# THE UNIVERSITY of York

# Progress on: Action Plan to Support the Implementation of the Concordat to Support the Career Development of Researchers: 2014-2018

**Blue text in the Timescale column highlights progress on actions in the period 2016-2018**

| A: RECRUITMENT AND SELECTION |
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| **Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.** |

| Concordat clause | Concordat clause outline and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale for completion |
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| A.1.1 | ***All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.*** | PVCR | | Achieved 2010 | No further actions anticipated at this time |
| A.1.2 | ***Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.*** | | | In addition to work already completed are the following: guidance notes on positive action statements within job and person specifications; EDI strategy. Athena Swan logo used on recruitment material. | |
| | Actions: | | | | |
| | 1.2.1 Establish a prestigious Postdoctoral Fellowship scheme that offers outstanding researchers three or four year appointments potentially leading to academic appointment in the University. | PVCR/ RO | As part of the University's renewal bid to the Wellcome Trust for Institutional Strategic Support Funding, a commitment to spend 40% of the award on supporting ECRs via provision of fellowships was made. The outcome of this application will be known by the end of September 2016. This action aligns with the University Strategy and further work on delivery of this commitment will be undertaken by the end of the calendar year. The time commitment will not be 3-4 years. | The University has increased the amount of Fellowships by 9% in the last 10 months . This includes 9 postdoctoral Fellowships aligned to the prestigious Centre for Future Health, (funded equally by the University and Wellcome Trust), Two Enterprise Fellows (funded by HEIF), who are supported to develop commercialisation of their research co-funded and two Daphne Jackson Fellowships supporting returners to science STEM research after a career break. A University Fellowship Webpage now hosts all the information for prospective and existing Fellows and provides links to external schemes and departmental and central support. There were 1353 webhits since lauch | Completed 2018 |

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| | | HR | | in early 2018. A package of training support for Fellows will be rolled out during 2018/2019. | |
| | 1.2.2 As an integral part of current and future reviews of University Recruitment Policy and training provision, seek additional opportunities to ensure Principle Investigators (PIs) understand their responsibilities for, and are competent in, the effective recruitment of high-quality research staff. | HR | | | Completed 2016 |
| | 1.2.3 Incorporate the 'Expectations of an Academic' document currently under development within candidate briefs and amend the recruitment and selection processes to reflect the standards set out for the role. | HR | | The University Recruitment policies, procedures and training are regularly reviewed. The aim of these documents and activities is to ensure that all staff are competent in the recruitment and selection of high quality staff. | Completed 2016 |
| | 1.2.4 As part of the HR Recruitment Project, seek feedback from recruitment candidates, including Researchers, to further improve the recruitment process. | | | Since September 2016 19 Recruitment & Selection events have been run and 3 Refresher sessions. This has involved 232 people completing Recruitment & Selection and; 42 people have completed the Refresher session. | Completed 2016 and updated 2018 |
| | | | | Candidate briefs are clear on University expectations of academics. In addition, the performance development process has been further revised in 2017/2018 to provide greater focus on the way in which objectives have been met to avoid a tick box approach.r | |
| | | | | A candidate experience survey has been in place for approximately 6 months asking all shortlisted candidates to comment on their experiences of the recruitment and selection process. This is reviewed by the Recruitment Advisor and the Recruitment Project Group, with any issues being flagged to the HR operations team | |
| A.1.3 | **Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.** | | | | |
| | Actions: 1.3.1 In light of recent trends showing an increase in the number of fixed-term contracts, we will review our guidance on their use and issue reminders to Departments that they need to show a justifiable reason. | HR | | There is clear guidance on the University HR section of the website on the appropriate use of fixed term contracts. Further discussions have been held with the concordat steering group on the practice of fixed term contracts within the University – this confirmed that existing practice should continue. | Completed 2016 |
| | | | | Currently 66% of researchers are employed | |

