



## UNIVERSITY OF CENTRAL LANCASHIRE: CONCORDAT TO SUPPORT THE CAREER DEVELOPMENT OF RESEARCH STAFF

### Update on 2018-2020 Action Plan and Forward Plan to 2022

This document is a reminder of the position at 1 August 2020 plus a statement on the proposed actions for the period to 2022. The actions have been listed under the new Concordat Area and Issue which is most appropriate. Table 1. is a guide for what information is where and what it relates to. The Outcomes listed in this document should, if relevant be continuing as Actions in the 'Actions and Forward Plan for 2022' document. A list of acronyms is also provided below.

#### Acronyms used:

**CPD** - Continuing Professional Development

**CPR** - College of Professors and Readers

**ECR** - Early Career Researcher

**ED** - Executive Dean

**FDR** - Faculty Director of Research

**FREIC** - Faculty Research, Ethics, Integrity Committee

**HoS** - Head of School

**HRERWG** - HR Excellence in Research Working Group

**PRC** - Professor and Reader Committee

**RDSG** - Researcher Development Steering Group; which has evolved from HRERWG

**RDU** - Researcher Development Unit

**SRfR** - Significant Responsibility for Research

**SRL** - School Research Leads

**SRLs** - School Research Leads

**UCLan** - University of Central Lancashire

**URIC** - University Research and Innovation Committee

**How to interpret the table below:**

**Concordat Area and Issue**

**Professional and Career Development**

(This is the new Concordat Principle)

PCD 6 – Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews.

(This is a key responsibility within the new concordat principle)

**Position @ 2020**

This area describes the current position

**Forward plan to 2022**

This area outlines the activities to be delivered between now and 2022.

**SMART Measure for 2022 delivery**

This area outlines the various outputs and outcomes from the forward plan work and is what we will be measured on to determine achievement and compliance with the Concordat.

**Responsibility for Oversight and Reported to.**

This area will list the roles who are responsible for taking the actions forward. All activities and progress will be reported to the Faculty Research, Innovation and Ethics Committees and the University Research and Innovation Committee.

**Concordat Area and Issue - Environment & Culture**

**EC 1 - Ensure that all relevant staff are aware of the Concordat.**

**Position @ 2020**

The RDU make staff aware of the Vitae Concordat at the Academic Research Induction Sessions which take place throughout the year as 1-1.5hr sessions on the following: (I) Introduction to Research @ UCLan and how research is funded; (ii) Ethics and Integrity; (iii) Grants and Funding; (iv) Open Research; (v) Researcher Development; (vi) Research Excellence and the REF and (vii) Intellectual Property and support at UCLan.

The concordat is publicised through the RDU Portal and any updates about the Concordat is publicised via the RDU Blog and sent to SRLs and FDRs and EDs. Any colleagues that contact the RDU for advice or support, are also made aware of the concordat and the resources from Vitae that they can utilise.

Progress with HREiR and the forthcoming Concordat is discussed and reported to FRIECs (twice per year) and URIC (three times per year).

### **Forward plan to 2022**

(i) To introduce for 20/21 that the revised Concordat is taken to all relevant research committees at School and Faculty levels. Researcher representatives on those committee's feedback information about the new concordat, or the RDU attends Faculty and School meetings to inform researchers of updates relating to the concordat.

(ii) To host events specifically around the revised concordat for researchers at all levels. This will raise the profile of the new Concordat and highlight the responsibilities of all stakeholder and enable participants to hear how the University can help them, but also listen to their needs and requirements. The 3 Research Networks will be targeted: ECR, Mid-Career and CPR, as will the Research Institutes and Centres

(iii) To run a survey for researchers about the concordat, so that information can be obtained on how many researchers are aware of the concordat and their responsibilities as researchers but also the institutions responsibilities, plus what their needs are and their ideas to help embed the Concordat into day to day working. Potentially use the CEDAR's (Culture, Employment and Development in Academic Research) Survey.

(iv) To continue to use the RDU portal and blog as a platform for updates in relation to researcher development policy, so that researchers can also access this online information as well. Promote the signing up to the blog.

(v) To amend the RDU web pages to add more detailed information about the concordat and add in sections for each area of the concordat for the institution, researcher, research manager and the principles and expectations required for each area but add into each expectation, links that will help the researchers find the correct information for each area. Consider the use of case studies.

(vi) Provide those responsible for appraising researchers with details of the Concordat and provide typical opening questions to help develop discussions with appraisees.

