groups. Equal pay audits are conducted annually and the annual gender pay report is on our external website.	The national pay spine applies to all research posts up to Reader and Professor. The criteria for Reader and Professor are published on the Intranet so everyone can see what is required to progress in the new discipline areas of teaching and learning, innovation as well as research. UCLan is recognising the 3 strands research, innovation and enterprise and teaching for Reader and Professor in the promotion of these opportunities and workshops to help staff prepare for application.	Increased number of applications for Professor and Reader for each strand. Measured annually each June Every applicant receives feedback from the panel. July/August annually via Faculty Directors of Research	**Human Resources** **Reported to:** **Academic Board**

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B6	Researchers offered opportunities to develop their own careers. Clear career frameworks for early stage researchers outlined in organisational HR strategies. Researchers have access to additional pay progression. Transparent promotion procedures.	There are many development opportunities open to research staff, as all staff at UCLan. Researchers in particular are guided by the Vitae Researcher Development Framework to support progression, and can access face-to-face classroom learning, online resources including Lynda.com and Epigeum,as well as informal networks and learning groups across faculties, such as the Early Career Research Group. Additional pay progression is available through the established promotions process, to Professor or Reader positions for either research, teaching and learning or innovation excellence. A diverse, representative panel govern the whole process and the procedure is transparent and fair, with feedback to all applicants. Workshops are held to explain the criteria and to help people consider applications.	HR and Research Services initiatives described above, in collaboration with one another, will significantly increase researcher's autonomy and freedom in terms of self directed career development. The Career Researcher Pathway will be a mixture of masterclasses, workshops, lectures and be delivered through a range of media. Furthermore, the launch of the Academic Professional Apprenticeship (APA) route (January 2019) will further enhance frameworks for development.	Launch of the Career Researcher Pathway in Autumn 2018 and successful uptake of the pathway by researchers at a range of levels throughout the University. Provision of Researcher Progression criteria on HR webpages is up to date and accessible Launch of the APA - January 2019	**Researcher Development Unit, Research Services/Human Resources/Centre for Excellence in Learning and Teaching (CELT)** **Reported to:** **Faculty Research and Innovation Committees (FRICs)** **University Research and Innovation Committee (URIC)**
	C. Support and Career Development				

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
C1	Career Development which is comparable to, and competitive with, other employment sectors.	Staff are regularly accessing 'career edge' which is our careers platform, and gaining guidance from careers staff alongside. Career development at UCLan is comparable to other sectors as demonstrated by our staff survey question "I have the opportunity for personal growth and development" 74% of responders agree, making it an 'area of strength' according to the survey provider Capita. UCLan no longer reports on 'development days per employee', as the majority of learning is not captured on the HR system due to the informal nature of much of the career development learning undertaken by researchers. Researchers also log their learning in other areas, such as professional body formats.	Research Services has emerged as a new professional service following a comprehensive review commissioned by the PVC for Research and members of the Senior Executive Team. An analysis was undertaken to determine the comprehensive range of support required to underpin and develop university researchers. Research Services is an amalgam of a number of different Units that provide the majority of this support, encompassing research excellence and the REF; data management and open access; grants and funding support; ethics and integrity infrastructure, and researcher development. It is the Researcher Development Unit, in conjunction with the Head of Research Services, SET, the Researcher Development Steering Group, cross-campus research networks (emerging formal and extant informal) that have shaped the Career Researcher Pathway programme that is to be officially launched in autumn of 2018 Furthermore, the Researcher Development Unit are working with the team in the Centre for Excellence in Learning and Teaching (CELT) to develop content from the Career Researcher Pathway into a level 7 academically credit rated specialist route for the second year of the Academic Professional Apprenticeship scheme - specialist researcher route. In this way - staff within the institution can either undertake the Apprenticeship programme, depending on their level of experience; or stand alone courses within the Career Pathway. The Apprenticeship programme was validated on September 20th for delivery in January 2019 and will also give those who complete the award of PgCert Academic Practice.	Launch of the Career Researcher Pathway in Summer 2018 and successful uptake of the pathway by researchers at a range of levels throughout the University Launch of the Academic Professional Apprentice Scheme Jan 19 and uptake by relevant members of staff - and monitoring and evaluation of both to ensure ongoing appropriateness and enhancement. Monitoring of the progress of this new route will be quarterly with the course team and HR, in addition to reviews with each apprentice and their manager at least every eight weeks. An evaluation of the scheme will take place annually and amendments made within the funding guidance.	**Human Resources/Research Services** **Reported to:** **Human Resources** **Researcher Development Steering Group (RDSG)** **Academic Standards and Quality Assurance Committee** **University Research and Innovation Committee**