| Concordat clause | Concordat clause outline and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale for completion |
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| | | | | on FTCs and this will continued to be monitored. | |
| A.1.4 | *To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.*<br><br>Actions:<br><br>1.4.1 In light of recent trend showing an increase in the number of fixed-term contracts, we will review our guidance on their use and issue reminders to Departments that they need to show a justifiable reason. | HR | | There is clear guidance on the University HR section of the website on the appropriate use of fixed term contracts. Further discussions have been held with the concordat steering group on the practice of fixed term contracts within the University – this confirmed that existing practice should continue. | Completed 2016 |
| | 1.4.2 Monitor that the 'Guidance on the use of Named Researchers' is being followed by academic departments and put in place a process to collect and review 'Named Researcher' data by gender. | HR & Academic Depts | HR to review progress and supply data | Constraints of current systems have not enabled a robust analysis of the use of the Named Researcher appointments. A revised action is included in the 18-20 action plan. | |
| A.1.5 | *The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.* | HR | | Achieved 2010* | Completed |

| B: RECOGNITION AND VALUE |
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| Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research. |

| Concordat clause | Concordat clause outline and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale for completion |
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| B. 2.1 | *Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.* | HR | | Achieved 2010* | Completed |
| B. 2.2 | *Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for* | HR | | Achieved 2010* | Completed |

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| | *Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.* | | | | |
| B. 2.3 | *Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.*<br><br>Actions: | | | | |
| | 2.3.1 Develop a supervisors/line managers of researchers section on the Learning and Development website. | RETT with HR | This is already in development. The completion of this website will be by August 2018 | New in 2018 is a series Guidance for Researchers which is available and commended to PIs through leadership training. Additional guidance for line managers is now in place. This includes guidance on setting clear objectives, discussing career ambitions and reviewing good performance. There is also a dedicated careers section with information for researchers. To date there have been 245 webhits to these pages. An action regarding comms is in the 2018-2020 plan. | Completed 2018 |
| | 2.3.2 Review the content of the research supervisor sessions in 'Research Leaders' programme in relation to ethical responsibility | | | The University's Research Champions have aided a full review of the 'Research Leaders' programme. Further modifications have also been made to the Research Supervisor masterclass . Following a major review of PGR supervisor provision a new suite of training for PGR supervisors will be rolled out in 2018-2019 (see action plan | Completed 2016 and updated in 2018 |
| | 2.3.3 To continue to offer the Research Leaders (RL) programme to enhance the research leadership abilities of staff managing researchers and supervising research students. | L&D and RETT | Review of the provision offered by L&D and the findings to be presented to the Concordat Steering Group. | The award winning 'Research Leaders' programme has been running for 6 years with 9 cohorts of PIs taking part. The 360 feedback and coaching elements continue to provide provocation to leadership styles and is highly regarded. 45 researchers applied to the programme in the last two years and 37 attended. An additional 53 researchers attended other award winning leadership programmes. | Completed 2018 |
| | 2.3.4 To undertake a review of the support available to researchers to engage in public engagement and outreach opportunities and identify opportunities for improvement. (need update) | RETT with R&E | Working with the Research Champions the university pilot a 'Falling Walls' competition for research staff. This builds on the University's long standing 3MT competition which is run as an outreach activity with local schools. | York ran a UK Falling Walls lab in 2017 and the two finalists attended the final in Berlin. The York Falling Walls promotional video illustrates the impact of this event in showcasing to the public and prestigious audience the potential of | Completed 2018 and core business |