### **SMART Measure for 2022 delivery**

(I) The HREiR award and the new Concordat have been promoted to all staff through events and publicity material and the survey. More than 50% of staff will have returned a response.

(ii) Discussions of the HREiR and the Concordat can be found in School, Faculty, Networks and Institutes and Centres and University meeting minutes with associated actions.

(iii) Relevant information posted on internal and external web pages.

(iv) Documentation provided to appraisers and appraisee around the Concordat and available on the internal Appraisal webpages.

### **Responsibility for Oversight and Reported to.**

Training Coordinator

Director of Research Services

Leadership Development Manager, HR

### **Environment & Culture**

#### **EC 2 - Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well communicated to researchers and their managers. (This links in with 2008 concordat principles of B1 & E8)**

##### **Position @ 2020**

B1 - The University Appraisal scheme 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.

E8 - 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 (2019) had an appraisal discussion in the past twelve months. Research shows an increase in appraisal participation is needed for part time and fixed term staff.

##### **Forward plan to 2022**

(i) To introduce for 20/21 on the HR webpages a dedicated section for researchers with all the institutional policies and practices available in one place. This will be alongside information about the concordat, with links to the RDU portal.

(ii) To also include HR in the welcome event for researchers so they can speak to new research staff about the institutional policies and practices available and where to find this information. Policies such as: Job Grading and Progression, Recruitment and Selection, Pay, Benefits and Pensions, Staff Information (researchers), Staff handbook (researchers), People Plan, Researcher Development Information.

- (iii) To record the above and make available to all researchers via the researcher development webpages.
- (iv) UCU represent researchers, so they will be made aware of this concordat and their role in supporting communication.
- (v) To ensure that researchers who are on fixed term contracts, will be contacted 3 months before the end of their current contract to discuss next steps and are placed on the redeployment register to ensure they have prior notification of all opportunities within the University, and are given the opportunity to apply. Those on the redeployment list are given priority for all vacancies at the same grade or lower.
- (vi) As the success measure was not achieved for improving the appraisal experience of fixed term contract holders, this remains an objective.

#### **SMART Measure for 2022 delivery**

- (i) Relevant web page set up for researchers which collates appropriate information for researchers.
- (ii) Monitor the number of visits to the web pages and how long they stay on the page. If these are low, different forms of promotion should be adopted.
- (iii) Provide an additional session into the Academic Researcher Induction programme on HR policies and practices. New session run 3 times in the academic year.
- (iv) Update researcher content of academic induction booklet.
- (v) In the staff survey 2022 there will be no statistically significant differences in appraisal experience between full time and part time fixed term contract holders.

#### **Responsibility for Oversight and Reported to.**

Training Coordinator

Director of Research Services

Leadership Development Manager, HR

#### **Environment & Culture**

**EC 3 - 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. (This links in with 2008 concordat principles of E9)**

### **Position @ 2020**

E9 - 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.

Report and Support platform in place with 10 issues raised by 6 colleagues regarding bullying/harassment/discrimination at 31 July 2020.

Staff Counselling Service accessible to all researchers.

Wellbeing activities and support available from Oasis Centre, and local Health Champions network.

### **Forward plan to 2022**

(i) To utilise the results from the staff surveys around these areas, specifically for the research community and act on any areas where there are issues.

(ii) Promote to researchers and those supporting research the new Policy on Misconduct in Research which replaces the current Code of Practice for the Investigation of Allegations of Research Malpractice.

(iii) Use the CEDAR's (Culture, Employment and Development in Academic Research Survey) to gauge whether researchers feel that are able to have flexible working practices, discrimination issues, bullying or harassment and collect the feedback from the research community to feed into HR policies and practice that affect researchers, but also to feedback at the School, Faculty and Institutional level.

(iv) Promote mental wellbeing resources and activities to research managers.

(v) Continue to implement the early dispute resolution scheme and to raise manager awareness of the scheme options.

### **SMART Measure for 2022 delivery**

(i) Review staff surveys to identify what issues are prominent and ensure Schools action plan for improvements.

(ii) Review the CEDARs results to identify what issues are prominent and ensure Schools action plan for improvements.

(iii) Using results of (I) and (ii) discuss with the RDSG to determine university-wide actions, plans and implementation.