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C2	Development of transferable skills through embedded training.	Transferable skills development is available to all UCLan staff, and promoted to researchers through the existing networks, induction, appraisal and research meetings.	In addition to maintaining the position outlined in the Updated Position statement, training options in the new Career Researcher Pathway are cast in more real-time settings. Consequently, the training will make use of mentor sessions for real-research activities involving participants; master classes by facilitators expert in the subject areas relevant to the researchers, and also - a range of soft skills programmes intended to develop and deepen the understanding of application in other scenarios e.g. reflective practice, coaching, mentoring.	Launch of the Career Researcher Pathway in autumn 2018 and successful uptake of the pathway by researchers at a range of levels throughout the University. Launch of the Academic Professional Apprentice Scheme in Jan 19 and uptake by relevant members of staff - and monitoring and evaluation of both to ensure ongoing appropriateness and enhancement. Focussed Research Mentoring programme by Researchers for Researchers - launching November 2019.	**Researcher Development Unit, Research Services/Human Resources** **Reported to:** **Researcher Development Steering Group (RDSG)** **Human Resources** **Faculty Directors of Research** **Faculty Research and Innovation Committees (FRICs)**
C3	Training, skills and competencies to carry out the funded project. Support to develop the communications and other professional skills to be effective researchers and highly skilled professionals in other fields.	A wide range of development workshops, materials and online resources exist to support all researchers. Courses aimed at research students are now open to all staff too. The Funding Team carry out skills training, knowledge sharing and actively communicate with all researchers to aid competence in this area. Development support includes how to talk about your research work, media training, support to develop an online profile, networking opportunities within and outside of the university which all develop professional skills.	The consolidation of support into Research Services has further underlined the cradle to grave support for researchers who seek funding for their work. Developments planned to enhance this service since the restructure include Master classes on successful grant capture; hot-house style workshops; and grant writing retreats for staff involved in subject specific or interdisciplinary projects. These will be provided within the Career Researcher Pathway and also the Academic Professional Apprenticeship (APA) route. The new APA is mapped to the Vitae RDF and will ensure a breadth of professional skills.	Delivery of the Career Researcher Pathway Autumn 2018, and successful take up of the pathway by researchers at all levels throughout the university. Launch of the Academic Professional Apprenticeship in January 2019 with positive participant feedback by 2020.	**Researcher Development Unit, Research Services/Human Resources** **Reported to:** **Research Development Steering Group (RDSG)** **Faculty Research and Innovation Committees (FRICs)**

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C4	Access to professional, independent advice on career management.	The careers service supports all staff and is equipped to help researchers plan their careers. Careers staff operate to professional codes of practice and are independent sources of feedback, advice and support. The Researcher Development Framework is in use across all Faculties. Progression to Reader and Professor guidance is available on the intranet. The mentoring scheme supports researchers wishing to work on any area of their skills development or career progression.	Careers staff are now represented on the Researcher Development Steering Group. This group, chaired by the Head of Research Services, meets as a minimum once per semester, and is represented by a broad range of career researchers in addition to Faculty Directors of Research, Researcher Development and HR. With its remit to ensure ongoing provision of the most relevant support to researcher career development, any request for enhanced careers service delivery can be reviewed and implemented. Furthermore, the Research Networks referenced above, will feed into this group, and may report outside of it. In this way it is hoped that all views may be captured and represented and responded to.	Triennial meetings of the RDSG - scheduled into the University calendar and fully represented. Action planning and implementation of Action Plans emerging from the RDSG. Reports from RDSG to the University Research and Innovation Committee. Scheduled meetings of the three researcher networks, reference above.	**Researcher Development Unit, Research Services** **Researcher Development Steering Group (RDSG)** **Researcher Development Steering Group (RDSG) and University Research and Innovation Committee (URIC)** **Research Services/Research Network Leads**