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| | 2.3.5 To review the support and training available for researchers in the light of the new University of York Research Strategy and the university commitment to a culture of "research excellence and integrity". | | | | research to be life changing. The event was sponsored by Elsevier and Aviva. It will run again in 2019. See report and Case Study.<br><br>A comprehensive Learning Needs Analysis was undertaken in 2015-2016 of all support and training required to support the research strategy and this has led to a re-structuring of revised governance structure. The 'Research Excellence Training Team' lead this activity and are based within the Research and Enterprise function. Strong connections with HR continue. | Completed 2016 |
| B. 2.4 | *Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.*<br><br>Actions: | | | | |
| | 2.4.1 Undertake a review of good practice in academic departments regarding availability and method of distribution of bridging funds (between grants) and disseminate across the University. | HR | Work has begun on this it will continue to until we have collated enough data from all departments (since the feasibility of introducing Bridging Funds rests with departments and faculties and Is limited by resource). | Due to HR priorities this work has not been progressed as anticipated. A revised action (2.4.1) is included in the 18-20 action plan | Part of Core Business 2018-2020 |
| | 2.4.2 In monitoring the impact of the 'Guidance on the use of Named Researchers' (see 1.4.2) ensure departments are aware that this facility is available to enable them to support the continuity of employment of existing research staff. | HR with depts | Depts are aware of this but work still continues by HR to continue to review how to develop streamlined review mechanisms for this. Develop a mechanism and monitor the impact. | Due to HR priorities this has not been progressed as anticipated. A revised action (1.4.2) is included in the 18-20 action plan. | Part of Core Business 2018-2020 |
| B. 2.5 | *Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.* | HR | | Achieved 2010* | Completed |
| B. 2.6 | *Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.*<br><br>Actions:<br><br>2.6.1 Monitor and report to the Concordat Steering Group the percentage of research staff who apply for promotion. | HR | | The process for applying for promotion is on the web for all to see. In 2015-2016, of all research staff at Grade 6, 3.25% applied for promotion to Grade 7 and 92% were successful; of all research staff at Grade 7, 2.5% applied for promotion to Grade 8 and 100% were successful. | Completed 2016 |

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| | 2.6.2 Raise awareness amongst PIs of the opportunity to include in their grant proposals the appropriate funding to support the promotion of the research staff working on the grant. | PVCR /RSO | This continues to be a challenge as the terms and eligibility vary between funders. Transparency over T&Cs will be achieved as far as possible. Integrity training for staff will be review to ensure all staff are promoted correctly | The University has a promotion route for research staff and the number of promotions is not cash limited. The University promotion guidance states that it 'disregards potential funding issues in considering applications for the promotion of academic, teaching and research staff'. Funds from the grant can used where available and any deficit topped up. Communication about this continues. Awareness training of PIs | |

**C: SUPPORT AND CAREER DEVELOPMENT**

**Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.**

**Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.**

| | Concordat clause and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale for completion |
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| C 3.1 | *It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.* Actions: 3.1.1 Develop a Career Pathways Guide providing practical support to all staff and their managers/PIs | HR/RE TT  RETT | | Research Careers pages and Career Pathways resources and have been developed and are available on the HR webpages.. This resource was showcased at the shared practice event and featured in the new 'Research Staff Newsletter'. Webhits are currently 245. Action 2.3.2 in the 2018-2020 plan addresses this. RETT developed partnerships with the University of Munster and built on a strategic partnership with the University of Maastricht to develop the first 'European Professional Development Doctoral Summer School'. The 4 day programme provided opportunities for 14 PGRs representing 10 nationalities to develop careers, project and people management and leadership skills in a truly international environment. The school will be hosted by York in 2019 and include postdocs as facilitators. | Completed 2016   Completed 2018 and part of core business |

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| | 3.1.2 Review how the use of exit information can be enhanced to produce richer data on research staff. | | | The University exit questionnaire process was reviewed in 2014 and a new system put in place in 2015. This data is monitored by the employee engagement steering group, who receive a regular report on the information being identified in exit questionnaires | |
| | 3.1.3 Explore how the information on research staff career destinations may be used to improve the career development offered to researchers. | RETT/ Careers | Review current training provision and ensure up to date destination data is included in the training. Faculty career days will be run these will highlight career destinations and will include talks from alumni. | A review of training was undertaken and continues to be reviewed in the light of demand. Careers support was one of the key areas emphasised in the feedback from the 2018 research staff conference. Career days have been run in large departments including talks from alumni. | Completed 2018 |
| | 3.1.4 To track information on the outcome of research staff applications for promotion and report annually on trends to Concordat Steering Group. | HR | | See 2.6.1 – this is reviewed by the Concordat Implementation Group. | Completed 2018 |
| C 3.2 | *A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.* <br><br>Actions:<br>3.2.1 Raise awareness of the support available internally to researchers in applying for grants, fellowships (for example RCUK and Marie Curie Fellowships) and secondments into industry. | RDT, BDMs, EU Team and RETT | Develop and deliver new training including: H2020 European Research Council Starting and Consolidator Grant writing training: Information day on H2020 Marie-Curie fellowships, how to write a successful proposal and how to attract fellows to York. A visit by Wellcome is planned for October 2016 Identify with colleagues in R&E how to enhance current training and support around grant management. This is part of the LNA work and features in the Research Strategy. | Marie Sklodowska Curie Actions (MSCA) focussed training sessions have been run resulting in an increase of approximately 14 Fellowships, 24% in the last 12 months. All EU applications make reference to the HRS4R/Concordat | Completed 2018 and part of core business |
| C.3.3 | *Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals* | | | | |