(iv) Maintain Report and Support system for reporting concerns and review findings annually

## **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

## **Environment & Culture**

### **EC 4 - Ensure that managers of researchers are effectively trained in relation to equality, diversity, and inclusion, wellbeing and mental health. (This links in with 2008 concordat principles of B3)**

#### **Position @ 2020**

B3 - 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 a Faculty Director of Research (FDRs) and Schools has a School Research Lead (at Professoriate level) who can co-appraise researchers to ensure fullness of support.

FDR's feedback via FRIEC's in relation to training and development. From 2019-2020, 10 meetings have taken place from the Faculties of Science & Technology, Health and Wellbeing, Creative and Cultural Industries, and Clinical and Biomedical Sciences. Within these meetings, it was highlighted that the faculties had received a number of requests for leadership development training. Research Services/RDU were looking at delivering a number of masterclasses in this area going forward in 2020/2021, but also specific training could be delivered to the faculty dependant on interest.

FDRS feedback development requests to Research Services, where the staff member may require more/different development. Research managers understand and are equipped in their role of active performance management which is assessed via the staff survey responses.

The Researcher Development Portal has contact information where staff can submit requests for additional/other training and development. Unfortunately, at this present time, we have not received any requests via this resource for future training and development. This is something that needs to be addressed going forward for 2021.

319 colleagues have taken Unconscious Bias Mandatory Training since 01/08/2018. 212 colleagues have taken Recruitment and Selection Training, which covers equality issues, since 1<sup>st</sup> August 2018. 792 colleagues have undertaken Diversity in the Workplace Mandatory Training since 01/08/2018.

Consultation completed for academic manager leadership programmes to support the new academic structures introduced in August 2020.

### **Forward plan to 2022**

- (i) Highlight to research managers through the FRICS the importance of colleagues undertaking this specific training, so they are able to support researchers effectively.
- (ii) Design and implement leadership programmes for academic managers to support new structures from August 2020.
- (iii) Expand Health Champions Network to include researchers from each professional network (ECR, Mid, Prof and Reader).
- (iv) The Appraisal workflow for researchers will be finalised and discussed with appraisers, for promotion and implementation in September 2021 round.
- (v) The impact of good management and support for researchers will be evident in the next all staff survey which is scheduled for January 2021.

### **SMART Measure for 2022 delivery**

- (i) Develop a series of case studies around different development approaches and promote to researchers.
- (ii) Research Managers understand EDI and wellbeing provision available to their teams, to be assessed through School Leads network.
- (iii) Promote attendance of Research Services at relevant School and Faculty development days.
- (iv) 80% participation of academic managers in leadership programmes to support new structures.
- (v) A Health Champion from each researcher network in place.

### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

Training Coordinator

### **Environment & Culture**

**EC 5 - Ensure researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity. (This links in with 2008 concordat principles of D3)**

### **Position @ 2020**

D3 - The University has fully implemented the Concordat for Research Integrity and maintains an annual reporting system as required which is 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 were 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 Research Governance 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.

### **Forward plan to 2022**

- (i) In 2021 and beyond to continue face to face and online training sessions to ensure researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity and report back on a yearly basis with the data of how many staff have accessed these sessions.
- (ii) Those academics supporting the review and approval of ethics application to be mentored and trained and participate in case study workshops to build knowledge and common understanding and application.

### **SMART Measure for 2022 delivery**

- (i) To ensure all research managers have completed the research ethics and integrity training.
- (ii) Where standards have not been met, or regulations broken a process of reflection and identified action is followed. Where possible these cases should be written up as a case study for internal viewing and training purposes.
- (iii) Continue to promote through internal website and appropriate meetings and Committees good practice in research ethics and integrity.

### **Responsibility for Oversight and Reported to.**

Research Governance Unit Manager

Director of Research Services

### **Environment & Culture**

**EC 6 - 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. (This links in with 2008 concordat principles of E10 & F5)**

**Position @ 2020**

**E10** - The 2019 staff survey results were published on the intranet for all to see and meetings held in every academic area to discuss improvements. Athena Swan Bronze Award re-gained at University level. Faculty of Health retain their Bronze Award too.

**Forward plan to 2022**

- (i) For 2021 To introduce the CEDAR's (Culture, Employment and Development in Academic Research Survey) to gauge what the research community feels about the research environment and culture within UCLan. Once we have this data from the research community, this can then feed into research committees at department and faculty levels, which then inform researchers that we are using their feedback to improve institutional practices. The survey has specific questions already written into it for this area.
- (ii) Run the full staff survey in January 2021 and publish results. Each academic area to hold activities to engage researchers in improvements to the research environment.
- (iii) Review activity in Faculties and Schools to identify good practice. For example, the work in the Faculty of LSBE where researchers come together to share what they are working to ensure all in the Faculty are aware of the research portfolio within the Faculty. Similarly, in the School of Pharmaceutical and Biomedical Sciences there is a Scientific Initiation Programme and a full PGR seminar series.