C5	Clear systems that help researchers to plan their career development. Assist researchers to make informed choices about their career progression by ensuring policies and processes for promotion and reward are transparent and clearly stated.	Systems which help career planning are found on the HR webpages, which detail expectations, support and requirements of each job level. A guide to holding career conversations is also on the webpage. The appraisal process is key to career planning, and the researchers appraisal record form asks for this information, ensuring the conversation takes place. The HR webpages house information on career pathways, promotion criteria and processes, expectations of each job level and support available for development.	Please refer to the APA Scheme, Career Researcher Development Route, Progression routes for researchers details above. Additionally, the Professor and Readers scheme continues annually - with 11 Professors and 15 Readers appointed in 2017, and 51 applications have been received for the current round.	Delivery of the Career Researcher Pathway autumn 2018. Delivery of the APA Scheme January 2019. Growth in applications to the Reader and Professor appointments scheme (annually), with feedback to all applicants.	**Researcher Development Unit, Research Services** **Researcher Development Unit, Research Services and Centre for Excellence in Learning and Teaching (CELT)** **Human Resources and Research Services** **Reported to:** **Academic Board**

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C6	Research managers provide effective research environments for training and development of researchers, encouraging CPD. Planned induction programme for researchers.	Research management at UCLan has changed significantly in recent months, and the People Plan has a real drive up upskill all managers to ensure the development of their teams is maximised. Directors of Research are key to cascading expectations as do Heads of School, supported by their HR Business Partners. All researchers participate in a welcome meeting with HR on their first day to share all the basic information required. Local induction is the responsibility of their line manager and is supported centrally by online resources and HR guidance through Business Partners. A Research Induction Day is run through Research Services to guide all researchers through everything they need to know about the UCLan environment and how it supports their research. All researchers are invited to a central induction event which round monthly and includes a welcome from the vice chancellor and an introduction to each support service to help staff navigate the university.	All Research managers, Faculty Directors of Research, and those involved in research networks will be appraised of all opportunities for CPD. This will be communicated via the updated website, once the Career Researcher Pathway is launched, and via the Research Newsletter, scheduled for launch January of 2019. Training is ongoing via HR at the current time for all managers, emphasising the importance of developing all staff within their area, and this will be assessed via interim and annual appraisals, and reported up using the appropriate metrics. New Academic Professional Apprenticeship in January 2019.	Update of the Career Researcher Pathway - Autumn 2018. Uptake of the Academic Professional Apprenticeship Programme January 2019. Maintenance of appraisal and interim appraisal schedules. Participants undertaking APA successfully. Checked September, annually.	**Human Resources** **Research Services** **Research Services/Centre for Excellence in Learning and Teaching (CELT)** **Reported to:** **Research Development Steering Group (RDSG)** **Faculty Research Innovation Committees (FRICs)**
C7	Articulation of skills that should be developed to support career progression.	The Researcher Development Framework articulates skill required at each level, and is promoted, discussed and used to guide development in each faculty.	All CPD is being mapped not only to the RDF, but also to the Academic Professional Apprenticeship standards, so that staff not only know and recognise the standards for performance, but can also use the training they have done to accumulate professional credit/recognition/accreditation.	Uptake of new initiatives - Career Researcher Pathway and APA (Research route) Ongoing attendance and uptake of physical workshops and online learning opportunities	**Research Services** **Human Resources** **Reported to:** **Research Development Steering Group (RDSG)** **Faculty Research Innovation Committees (FRICs)**