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| | *in whatever field they choose to enter.* | | | | |
| | Actions: | | | | |
| | 3.3.1 Continue to revise and refine the programme of skills training available to research staff in the light of the CROS2013 & Staff Survey 2014 data. | RETT | | The staff survey results indicate that researchers would welcome additional support in grant writing, careers guidance, the introduction or maintenance of bridging funds and job security. There exist already support in these areas but recognising that they are still key all these areas of support are built into the 2018-2020 action plan. | |
| | 3.3.2 Continue to share good practice in the support of research staff and to promote the creation of fora where research staff can meet (see Good Practice Example 1 – Biology PostDoc Society). | RETT | | There are now 11 RSAs across campus (an increase of 2 since 2016). The Research Staff Liaison Officer post introduced in 2017 has enabled researchers to come together to identify and discuss good practice amongst departments and to demand better representation in specific areas. Shared practice events are part of core business and included in the 2018-2020 action plan. We will recruit two faculty RSLO for 2018/2019 | |
| C 3.4 | *All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.* | | | | |
| | Actions: | | | | |
| | 3.4.1 Review the mentoring provision available in academic departments and consider the introduction of a mentoring scheme for research staff. | RETT & L&D | Paper proposing mentoring scheme will be submitted to HR and CIG. Further to the Learning Needs Analysis which highlighted mentoring as a priority approval has been granted for the development of an informal mentoring scheme for researchers. A working group will meet in Autumn 2016. Meetings with colleagues at Cambridge, Oxford, Bristol and Sheffield will take place in September 2016. | An objective led cross departmental pilot mentoring scheme ran from March - October 2017.30 researchers from four departments were matched with academic staff from a cognate department. The programme evaluation identified that 100% of mentees and 97% of mentors would recommend the scheme and 87% of mentees said their objectives had been met in the 6 month period of the pilot. Using the lessons learnt from the pilot an institution wide, objective led, cross departmental mentoring scheme for academic and research staff (including PDRAs Postdocs). The scheme will run twice yearly and be fully evaluated. Review date of July 2019 | |
| | 3.4.2 Improve the communications and marketing of training and development opportunities for research staff. | | | Webpages have been updated and several new ones created. The Concordat pages have been reconfigured to enable users to locate key information as quickly as possible. 2018-2020 will see an enhanced social media | |