**SMART Measure for 2022 delivery**

- (i) CEDAR survey completed, results shared on the intranet, and with Faculty Research Directors who engage their Schools in local discussions regarding improvements.
- (ii) Staff survey run in January 2021, action plan in place at institutional level. Schools help local discussions to identify improvements.
- (iii) Research leaders in Schools and Faculties are ensuring all researchers within the area are aware of the portfolio of activity in their areas.

**Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

Training Coordinator

## **Employment**

### **E 1 - Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices. (This links in with 2008 concordat principles of A2, E2, & E7)**

#### **Position @ 2020**

A2 - The Early Career Researcher Network has been the first of new informal networks to be developed and the Mid-Career 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.

E2 - Staff survey equality data from January 2019 survey shared with Equality and Diversity Executive Group. New governance arrangements for Athena Swan, Race Equality, Stonewall and other charter marks are in place from August 2020.

E7 - Building on existing good practice, unconscious bias training is available for all recruiting managers.

319 colleagues have taken Unconscious Bias Mandatory Training since 1<sup>st</sup> August 2018. 212 colleagues have taken recruitment and Selection Training since 1<sup>st</sup> August 2018.

#### **Forward plan to 2022**

- (i) To provide links from the RDU Portal to the HR web pages which will have a specific section on there for research staff where they can access the recruitment and selection policies and procedures specifically for them.
- (ii) For the research networks to be used more effectively in sharing policy and practice information in relation to recruitment and selection practices for researchers.
- (iii) HR to deliver focussed events to research managers raising the importance and awareness of open and transparent merit-based recruitment.
- (iv) Survey recently shortlisted candidates regarding their experience of the recruitment process.
- (v) For the RDU to continue to engage and support the CPR group with events and information relating to the career development of researchers.
- (vi) Once feedback received from the ECR Group, for the RDU to develop a programme of events for 2020/2021 which has a wide range of events and activities that can support their career development. These events will be publicised via the RDU Portal/Blog/Email/Face to Face/Microsoft Teams.
- (vii) Once feedback received from the MCR Group, for the RDU to develop a programme of events for 2020/2021 which has a wide range of events and activities that can support their career development. These events will be publicised via the RDU Portal/Blog/Email/Face to Face/Microsoft Teams.
- (viii) Mesh actions from Athena Swan, staff surveys and HR Excellence in Research to ensure co-ordination.

(ix) Active engagement of decision makers in unconscious bias training.

**SMART Measure for 2022 delivery**

(I) All academic managers have completed recruitment and selection training, unconscious bias training.

(ii) There are no complaints regarding selection processes.

(iii) Recently shortlisted candidates report the recruitment process to be fair and transparent.

**Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

Training Coordinator

**Employment**

**E2 - Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position. (This links in with 2008 concordat principles C6)**

**Position @ 2020**

**C6** - 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. The number of participants in University 'welcome events' at 31 July 2020 was 553.

**Forward plan to 2022**

(i) Continue welcome events for all new colleagues, which details their employment policies and practices, setting out expectations and responsibilities for all UCLan colleagues.

(ii) Enhance local induction guidance and make available online to all colleagues. This includes updating the 'Academic Induction Booklet'

(iii) To introduce for 2021 a welcome event specifically for researchers. This would enable the RDU to make all new staff aware of the concordat, and share all information relating to the RDU, and also the work of Research Services. There could also be an opportunity for new researchers to speak to staff from I&C, Prof & Readers, ECR, & Mid-Career groups as well. The events would be held reasonably close to after the individual has started to ensure they are assured research is important at UCLan and support is available. This would then be a precursor to the Academic Researcher Induction Programme that is offered on a modular basis.

(iv) The ECR is working, with engagement from the group. The future focus will be on building membership and reaching a balance between providing what they want to know and providing updates on items of relevance to them.

(v) The Mid-career forum is in its infancy and the next 12 months will be about building their confidence in the forum and of engaging with it.

(vi) Work will continue with the CPR group.