C8	Researchers are aware of local and national career development strategies.	The Researcher Development Framework articulates skill required at each level, and is promoted, discussed and used to guide development in each faculty. Local strategies are outlined on the HR website.	The development planned of the Research Newsletter will have a section dedicated to 'Events' and opportunities from a broad range of professional organisations, comprehensively representing and covering academic areas within the University. This will also be added to the online calendar of external events that is under development for research staff, and will hopefully augment and enhance existing systems.#	Launch of the Research Newsletter January 2019.	**Research Services**

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C9	Research Managers should actively encourage researchers to undertake CPD activity so far as is possible during the project.	All UCLan managers are being developed to enhance the experience of all team members in accordance with the UCLan values and inclusive leadership. Active development of each team member of part of this and the systems in place to support this include induction, appraisal and regular 121 meetings. Directors of Research are in place in each faculty.	In addition to existing systems and protocols as recorded in years 2013 and 2015 - the addition of the Career Researcher Pathway and Academic Professional Apprenticeship scheme - as well as the research networks - will not only provide additional opportunities for managers to direct staff to, but will also provide peer to peer support and learning. Staff will be able to participate in any of the research focussed modules, even if they are not registered for the APA programme.	Delivery of the Career Researcher Pathway autumn 2018. Delivery of the APA Scheme January 2019. Mentoring of Researchers by Researchers - Nov 2019.	**Research Services/Research Managers** **Research Services/ Centre for Excellence in Learning and Teaching (CELT)** **Reported to:** **Faculty Research Innovation Committees (FRICs)**
C10	Appraisal systems for researchers.	86% of staff survey responders had an appraisal in the past twelve months, and of that number, 75% said it was useful to them. This needs improvement and so appraisal briefing sessions have been, and continue to be rolled out across UCLan to guide managers to ensure a better experience. The recording form designed by researchers is updated each year and freely available on the intranet.	Maintenance of the existing system HR annually ask Managers for feedback which can then be addressed for the future and improvements made.	Maintenance of the existing system. HR engage Managers in discussion regarding appraisal before and after every cycle, and ask for feedback on any recurring issues which can then be addressed for the future. Staff survey question 'was your appraisal useful to you' will increase in academic areas by 2020.	**Human Resources/Faculty Directors of Research** **Reported to:** **Senior Executive Team (SET)**
C11	Preparation for academic practice i.e. teaching and administration.	The Centre for Excellence in Learning and Teaching runs a one-day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching.	Please refer to the detail around the development of the UCLan APA Scheme, Career Researcher Development Route, Progression routes for researchers details above. This, in particular, with its core mapped to the APA standard for pedagogy and administration, will enhance the already existing support for new members of teaching/research staff	Delivery of the APA Scheme January 2019. Maintenance of other training as noted above.	**Research Services/Centre for Excellence in Learning and Teaching (CELT)** **Research Services/Human Resources** **Reported to:** **Research Development Steering Group (RDSG)** **Faculty Research Innovation Committees (FRICs)**
C12	Training when researchers are engaged in supporting learning and teaching.	The Centre for Excellence in Learning and Teaching runs a one-day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching. If researchers are responsible for teaching regularly they are supported to gain Fellowship of HEA through the taught provision of experienced evidence routes.	As C11	As C11	**As C11**

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C13	Researchers should have input to policy and practice through appropriate representation at staff meetings and management committees.	Researchers are represented on the University Committees at every level, and in faculties and schools as appropriate. Researchers are represented by the trade union UCU which works in partnership with management to enhance the culture at UCLan.	Maintenance of the existing system plus the introduction of the PVC Research Strategy Group which will in time have representation from the ECRs, mid-career an the Profs and Readers Group. The Research strategy was available for consultation via the Intranet and all encouraged to complete a feedback survey. The University already has a full complement of democratic and deliberative decision making committees e.g. Faculty Research and Innovation Committees, as well as University level Research and Innovation. Elections to all committees of the Academic Board are held, and teaching and research and professional staff encouraged to stand. Full details are available in the University's Governance Manual.	Representation on an ongoing basis through the University governance system - i.e. local and national committees and networks.	**Senior Executive Team (SET)** **Human Resources** **Reported to:** **Academic Board** **University Board of Governors**