| | | | | presence | |
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| 3.4.3 Improve the provision of online and blended training for research staff. | RETT | Review current training to identify training that would be best placed to be developed into online learning. Develop and design training and deliver it. Evaluation will be used to continue to develop this training. | UoY has developed a positive relationship with Wiley Publishing that has enabled researchers at UoY and Oxford to take part in the Wiley Research Academy, an online set of modules to assist with publishing. The pilot is currently being evaluated. Wiley will deliver face to face training for researchers in 2019 which will resonate with the researchers who indicated in feedback on training that they value the opportunity to meet with with peers face to face. A University wide online integrity tutorial for researchers is under discussion and this will complement the suite of online learning available including unconscious bias. | <span style="color:blue">Completed 2018 and part of core business</span> | |
| 3.4.4 Encourage Departments/Researcher fora to invite speakers from a wide range of career paths and in particular to make use of alumni networks to highlight the range of career options that have been taken. | RETT & depts | | Chemistry (Athena Swan Gold award holder) run a comprehensive series of career talks with alumni including business, technical sales and consultancy. They also ran an LGBT+ STEMinar 2018 on career development featured 2 inspiring Keynotes who talked about their career path as LGBT+ scientists, 1 academic, 1 PDRA who has successfully moved into PSS role, information technology.  The Joliot Curie Conference 2017 was aimed at providing career guidance to PDRAs in Chemistry. | <span style="color:blue">Completed 2018 and part of core business</span> |
| 3.4.5 Explore ways in which existing contacts with industry may provide learning and/or secondment opportunities for Research staff. | RETT with Business Development | The Alumni office in partnership with RETT will develop a series of high profile events highlighting leadership and career trajectories making use of highly successful Alumni. This work is in development stage. Completion of guidelines to aid this process to be produced. | The central RET Team now includes a dedicated post providing training and support for researchers in the areas of Knowledge Exchange and Partnership. They work with the Business Development Managers and external providers to provide support including utilising existing external industry partners to contribute to workshops with academics to upskill in areas such as interacting and communicating with industry and developing future industrial collaborations. Further workshops utilising industrial partners will take place over the next 2 years as part of the current EPSRC IAA (2017-2020). As part of the EPSRC IAA we are also actively utilising our industrial contacts to fund early career researchers (ECR) secondments. There are currently 3 active ECR secondments with the target being to complete a total of 10 ECR mobility projects over the period 2018-2020. In addition is a strand of bespoke training for potential Enterprise Fellows | |

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| | | | | including value proposition development, branding, business set up, IP protection and finance. A full programme of support in this area has been developed for 2018-2019 | |
| C 3.5 | *Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.* | HR | | Achieved 2010* | Completed 2016 |
| C.3.6 | *Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.*<br><br>Actions:<br>3.6.1 Review the induction process for research staff and update the materials on the website. | L&D | | This has been developed and is available on the HR webpages. | Completed 2016 |
| C 3.7 | *Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practice those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.*<br><br>Actions:<br>3.7.1 Continue to use the Vitae Researcher Development Framework within the skills development and career development offerings for research staff. | RETT | A review of the use of Vitae resources was conducted and a decision taken to continue to renewal for a further year. The resources will be actively promoted by RETT and Careers continued to be used within current training. Monitor the engagement of research staff with the RDF through staff survey and RSAs. Adapt the best use of the RDF in response to feedback. | Researchers have indicated that the RDF, whilst a useful overview of skills, is too complicated to be of practical use. the decision was taken in 2017 not to use the RDF heading but to use something more accessible. | Completed 2018 |
| C 3.8 | *Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.* | | | | |

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| | Actions:<br><br>3.8.1 Develop a web-based resource to support the career pathway of all staff (including research staff).<br><br>3.8.2 Improve the promotion of the existing coaching scheme which is available to all researchers. | RETT/ L&D<br><br>L&D | Discussions to take place as to how this can best to be achieved as part of the general promotion of leadership and staff development activities. Develop a promotion strategy. | This has been developed and is available on the HR webpages.<br><br>Coaching is promoted through the research staff newsletter, the research staff conference and to PIs on the Research Leaders programme. In 2017/8 there were 299 hits on the coaching webpages. Despite this there appears to be little knowledge of what coaching is and some myths that is corrective rather than developmental. These concerns may be allayed when the University mentoring scheme begins. Greater awareness raising and take up by researchers forms part of the 2018-2020 action plan. | Completed 2016<br><br>Completed 2018 and part of core business |
| C 3.9 | *Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.*<br><br>Actions:<br><br>3.9.1 As part of the project to further develop our Performance Review practices, seek ways to promote to PIs the benefit of engaging their research staff in the development of transferable skills through work-based learning. | HR/L& D | | Longitudinal evaluation of the Research Leaders programme (offered since 2011-2012) indicates that the programme helped PIs to conduct better performance reviews with the researchers they line manage. 82% of participants said they were more aware of sources of support for researchers as a result of the programme. | Completed 2016 |
| C 3.10 | *Researchers should be empowered by having realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.*<br><br>Actions: | | | This has been achieved as part of the University's revised Performance Review | Completed |