(vii) Greater emphasis and effort will be focussed on developing the right research environment at UCLan. Much of this work will focus on PGRs, and the Research Institutes and Centres, and generally promoting the great work achieved by UCLan academics and students.

(viii) Professional Services Directors have been asked to contribute an outline of their service and function for academic colleagues, which can be included in induction activities.

#### **SMART Measure for 2022 delivery**

(i) Development and delivery of a specific 'induction welcome' event for new starters which focusses on making connections, the who's who at UCLan.

(ii) Relevant information and links are placed on both the RDU intranet pages and HR pages.

#### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services, Training Coordinator

#### **Employment**

**E3 - Provide clear and transparent merit-based recognition, reward, and promotion pathways that recognise the full range of researcher's contributions and the diversity of personal circumstances. (This links in with 2008 concordat principles B6, E3, E4, & E7)**

#### **Position @ 2020**

B6 - 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.

E3 - 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. Race Equality work did not progress in the previous period. A new EDI Director is now in place to address these issues which relate to gender as well as race.

E4 - 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. At 31 July 2020 it was found that this data could not be collected. HR casework logs have now been amended to capture this data.

E7 - Building on existing good practice, unconscious bias training is available for all recruiting managers.

319 colleagues have taken Unconscious Bias Mandatory Training since 1<sup>st</sup> August 2018.

There were no promotions round in 2020 due to the impact of coronavirus and anticipated student numbers.

### **Forward plan to 2022**

(I) The new research strategy which will be consulted on in 2020, discusses the need to recognise the 'hard to quantify' activities, the esteem factors of researchers such as editorial work, peer review work, professional body engagement, mentoring activity. Appraisal documentation is being explored to enable this activity and achievement to be reported and recognised.

(ii) To continue with the progression pathways for professors and readers and provide data on how many new applications we support on a yearly basis.

(iii) A new organisational strategy will contain high level 'people' objectives, which will be shared in autumn 2020

(iv) A review of the potential of an APA route for researchers requires reconsideration to identify who the route is aimed at, and the potential to offer such a course.

(v) Ability to challenge current grade position is provided on the HR website.

(vi) Promotion procedures are clear and available on the internal HR website. It should be noted that if an employee is funded from external funding then they will be appointed at the agreed grade on a fixed term contract.

(vii) Analyse workload allocation/distribution of allocated time for research, teaching, pastoral care, and management by gender and job role to create a more transparent and equitable environment (Athena Swan Action 5.1.8).

(viii) Set flexible working principles to apply in all areas to aid consistency. HR to systematically record flexible working requests.

(ix) Active engagement of decision makers in unconscious bias training.

#### **SMART Measure for 2022 delivery**

(i) Inclusion of esteem factors in appraisal discussions.

(ii) Review the possibility of reporting the esteem factors to University Committees, e.g. URIC to help raise awareness of the importance and recognition of the work.

(iii) Promotion of those involved in esteem factor delivery, e.g. editorial boards, peer review, mentoring, to enable the promotion of the support and recognition for such activity.

#### **Responsibility for Oversight and Reported to.**

HR Manager, Director of Research Services

### **Employment**

**E4 - Provide effective line and project management training opportunities for managers and researchers, heads of department and equivalent. (This links in with 2008 concordat principles B3)**

#### **Position @ 2020**

B3 - 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 a Faculty Director of Research who can co-appraise researchers with the researcher's line manager, to ensure fullness of support. New academic structures were consulted on and

implemented in the first half of 2020. Selection and appointment of academic leaders will be completed by September 2020. The academic leaders in post already have been consulted regarding their development programme to start in September 2020.

### **Forward plan to 2022**

- (i) The new academic structures from August 2020 require organisation development and support in order to succeed. Programmes are to be designed and delivered for Executive Deans, Heads of School, Deputy Heads/Research Leads in Schools and Principal Lecturers. These are the priority groups who have the biggest impact for academic colleague experience.
- (ii) Project management training and development resources will be collated and promoted for access by all researchers, and indeed all colleagues.
- (iii) From Autumn 2020, all schools will have a School Research Lead at professoriate level. These roles will be able to work with the FDRs and HR to determine what level and type of support is required by researchers.
- (iv) The Appraisal workflow for researchers will be finalised and discussed with appraisers, for promotion and implementation in September 2021 round.
- (v) The impact of good management and support for researchers will be evident in the next all staff survey which is scheduled for January 2021.