C14	Availability of mentors in providing support and guidance for CPD.	The UCLan mentoring scheme is open to all staff, and has 100% success rate in finding suitable mentors for all mentee applicants.	In addition to the University's longstanding Mentor scheme, a recent initiative requested by Researchers is nearing completion after focus groups between April and August, and will be launched in November of 2019. This is the Mentoring for Researchers by Researchers, initiative. Training for Mentors and Mentees will be offered for those without prior experience, and a database of Mentors, with areas of interest, preferred mentee topics etc., will be developed alongside the new system. This will be evaluated after the first twelve months, subject to take up numbers.	Focussed Research Mentoring programme by Researchers for Researchers - launching November 2019.	**Human Resources** **Researcher Development Unit** **Reported to:** **Researcher Development Steering Group (RDSG)**
	D. Researchers Responsibilities				

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
D1&2	Researchers should develop increased capacity for independent, honest and critical thought. Researchers should develop their ability to transfer and exploit knowledge.	See previously noted opportunities for growth and development	The addition of mandatory researcher training in Intellectual Property Rights and ways in which to exploit research e.g. commercial application/patent creation. This is provided by the Innovation and Enterprise Service. All research staff must undertake this training, and attendance is monitored and reported on by HR to line managers. Researchers are required to upload outputs e.g. publications on the institutional repository, CLoK and to also engage with the UCLan Data Repository and also gain and use an ORCiD identifier. The Scholarly Communications Unit within Research Services supports through training and 1:1 sessions with these areas.	Increased number of disclosures in a timely manner. Increased and completed outputs records on CloK and data on UCLan Data. All research active staff hold an ORCiD id.	**Head of Research Services** **Director of Innovation and Enterprise.** **Reported to:** **Heads of School/ Executive Deans** **Faculty research and Innovation committees (FRIC's) University Research and Innovation committee (URIC)**
D3	Researchers should conduct and disseminate research in an honest and ethical manner.	The University subscribes to the principles of the Concordat for Research Integrity, and is in the process of demonstrating this compliance through detailed Web Pages. Five modules on Research Integrity have been purchased from the Epigeum suite - and all training includes reference to Data Protection, Freedom of Information, Insurance, IPR, Malpractice and Maleficence.	The University has fully implemented the Concordat, and maintains an annual reporting system as required, and published on their Ethics website. Full training is in place both face to face and online; and each of the three Ethics Review Panels, and the University Committee, are responsible for implementing and leading with best practice. Furthermore, Faculty Ethics Committees are being reintroduced in September of 2018, to ensure that best practice already evidenced at doctoral student and research staff level, is cascaded down to UG and PGT student practice. Additionally, the Ethics and Integrity Unit has recently secured funding for a further three posts, to ensure that all aspects of integrity e.g. ethics, GDPR, NHS/GSCC/BPS compliance are complied with and demonstrated at every level.	Ongoing Ethics Review Panels (3) - meetings once per semester (Note - applications are via SharePoint Online system operating daily when the University is open and manned). Introduction of Faculty Ethics Committees - September 2018. Expansion of the Ethics and Integrity Unit into a Governance Unit with additional staffing to monitor issues of research integrity - Sept - 2018- Feb 2019.	**Head of Ethics and Integrity Unit** **Chairs of Ethics Review Panels (3)** **Chair of University Ethics and Integrity Committee** **Reported to:** **Ethics Review Panels (3)** **University Ethics and Integrity Committee**

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
D4	Researchers should be aware that the skills and achievements required to move on from research position may not be the same as the skills and achievements which they displayed to reach that position.	Expectations, skills and knowledge required at each job level is stated on the HR webpages.	Maintenance and continued evaluation of current practice plus the publication of the career pathways which will clearly articulate the expectations for developing through the career levels. Furthermore, the Career Research Pathway "Portal" allows staff to search for CPD via RDF domain, Job Role or particular topic. By using Job Role - they can then determine what skills set is indicated as being required at each level, and thus better understand the requirements for career progression - evidenced in a transparent way.	Provision of the Career Researcher Pathway - Aug 2018 Maintenance of existing HR guidance, including grade criteria and role profiles via the University Intranet.	**Human Resources/Research Managers/Research Services** **Reported to: Researcher Development Steering Group (RDSG)**