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| | 3.10.1 Develop a checklist of issues around researcher and career for PIs to discuss with their researchers at review meetings. | RETT/ L&D/H R | | process. Resources includes a list of discussion points around career management. The Career Pathways web resources also include examples of careers for different stage researchers. | 2016 |
| | 3.10.2 Review the results of the research staff responses to the questions on learning and development and career management in the UoY Staff Survey 2014 and identify if any specific action needs to be taken to support this group. | L&D/H R | | Career management is a significant part of the University's revised performance review process (see 3.10.3). Resources and training are available to support managers/PIs. Career development for researchers continues to be a priority area of the new RET portfolio. | Completed 2016 |
| | 3.10.3 As part of the project to further develop our Performance Review practices, seek ways to develop PIs to be confident and competent in giving honest and constructive feedback and support researchers in planning their career options. | L&D/H R | | The University's Performance Review Process was changed in 2015 (and again in 2018) and includes indication of whether individual SMART objectives has been met. All those conducting performance reviews (700+ staff) were required to attend training. Significant debate took place about whether researchers should go use the same process and it was agreed for equity that researchers would use the same process. See also 3.9.1 | Completed 2016 |
| C 3.11 | *Employers will wish to ensure that development activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not duly disadvantaged when moving from one employer to another.*<br><br>Actions:<br><br>3.11.1 To roll out the new PGCAP Module 1 pathway to enhance the opportunities for research staff to participate in PGCAP and access HEA Fellowship recognition (expected Start Oct 2014). | Acade mic Practic e Team/ RSO | | 11 academics/researchers enrolled on the one year 'Teaching and Supporting Learning in Higher Education' module in 2017/2018. The module enables researchers to achieve 20 Masters level credits and gain Associate Fellowship of the HE Academy Accreditation. A new action around review of existing training for research staff who teach features in the 2018-2020 action plan. | Completed 2018 |
| C 3.12 | *Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.* | RETT | | Achieved 2010* | Completed. |
| C 3.13 | *Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation and* | | | | |

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| | *management committees.* | | | | |
| | Actions:<br><br>3.13.1 Promote to departments the benefits of including research staff representatives on relevant committees and encourage departments that do so to share their experience with others. | Career s/PVC R | | Achieved as part of the Shared Practice Event June 2016 at which most departments with significant numbers of researchers reported membership on committee boards. Now considered widespread good practice and takes place where possible. | Completed 2016 |
| C 3.14 | ***Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.*** | | | | |
| | Actions:<br><br>3.14.1 Develop a set of guidance notes on mentoring for the website. | L&D | Engaged individuals will identified and an agreement set up to work together with RETT and researchers | Webpages created and promoted through the research staff newsletter. The mentoring working group will explore how to maximise use of the resources. | Completed 2016 |
| | 3.14.2 Consider a proposal to introduce mentoring training for academic and research staff as part of the Learning and Development offering (see 3.4.1). | HR | Regular meetings and communications to take place with all stakeholders | This was discussed at the LNA steering group and that group decided this was not a priority for the University at this point. However, guidance on mentoring is available on the website | Completed 2016 |
| | 3.14.3 Review the range and activities of existing researcher led forums for research staff and disseminate good practice (see Appendix 1) to enable other department to benefit.<br><br>3.14.4 Support the development of new and existing researcher led forums to enable their participation in the wider University activities and to provide opportunities for them to lead in aspects of their own professional development. | RETT/ Depts<br><br><br><br>RETT | | Activities of existing groups have been shared with other departments this had led to the development of 2 new RSAs since 2016. There is an action in the 2018-2020 action plan to continue to increase researcher led fora. | Completed 2018 and business as usual. |
| | 3.14.5 Identify 'champions' for the Concordat and research development activity which will be part of the wider 'Research Excellence' portfolio.<br><br>3.14.6 Work in partnership internally with the growing number RSAs and externally with other Russell Group universities and the research funders to provide benchmarking intelligence upon which future support can be built | RETT/ Depts<br><br><br><br>RETT | | The Research Staff Liaison Officer(s), research associations and dept mentoring co-ordinators have become UoY ambassadors for the research staff facing programme.<br><br>Through the Researchers14 group and N8 research partnerships the UoY is able to benchmark practice around the selection, support and training and policies surrounding researchers. All R14 members are experienced researcher developers and share good practice in to inform partners and influence practice, evolving and developing national strategic objectives. | Completed 2018 and business as usual |