### **SMART Measure for 2022 delivery**

- (i) A dedicated leadership programme for all academic managers is designed and implemented with 80% participation rate. Participants agree that the content was co-designed to meet their needs.
- (ii) Project management training opportunities are available and promoted to researchers.
- (iii) Gap analysis undertaken to determine leadership content still needed for grant owners/leaders, and subsequent plans put in place.

### **Responsibility for Oversight and Reported to.**

Leadership Development Manager. HR

Director of Research Services

Training Coordinator

### **Employment**

**E5 - Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation. (This links in with 2008 concordat principles B6, E3, E4)**

**Position @ 2020**

B6 - 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.

The Academic Professional Apprenticeship (APA) further enhanced frameworks for development, and at 31 July 2020 there are three active cohorts.

E3 – Race Equality Charter Mark work did not progress as expected due to a change in priorities. A new EDI Directors has now been appointed to bring a new approach to connecting all charter mark work. The theory that women are not getting the equivalent research time as men, which anecdotal evidence supports is included in the Athena Swan action PPlan.

E4 At 31 July 2020 it was found that flexible working requests coming into HR could not be collected. HR casework logs have now been amended to capture this data for the coming two years.

Promotion criteria is accessible via intranet. Workload allocation guidance is available via the intranet.

**Forward plan to 2022**

- (i) The new organisational strategy is in development as this is written, which will then be underpinned by refreshing the UCLan values and developing supportive leadership behaviours.
- (ii) New organisational strategy will have People Plan central, setting out excellent people policy practice, which researchers
- (iii) Embedded within University strategy and the associated research strategy will be the importance of people and their support to achieve their research goals.
- (iv) Revise the appraisal system to incorporate team objectives as well as individual with more frequent updating of objectives.
- (v) A review of the potential of an APA route for researchers requires reconsideration to identify who the route is aimed at, and the potential to offer such a course.
- (vi) Ability to challenge current grade position is provided on the HR website.
- (vii) Promotion procedures are clear and available on the internal HR website. It should be noted that if an employee is funded from external funding then they will be appointed at the agreed grade on a fixed term contract.
- (viii) Analyse workload allocation/distribution of allocated time for research, teaching, pastoral care, and management by gender and job role to create a more transparent and equitable environment (Athena Swan Action 5.1.8).

(ix) Set flexible working principles to apply in all areas to aid consistency. HR to systematically record flexible working requests

#### **SMART Measure for 2022 delivery**

(I) Revised appraisal scheme in place which is more than 'annual' and supports the new organisational strategy.

(ii) UCLan values are refreshed to align with new strategy.

#### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR, Director of Research Services

### **Employment**

#### **E6 - Seek to improve job security for researchers, for example through more effective redeployment. (This links in with 2008 concordat principles A3, B1, B2)**

##### **Position @ 2020**

**A3** - UCLan's leadership development encompasses selecting and developing your team. UCLan has established organisational values embedded within each person specification, supported 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. Job security has been improved for researchers through the agreement of the Security of Employment Policy cluster in November 2019 and applied throughout the restructures of 2020.

**B1** - The University Appraisal scheme 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. An HR Dashboard has been agreed to present managers with contract data at regular intervals to allow fixed term appointments to be more effectively managed. Redeployment is offered to all fixed term contract holders as their contract comes to an end.

**B2** - The University Appraisal scheme 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.

### **Forward plan to 2022**

(I) The values are prominent around the University and are evidenced on JD/PSs.

(ii) Academic citizenship is becoming more prominent and work will be undertaken to promote the value of all activities which contribute to academic citizenship e.g. committee membership, reviewer activities. This will help to promote their importance and the necessity to test for them at interview and thus through the JD and PS.

(iii) Establish and start to use the HR dashboard with managers at regular intervals.

(iv) Monitor the number of researchers who are transferred onto indefinite contracts in the regular review of fixed term contracts which takes place in HR.

(v) Those on fixed term contracts, will be contacted 3 months before the end of their current contract to discuss next steps and are placed on the redeployment register to ensure they have prior notification of all opportunities within the University, and are given the opportunity to apply. Those on the redeployment list are given priority for all vacancies at the same grade or lower.

(vi) All fixed term contract requests are scrutinised by the finance business partner, the HR business partner and finally by a senior panel to determine need.

### **SMART Measure for 2022 delivery**

(I) Establish resources and activities aimed at those on fixed term contracts.

(ii) Everyone on a fixed term contract is offered the opportunity to meet with a career advisor and/ or a Senior Researcher to discuss next steps and opportunities.