D5	Researchers should recognise that their primary responsibility for managing and pursuing their career is theirs. Seek out opportunities for learning and development.	The UCLan CPD policy states that career development is the individuals' responsibility, supported by managers and central services. Learning hours are no longer reported centrally, but discussed locally through appraisal, and recorded using an appropriate system for that researcher. All learning centrally administered is managed through the HR system and therefore recorded on their development record.	The expanded Pathways scheme and newly formed Research Services will yield further opportunities for staff; and the expanded network by virtue of the new researcher networks - will increase the opportunities for dialogue.	Uptake of new initiatives - Career Researcher Pathway and APA (Research route). Ongoing attendance and uptake of physical workshops and online learning opportunities.	**Research Managers/Research Services/Human Resources/Centre for Excellence in Learning and Teaching (CELT) Reported to:Researcher Development Steering Group (RDSG)**
D6	Research managers should encourage CPD. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated. Researchers encouraged to record their CPD for presentation to future employers.	UCLan's leadership development work supports managers to actively encourage career conversations and regular CPD. Each appraisal discussion contains CPD and development plans are in place for each individual. Researchers have been attending the appraisee briefings and are prepared for their career development discussions with their appraiser. Career development activities are monitored and reviewed locally with their line manager, and Director of Research as appropriate. Researchers are encouraged to use iTrent HR system to record their CPD, unless they have a preferred format or professional body requirements. The iTrent record can be cut and pasted into their appraisal form or any other document for ease of use.	The University is currently looking to purchase Vitae's Planner programme, which will be made available to all researchers to record their activities. This will enable them to produce reports of experience matched to the RDF domains, and thereby prioritise areas that require further development. It will also yield evidence of their practice to support career mobility.	Purchase and Implementation and roll out of Vitae Planner, or suitable alternative career mapping software.	**Researcher Development Unit Human Resources** **Reported to:** **Research Executive Group (monthly)** **Researcher Development Steering Group (quarterly)**

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
	5. Diversity and Equality				
E1&2	Organisation takes positive steps to promote equality and to develop specific schemes and action plans to address specific issues of under-representation or lack of progression. Recruitment and retention of researchers from the widest pool.	The Race Equality Charter Mark submission is now planned for July 2018. The Athena Swan institutional Bronze Award is being resubmitted in November 2017, along with a Silver submission from the Faculty of Health & Wellbeing. Institutional Self Assessment Teams for both Athena Swan and RECM have been convened and meet bi-monthly. A university level group (EDEG) is chaired by the Deputy Vice Chancellor to oversee all equality and diversity initiatives. The recent appointment of an Equality, Diversity, Inclusion and Communities Manager enhances the University's commitment to Equality issues, and work is ongoing to develop an E&D Team. The University has achieved re-accreditation as a Disability Confident Employer, and as a Mindful Employer, cementing our commitment to support staff with disabilities, and with mental health issues.	Staff survey equality data from January 2018 survey shared with Equality and Diversity Executive Group. New governance arrangements for Athena Swan, Race Equality, Stonewall and other charter marks.	Maintenance of existing awards. Achievement of Athena Swan submissions from other Faculties according to UCLan plan.	**Equality and Diversity Manager/Faculty Deans and Directors of Research** **Reported to; Equality and Diversity Executive Group (EDEG)**
E3	Address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately affect some groups.	As part of the Race Equality Charter Mark, race and ethnicity data is being examined and action plans will follow. Gender is being managed via the Athena Swan work and closer links are being made within the University between the teams with responsibilities in these areas.	Research undertaken as part of the Race Equality work identified barriers to progress at certain levels for black and minority ethnic staff. A response is being planned to target support, encouragement and development for staff in this group. Also, the theory is being tested that women are not getting the equivalent research time as men, which anecdotal evidence supports.	Targeted support plan in place for race equality career support. Investigation is completed into the research time given to men and women, with resulting actions agreed.	**Human Resources/Equality and Diversity Manager/ Race Equality Charter Mark Chair** **Reported to; Equality and Diversity Executive Group (EDEG)**