**D: RESEARCHERS' RESPONSIBILITIES**

**Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.**

| | Concordat clause and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale for Completion |
|---|---|---|---|---|---|
| D 5.1 | ***Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.*** | Heads of Academic Departments supported by HR training function | | Achieved 2010* | Completed 2010 |
| D 5.2 | ***Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.*** <br><br> Actions: <br><br> 5.2.1 Encourage researchers to take up expanded provision of training in knowledge transfer and commercialisation of research. | RETT/R&E Academic Depts | Identify key commercial partners. Map and agree the potential inputs of collaborations and then identify and promote opportunities for researcher knowledge transfer and commercialisation of research | In 2018 a new bespoke programme of Knowledge Exchange training has been delivered to support the recruitment, training and mentoring of the Enterprise Fellows. This programme will be rolled out by RETT and the BDMs with external trainers and will cover business engagements, commercial awareness, pitching and branding. The programme will be open to 20 researchers with additional bespoke mentoring for the three new Fellows. | Completed 2018 and business as usual. |
| D 5.3 | ***Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.*** <br><br> Actions: <br><br> 5.3.1 Encourage researchers to take up opportunities provided for guidance and training on research governance and ethics. | **RETT** | | Participation in research governance training has increased in line with a general increase (approx. 10%) in training. | |
| | 5.3.2 Ensure that the University's Codes of Practice in research integrity and ethics are brought to the attention of all researchers. | RETT | Research and Ethics to be delivered as part of the Research Leaders programme. Ongoing exploration of promotion of the important of research integrity will continue to be monitored by the research and | GDPR and ethical integrity requirements have brought ethical issues under tighter scrutiny. A working group has been formed to review the additional training requirements. An action regarding this features is in the | |

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| | | | enterprise function. New training will be developed for research staff. | 2018-2020 plan. | |
| 5.3.5 Development of training support in best practice of data management for all researchers. | Research Support/Information Directorate | Develop a White Rose RDM online introductory tutorial. The tutorial to go online and evaluate the feedback. | A suite of RDM training and resources are available through the Library Support Office and are promoted to researchers and PIs through the research leaders programme and PGR supervisor training as well as the usual staff digest information and central induction. An online RDM 101 tutorial is also available. | Completed 2018 |

| | E: DIVERSITY AND EQUALITY | | | | |
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| | **Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers** | | | | |
| | **Concordat clause and new action(s) 2016-2018** | **Lead** | **Success Measure 2016-18** | **Progress** | **Timescale** |
| E 6.1 | *The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.*<br><br>Actions:<br><br>6.1.1 Continue to engage with the Athena Swan project and similar schemes as a means to identify and embed good equality practice. Aim to have the University at silver level and all science departments at least at bronze level. | Athena Swan Steering and Implementation Group, HR, and academic depts. | Implementation of the proposed new governance structure for Research Excellence Support and Training. This will provide further alignment of the Concordat activity with Athena Swan. An ongoing commitment to the achievement of an institutional silver award. | The University has implemented a variety of actions to attract and support a diverse workforce:<br><br>- Since December 2017 35+ roadshows and presentations have been delivered to departments to engage with staff and students, and promote the mission and vision of the ED&I Strategy<br>- Promoted the use of "positive action" in recruitment strategies to encourage applications from from those who are under-represented in the UoY.<br>- All recruitment literature now includes the statement "*A place where we can ALL be ourselves #EqualityatYork"*<br>- The University jobs website has been updated to enhance the visibility of female role models and promote the University's commitment to providing a supportive environment that helps all staff to excel.<br>- Developed and presenting a play on women in science<br>- Athena SWAN beacon lecture (Prof Joan Williams) as part of Festival of Ideas, Soapbox Science involving women scientists publicly presenting their research in the city of York, | Completed 2018 and part of core business |