(ii) All those on fixed term contracts have access to the redeployment pool.

(iii) When research positions are available, they are promoted to those currently on research focussed fixed term contracts.

(iv) Security of Employment Policy enabled an increase in fixed term contractors to be retained in employment?

### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR, Director of Research Services

### **Professional and Career Development**

**PCD 1 - Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum 10 day's professional development a year, recognising that researchers will pursue careers across a wide range of employment sectors. (This links in with 2008 concordat principles C1, C3, D5)**

**Position @ 2020**

C1 – The Academic Professional Apprenticeship - specialist researcher route was validated on 20<sup>th</sup> September 2018 for delivery in January 2019 and designed to give those who complete the award of PgCert Academic Practice. So far only the Teaching and Learning route has operated as most colleagues need to gain Fellowship of the HEA within two years of starting at UCLan. Research was undertaken to determine the potential participants for the research route and a decision then taken to concentrate on the teaching route only initially

C2 – 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 the Academic Professional Apprenticeship (APA) route. The new APA is mapped to the Vitae RDF and will ensure a breadth of professional skills.

D5 - 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.

**Forward plan to 2022**

(i) To undertake feedback from the research community around the concordat and the 10-day development allocation. Following feedback from researchers, to introduce in 2021 guidance on a broad range of activities that could be considered as part of the researchers own professional development plan. This could have a direct link with the concordat and the most effective use of the 10-day allocation. Examples could be job shadowing both internally and externally, peer coaching, mentoring, involvement in committees or focus groups.

(ii) To add into the RDU webpages for the concordat information about the 10-day professional development, which links in with career planning, identifying career goals, attending career focussed events such as strategic academic career planning, (careers could deliver this) performance development planning (appraisal – HR could deliver this) – under the banner of managing my career. The RDU will also run a session around development for researchers and what resources are available to help.

(iii) A review of the potential of an APA route for researchers requires reconsideration to identify who the route is aimed at, and the potential to offer such a course.

(iv) Continue training offered by areas of Research Services to support local School or Faculty training offered.

(v) Promote the recording on itrent system, of all CPD by researchers in order to demonstrate the 10 days per year we are working towards.

**SMART Measure for 2022 delivery**

- (i) Developed, used resources, referenced by researchers as helping their professional development.
- (ii) Collation of good internal and external development opportunities.
- (iii) Future opportunities will not only focus on research careers but broader options which build on the researcher skills.

**Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

Training Coordinator

**Professional and Career Development**

**PCD 2 – Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers. (This links in with 2008 concordat principles C10)**

**Position @ 2020**

C10 - Feedback on the current appraisal system was gained from informal consultation, and a new directive from the Vice Chancellors Group to align appraisal more closely with the new strategy. A working group was established, and three different recording systems explored, deciding on iTrent as the preferred option for future implementation. A 'how to have career conversations' guide is on the intranet with appraisal resources.

**Forward plan to 2022**

- (i) Undertake a post-appraisal survey of researchers to determine whether they consider they had a meaningful review of their career within the appraisal, and to enquire about what other information they would like.
- (ii) Next staff survey is January 2021 to assess impact of appraisal for researchers.
- (iii) Appraisal scheme is refreshed to tie more strongly to organisational strategy and enable team level objectives.

**SMART Measure for 2022 delivery**

(I) All those performing appraisals will have been advised on the Concordat for Researcher Development and associated resources.

(ii) Review, feedback and act on the results from the appraisal survey for researchers.

### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

Training Coordinator

### **Professional and Career Development**

#### **PCD 3 - Ensure researchers have access to professional advice on career management, across a breadth of careers. (This links in with 2008 concordat principles C1)**

#### **Position @ 2020**

C1 - Researchers have access to careers guidance through a new resource specially commissioned for researchers to apply their transferable skills to new assignments. They can also access the careers service at any time for advice, guidance or help with interviews, CVs and applications. 78 colleagues accessed the service in 2019/20.

#### **Forward plan to 2022**

- (i) To utilise the research networks to highlight the importance for researchers on accessing professional advice on career management and show casing the UCLan Careers Service at these events.
- (ii) A review of the potential of an APA route for researchers requires reconsideration to identify who the route is aimed at, and the potential to offer such a course.
- (iii) Discuss potential to run specific event for researchers with the Careers team at UCLan.