E4&5	Respond flexibly to requests for. changes to working patterns and resist instant refusals based on 'we don't do it this way here'	The vast majority of flexible working requests are resolved locally. Any which require a formal process are supported by HR and 100% of requests are dealt with within published timescales. HR Business Partners challenge managers in the event that they believe a request has been wrongfully denied, thus retaining objectivity. Current data shows that 95% of requests are granted when HR become involved.	100% of requests for flexible working or changes to working patterns decided within the published timescales. Numbers for formal process in past 12 months dealt with by HR was 16. Of this number, 16 accepted and 0 declined. Staff have access to shared parental leave, flexi-time, flexible working requests, leave for compassionate reasons and many other options. Posters promoting the benefits of employment at UCLan circulated.	Flexible working options are promoted to all staff, with HR promoting the positive outcome for all requests	**Human Resources** **Reported to; Human Resouces Management Team**

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
E7	Transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity reflected in selection and evaluation committees.	A robust equal opportunity policy is in place for all appointments and all recruiting managers are trained in equality and diversity as well as recruitment good practice. The UCLan gender diversity profile is reflected in the make-up of selection panels and evaluation committees. This was commended in our institutional Athena Swan submission.	Building on existing good practice, unconscious bias training is available for all recruiting managers.	Unconscious bias training is promoted to all recruiting managers, target of 50% completion rate for 2018/19. Align actions on recruitment with Athena Swan and RECM action plans.	**Human Resources/Equality and Diversity Manager** **Reported to; Equality and Diversity Executive Group (EDEG)**
E6&8	Account taken of researchers personal circumstances. Change policies or practices that directly or indirectly disadvantage such groups.	Managers do take account of researchers personal circumstances and respond flexibly where possible. Policy or practice changes required are managed by the existing channels of trade union partnership, HR Business Partnering or via the main university group Equality and Diversity Executive Group.	Equality Impact Assessments are no longer undertaken when a policy is ready for implementation, but is embedded during the development stage. This is a positive step forward and ensures all HR policies respect people in all personal circumstances. Appraisers are encouraged to hold regular one-to-one discussions to better understand each member of staff to treat each according to their needs. 83% of staff survey responders had an appraisal discussion in past twelve months. Research shows an increase in appraisal participation is needed for part time and fixed term staff.	Aim to increase the number of fixed-term/part time staff survey responders who have had an appraisal/probation/review discussion in past twelve months.	**Human Resources** **Reported to; Human Resouces Management Team (annually)**
E9	Measures exist for discrimination, bullying or harassment to be reported without adversely affecting careers of innocent parties.	Well established process underpin the policy which applies to all staff. Mediation is available and alternative 'early dispute' methods are being trialled.	Trade Union reps have undertaken an introduction to mediation. Routes for reporting are advised in the policy. Early dispute resolution schemes are in development to support allegations and investigations.	Targeted support is put in place for areas reporting more bullying and harassment in the staff survey, to ensure managers know how to handle the discussions should they arise.	**Human Resources** **Reported to; Human Resouces Management Team (annually)**
E10	Consideration of participation in schemes such as Athena Swan Charter, the Juno project, and other initiatives.	The University holds the Athena Swan Bronze Award, and is resubmitting in November 2017 to renew this award. One Faculty submission is also going in at Nov 2017.	Existing awards are maintained and more submitted in line with UCLan plan.	UCLan plan for faculty awards is on track.	**Reported to;Equality and Diversity Executive Group (EDEG) and Senior Executive Team (SET)**
	6. Implementation and Review				

	Concordat Area and Issue	Position at 2017	Forward Plan 2018-2020	SMART Measure	Responsibility for Oversight/Reported To:
	Undertake regular review of progress in implementing the principles of the Concordat via a Steering Group.	A new Concordat Steering Group is being established as Research governance at UCLan is transformed. The first meeting is planned for Spring 2018.	A Research Development Steering Group (RDSG) has been re-established for 2018 onward, comprising Head of Research Services, HR, Researcher Development, Faculty Directors of Research, and representatives of research across the board from each Faculty (3). The role of this group is to agree the action plans, monitor progress, ensure communication of the work and connecting the many activities across UCLan which contribute to the concordat. This group will also benefit from insight from the Profs and Readers Network, as well as the other networks (ECR, Mid terms researchers) that are being brought about at the time of the creation of this document.	Meetings of the RDSG - three per annum. Continued meetings of research networks - minimum of three per annum.	**Human Resources/Research Services** **Reported to; Researcher Development Steering Group (RDSG) (annually)**