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| 6.1.2 Review existing equality activity in Arts and Humanities and Social Science depts. And encourage engagement in self-assessment of equality progress. | Academic Co-ordinators | Updates to be given through the RET groups and ultimately to University Research Committee | The Athena Swan charter has expanded to AHSSBL, and currently 90% I A+H and SS are engaged with the development of a local equality committee / identified AS lead. 1 award and 3 pending for Arts and Humanities 2 award and 1 pending award for Social Sciences : | |
| 6.1.3 Invite researchers to focus groups to better understand the key priorities for women regarding their employment to identify any barriers or concerns and determine priorities. | HR | HR to identify measures | Ideas and consultation sessions have been run and will inform career support for women. | Completed 2018 |

**F: IMPLEMENTATION AND REVIEW**

**Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.**

| | Concordat clause and new action(s) 2016-2018 | Lead | Success Measure 2016-18 | Progress | Timescale |
|---|---|---|---|---|---|
| F 7.1 | *The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.*<br><br>Actions:<br><br>7.1.1 Encourage Chairs of Research Committees and those responsible for the Concordat in departments to be more actively involved in the review process to help the implementation across the University. | PVCR/R ETT | Run an event for Chairs of Research Committees and those responsible for the Concordat in departments to come together and share their experiences and best practice when implementing the concordat | There have been several meetings or correspondence with key people in faculties to try to ascertain what Chairs of Research Committees want and feel is valuable. PIs have the opportunity to positively impact against the deadline. | Completed 2016 |
| | 7.1.2 Share the successes and achievements being made at departmental, faculty and central level to support researchers with Researchers | RETT | Create a 'Celebrating our work with Researchers' document. This will recognise and celebrate the success of the work achieved to date in relation to the Concordat and Athena Swan awards | The Research Staff Conference 2018 celebrated postdoctoral work and has formed the basis for tailored events celebrating postdoc research at Faculty level. | Completed 2018 and part of core business |
| F 7.2 | **The signatories agree:**<br><br>**a) to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.**<br><br>**b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.**<br><br>**c) to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.**<br><br>**d) to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).**<br><br>**e) to undertake and publish a major review of the implementation** | | | | |

**of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).**

Actions:

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| 7.2.1 Use institutional data from the 2017 institutional staff survey to inform future support for researchers | RETT/HR | Run the Staff survey and analyse it to usefully inform the needs of researchers in the development of future action plans | SS2017 data reveals that in many areas researchers feel better supported than academic staff. 81% reported having had a performance review in the last 12 months and 68% has taken part in some kind of learning and development. Just under 70% felt that their staff group (researchers) are valued by the university. These areas continue to be reflected in the 2018-2020 and will be approached in a collaborative | Completed 2018 and part of core business |
| 7.2.2 Contribute to the work of 'Researchers14' and specifically the work around revisions of the Concordat. We would welcome an opportunity to contribute to the national revision of the Concordat and to represent an institutional perspective on the Concordat Steering Group | RETT | Attend meetings or discussions around the national revisions of the concordat. | The UoY RETT co-ordinated the Researchers14 response to the Concordat which included a recommendation for a PI Principle, stronger language to ensure compliance and the creation of national database of researcher destination data. The UoY response was informed by the researchers | Completed 2018 and part of core business |

Abbreviations:
CROS – Career Researchers Online Survey; SS – Staff Survey; PVCR – Pro Vice Chancellor for Research; RETT - Researcher Excellence Training;
HR – Human Resources; L&D – Learning and Development; HoD – Head of Department; ASO – Academic Support Office; R&E – Research and Enterprise, BDM - Business Development Manager. RSLO - Research Staff Liaison Officer

Notes:
1) The Researcher Excellence Training Team are part of the Research and Enterprise Directorate
2) The Concordat Implementation and Steering Groups meet quarterly and dates have been set for 2019-2020