#### **SMART Measure for 2022 delivery**

- (I) Provide at least 2 sessions for the ECR and mid-career forums which focus on career progression. One will focus on research careers in academia and a second focussed on careers outside of academia.

- (II) ECRs, and Mid-Career academics are aware of the support offered by the Careers Service.

**Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR, Director of Research Services

Training Coordinator

**Professional and Career Development**

**PCD 4 – Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills. (This links in with 2008 concordat principles C11 & C14)**

**Position @ 2020**

C11 – Researchers have access to the Leadership Resources on the HR webpages, and research leaders are included in the planned development programmes starting in September 2020.

C14 - 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.

**Forward plan to 2022**

- (I) To continue with the mentoring programme for researchers and providing support, training and guidance for this scheme. To conduct an evaluation into the programme to gain researchers views on whether the scheme should be expanded to include external based mentorship, group mentorship etc.
- (ii) To create specific researcher development and research identity/leadership awareness raising events for the research community by targeting the research institutes and centres and presenting at these forums for researchers who may not be aware of developments in this area.
- (iii) To continue to use the RDU portal and blog as a platform for updates in relation to how researchers can develop their own research identities and resources to leadership development, so that researchers can also access this online information as well.
- (iv) To continue to raise awareness about research identity in our Academic Research Induction sessions.

- (v) The hours needed to complete the PGT and APA equivalent are provided on staff workloads.
- (vi) All researchers with contracted teaching hours are working towards, or hold, Associate Fellowship or Fellowship of HEA.
- (vii) To promote further the mentor scheme to potential mentors and mentees.
- (viii) Actively use case studies to promote the availability of the central mentoring scheme.

#### **SMART Measure for 2022 delivery**

- (i) Researchers engage in the mentoring programme offered to help support the planning of their career and leadership opportunities.
- (ii) Provide a masterclass opportunity for ECRs and one for mid-career researchers to help them reflect on their current and future career.

#### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR, Director of Research Services

Training Coordinator

#### **Professional and Career Development**

#### **PCD 5 – Recognise that moving between and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this. (This links in with 2008 concordat principles C2 & C4)**

#### **Position @ 2020**

C2 – 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.

C4 - Careers staff are now represented on the Researcher Development Steering Group. This group, chaired by the Director 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.

#### **Forward plan to 2022**

- (i) To explore the opportunity of a programme where researchers shadow internally or possibly externally those careers they aspire to.
- (ii) Undertake a review of the achievements of (i) above.
- (iii) Continue training offered by areas of Research Services to support local School or Faculty training offered.
- (iv) Continue with a wide range of masterclasses offered for researchers.
- (v) Promote access to the careers service which is available to all colleagues.
- (vi) Explore the broader application of the Senior Research Assistant role used in the Faculty of Health Wellbeing to enable those without a PhD to start a research career.

#### **SMART Measure for 2022 delivery**

- (i) A number of researchers will have completed shadowing experiences. Those who have completed such opportunities produce case studies for promotion of the benefits of such activities.
- (ii) Review the success of the Senior Research Assistant role.

#### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR, Director of Research Services

Training Coordinator

#### **Professional and Career Development**

**PCD 6 – Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews. (This is a new concordat principle)**

#### **Position @ 2020**

B1 - The University Appraisal scheme, as detailed previously, includes a commitment to develop researchers beyond the life of their current contract. Furthermore, 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.

### **Forward plan to 2022**

- (i) All researchers encouraged to report their professional development activities within their appraisal documentation, and update on iTrent their personal learning activities.
- (ii) The revised appraisal process includes focus on the wider career and personal development of the researcher beyond their current research project, with their principal investigator or line manager. Any development requirements to be shared within their school for discussion with HR and RDU to inform development and training requirements and to shape policy and practice.
- (iii) Those researchers on fixed term contracts, will be contacted 3 months before the end of their current contract to discuss next steps and are placed on the redeployment register to ensure they have prior notification of all opportunities within the University, and are given the opportunity to apply. Those on the redeployment list are given priority for all vacancies at the same grade or lower.

### **SMART Measure for 2022 delivery**

- (i) All researchers state their professional development work in their appraisal documents and have updated iTrent with their personal learning activities.
- (ii) There will be greater understanding that development does not just mean courses, but mentoring, masterclasses, shadowing, peer-to-peer talks, Committee roles and observations.
- (iii) Appraisees report discussing their career development within the appraisal meeting.

### **Responsibility for Oversight and Reported to.**

Leadership Development Manager, HR

Director of Research Services

