

HREIR Action plan template 2020-2022



Details		The institutional audience* for this action plan includes (complete or delete, as appropriate):		Comments
Institution name:	Cohort number:	Audience	#	
University of York, UK	1	Research staff (postdocs/associates)	720	The University's research income has increased year on year and led to an increase in the number of postdoctoral research students (a 24% increase from 580 to 720 since 2018). They play a vital role in the development of creative and life changing research and are considered an important asset to the university's culture and environment.
Date of submission: 25 September 2020 (extended to 12 October)		Postgraduate researchers	2300	Postgraduate Research Students (PGRs) are a vital part of the research culture at York and form the start of a research talent pipeline. They are included as a beneficiary where appropriate. This commitment will extend primarily to the Principle on Professional Development and translate as a commitment to actively support their engagement in 10 days professional development. The Dean of the York Graduate Research School is a member of the Concordat Implementation Group (CIG). Other members of the CIG also have roles on YGRS committees ensuring consistent consideration of the action plan for this group of people. It is not currently anticipated that the principle on Employment will relate to PGRS since they are not routinely employed by the university other than as Graduate Teaching Assistants.
		Research and teaching staff	N/A	
		Teaching-only staff	N/A	
		Technicians	N/A	
		Clinicians	N/A	
		Professional support staff	N/A	
		Other (please provide numbers and details): Research Managers/Pis, Heads of Department (HoDs), Associate Deans of Research (ADRs), Concordat Implementation Group (CIG) members	At September 2020: Pis/Research managers: 998 total academic/research staff (of those 690 academic and research): ADRs x 3, Heads of Department x 34, CIG members x 24 (approx)	Pis/Research Managers are key beneficiaries of the RD Concordat. They provide steer and direction for the research activity and are role models to the postdoctoral researcher/associates and fellows who work with them. The Associate Deans of Research (ADRs) oversee research activity within the three faculties: Sciences, Social Sciences and Arts and Humanities and work closely with Heads of Department to ensure that all university policies around employment, professional development and culture and environment are implemented. From October 2020 the Concordat Coordinator will report regularly to Faculty Research Groups and become a standing item for discussion. The Concordat Implementation Group members are the engine driving the awareness, profile and implementation of the action plan. Membership has been refreshed to enable the Concordat to be considered at every level and across all departments. The principles underpin the discussions around culture at the University and were used by senior leaders to kick start a university wide conversation and panel discussion at the York Researcher Conference, sharing a positive culture for researchers at York

Cultural Context: The University of York's Institutional Strategy 2020-2030 provides a roadmap for institutional change centred around 5 strategic themes: internationalisation, sustainability, civic responsibility, research, student experience and teaching. These align with and will afford the vision for York as a University for Public Good. Underpinning this vision is a change programme and a Culture & Community (C&C) Workstream which will focus on how existing customs and practices are developed to enable a community of shared purpose with a people-centred culture, an approach to problem solving that is driven by curiosity, challenge and innovation; a supportive and inclusive culture that encourages diversity of thought and approach, developing confidence and capability across all staff groups; an empowering leadership approach built on trust that enables new and flexible ways of working. It is sponsored by the Director of HR and reports to University Executive Board (UEB). This group will align and cross reference the work underpinning the implementation of the University's RD Concordat Action Plan. Membership of the C&C committee includes senior academics and professional service staff, members of University Executive Board, the Assistant Director of HR and the Head of the RET Team/Concordat & HREIR Coordinator. The Concordat Implementation Group (CIG) is chaired by the PVC Research and membership has been revised to include greater representation from Pis/research managers and researchers, including the Research Staff Liaison Officers, ensuring researchers are embedded in the Governance structures. The Concordat/HREIR coordinator is responsible for checking that actions have been implemented (column F) and for reporting to the CIG and University Research Committee, identifying where there are barriers to implementation. A strategic review of Leadership Development has taken place and the focus for the next 18 months will be on developing leadership capability and confidence aligned to the new Vision and Strategic Aims and the RD Concordat (and where appropriate, the Research Integrity Concordat and Public Engagement Concordat). This synergistic approach to design will ensure maximum impact and cultural change. This interim draft action plan is intended to provide the review panel and beneficiaries with an indication of the direction of travel as we finalise consultations around the principles and collectively identify what a positive research culture looks and feels like and how a zero tolerance to bullying and harassment can be achieved in the spirit of a collective responsibility and shared purpose.

Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update (to be completed for submission)	Outcome/ result	Old Concordat Principle and clause
Environment and Culture							
Institutions must:							
EC11	Ensure that all relevant staff are aware of the Concordat	i. The UoY Commitment in the signatory letter signals the strength of commitment to institution wide consultation and change. "We will bring together colleagues from academic departments (at all career stages), professional services and our research staff liaison officers to ensure the creation and implementation of an ambitious and robust action plan. We agree to work collectively and engage with initiatives to address systemic challenges in progressing towards a UK research system where researchers work in healthy and supportive environments". The Concordat Implementation Group are running a series of consultation events aimed at different stakeholder groups (including Pis, Postdoctoral researchers, PGRs, Graduate Chairs) to enable full consultation on all aspects of the Concordat, including the range of activities to be included in the 10 days professional development training. Updates will be provided at Faculty/Research Groups. ii. Enhance the communication channels to Pis. Continue to run the Shared Practice Event for Chairs of Dept Research committees and Concordat contacts and provide information about new support and have contacts for the faculty facing Research Staff Liaison Officer 2018/2019. Transferred from 2020-2020 action plan 7.1.1	i. Engagement of 75% of academic Departments (22+) across all three Faculties with the University's consultation process on the institutional action plan 2020-2020. Creation of a prompt list of professional development activities to be used to support one to one discussions between Pis and researchers. ii. Develop a short termly briefing note for Pis highlighting new resources, training and support for researchers to enable them to support them effectively. iii. HREIR Coordinator to report to Faculty Research Groups and University Research Champions twice a year minimum to ensure cascading of information and progress updates on implementation. iv. From November 2020 Chairs of Departmental Research Committees and Associate Deans to be added to the circulation list of the Research Staff Newsletter which includes Concordat information.	March 2021	CIG members and research administrators responsible for cascading commits with support from HREIR coordinator who will report.		New
EC12	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Deliver the York Researcher Conference with input from senior leaders and professional services and include webinar footage as part of researcher induction. Increase the representation of Pis and researchers on the Concordat Implementation Group.	At least 5 new Pis on the Concordat Implementation Group (CIG). Recruitment of at least 2 Research Staff Liaison Officers who will be members of the CIG who will cascade progress on the implementation of the action plan. Appointment of an academic Fellowships lead in early 2021 will further enable sharing of good practice around support, training for early career researchers.	October 2020	HREIR Coordinator & Chair of the CIG		P2.1 P6.8
EC13	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	C&C working group (C13) to review processes as part of institutional review of culture. Initial explorations of what constitutes a positive research culture started at the York Researcher Conference 2020 . Put processes, policies and support in place to support the achievement of a zero tolerance culture on bullying and harassment.	i. Create champions in at least 75% of departments to support the implementation of the new Dignity@Work and Study policy. ii. Publicise clear procedures for staff (and students) to disclose, report and seek guidance & support. iii. Identify trends in disclosure and analyse data to identify where additional support or intervention is required & actively encourage disclosure. iv. Increase the percentage of respondents reporting that they understand how to report and seek support to 70%, as measured by future staff survey. v. A clear staff (& student) investigation, resolution/outcome procedure in place.	June 2022	HR & EDI team and Student Life & Wellbeing (Part of University EDI strategy). EDI rep to report to CIG		P6.9
EC14	Ensure that managers of researchers are effectively trained in relation to equality, diversity and inclusion, wellbeing and mental health	Review & revise existing EDI training drawing on good practice internally (see Appendix 1) and externally. Promote and raise awareness of flexible working options for all staff	Roll out EDI training and guidance across departments and increase uptake of training by 25%	June 2022	HR & EDI CIG reps to report.		P2.3
EC15	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Continued compliance with the Concordat on Research Integrity and the University's Code of Practice on Research Integrity to ensure it is in line with sector best practice. In addition, work is being undertaken on the implementation of an updated governance framework for Ethics.	Completion of the work on the implementation of the revised governance framework for ethics, measured by a satisfactory UKRI audit on the elements relating to integrity and ethics.	June 2021	Research Strategy and Policy Office (RSPO) to ensure compliance within the existing framework of research integrity governance. RSPO to report to the CIG.		P6.1
EC16	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	i and ii. Establish and carry out regular staff pulse surveys to gain feedback on the quality of the research environment with targeted questions around the Concordat. Consider using the CEDARS survey to complement this if required. iii. review the way in which PRES is communicated	i. 50% of researchers engaged with the HR institutional survey providing empirical data on the environment and culture. This will be considered by the C&C group (C13) to affect change. ii. Sustained or improved performance in the environment element of REF. iii. The majority of UoA submissions and a review of those where this has not been achieved. iv. Improvement on the UoY 2019 PRES results related to culture.	June 2022	i. and ii. HR (Pulse surveys). HR CIG rep to report. iii. Dean of the YGRS to report to CIG.		P6.10 P7.5
Funders must:							
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies	N/A	N/A				P6.6
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers	N/A	N/A				New
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions	N/A	N/A				P6.6
Managers of researchers must:							
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Ensure that institutional mechanisms for reporting on training are followed (to be identified as part of the institutional review of culture, strategy and policy - C13).	Review the and revise the online Unconscious Bias and E&D training . Increase visibility and awareness of mandatory training as part of the culture, increasing completion of training by 25%. Embed EDI principles in all development programmes offered and coordinated by PDR and RETT. Staff feedback on programmes shows increase in relevance of training and improved understanding of EDI issues.	September 2021	HoDs advised by HR & EDI and RET Team - for approval by UEB. HREIR coordinator to report.		New
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Review as part of CPD compliance with the University's Code of Practice on Research Integrity	Adherence to the Code of Practice on Research Integrity and the University's Statement on Research Performance Expectations 2019 evidenced through annual performance review.	September 2021	HoDs advised by HR & EDI. HREIR coordinator to report to the CIG.		New
ECM3	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	The Dignity at Work and Study Policy Procedures and working done around wellbeing by HR will: i. Ensure discussions of EDI and wellbeing are part of staff induction and PDR process. ii. Encourage staff to disclose issues related to wellbeing and mental health and to report incidents of discrimination or harassment. iii. continue to engage with the Athena SWAN charter and similar schemes as a means to identify and embed good practice (transferred from 2018-2020 action plan 6.1.1).	i. & ii. to be measured through pulse surveys and institutional staff survey data with at least 70% of respondents reporting feeling confident about discussing and disclosing issues and that these will be addressed appropriately. iii. All large and medium sized academic departments to have applied for an award by 2020. To date 18/27 depts hold Athena SWAN awards, with 3 more awaiting application outcomes and remaining 6 planning to apply by 2022. Covid and the 2019/2020 review of the AS Charter have impacted progress in some departments.	June 2022	HoDs responsible for checking adherence to policies advised by HR & EDI Team who will report to the CIG.		P6.9

ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Enhance and promote flexible working options to attract, retain and enable staff	Significantly increase the flexibility of jobs and key roles (e.g. management positions) when designed and advertised, both internally and externally, including the increased access to flexible working from day 1 and phobias arrangements Up to 3 Case studies of successful flexible working examples in roles included in careers/jobs pages. Questions about flexible working and career progression included in next staff survey/wellbeing surveys. Increase positive feedback by 20% by 2021.	June 2021 (part of Athena SWAN Action Plan)	HoDs responsible for checking adherence to policies advised by HR & EDI who will report to the CIG		New
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Research manager/PI representation on all relevant committees with a view to ensuring EDI values are considered and that disclosure of bullying and harassment is actively encouraged.		June 2022	HoDs and C&C working group (C13). HREIR coordinator to report		New
Researchers must:							
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students.	As part of the Concordat Consultation co-create with researchers an agreed set of values pertaining to positive research culture. Research staff to be encouraged to train as a mentor as part of the 10 days professional development and to contribute to the C&C Leadership scheme . This will enable support for the next generation of researchers and ensure a pipeline of talent and develop key skills in active listening and mentoring and supporting individuals.	Line Managers/PIs supported by HR	June 2021	Line Managers/PIs supported by RET Team. EDI CIG rep to report.		New
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	All researchers required to participate in induction on arrival and to demonstrate understanding of their responsibilities, including competing Equality, Diversity and Inclusion training. Ensure, as a minimum, that the University's Codes of Practice in research integrity and ethics are brought to the attention of researchers (transferred from 2018-2020 action plan 5.3.1)	i. To evidence participation of relevant training through consolidation of CPD in their annual performance review. ii. Research and Ethics will continue to be delivered as part of the Research Leaders programme. Work with GDPR working group and Information Governance Officer to ensure that all researchers are aware of their due diligence regarding Data Protection. Explore the development of a staff focused online research integrity tutorial.	June 2022	Line Managers/PIs supported by HR. HR CIG rep to report		P6.3
ECR3	Take positive action towards maintaining their wellbeing and mental health	Wellbeing and Mental Health is a key pillar in the University Strategy. The well@ucl.ac.uk initiative brings together resources and support for researchers and all staff on a wiki (internal access only). This includes one to one advice from Health Assistants , the UCL Mental Health First Aid network, support for LGBTQ+ staff and training and resources to support personal resilience, coping with anxiety, physical wellbeing and flexible working plus more. The university also supports the City of York's Mind Your Mind campaign Promote the Wellbeing wiki and online resources. We will actively promote these resources and training and monitor researcher engagement through conversations with line managers.	Themed staff digest (online staff communication circulated to all staff) promoting a range of support interventions for wellbeing and mental health. Increased awareness measured through increased number of researchers using online resources, resilience workshops and mentoring relationships.	June 2021	Line Managers/PIs supported by HR. HR CIG rep to report		New
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	Head of RET Team to be a member of the University C&C & Community Working Group (C13)	Messages about C&C and zero tolerance to harassment and bullying to be highlighted at all staff touchpoints including induction (PGR and staff), performance review (supervision for PGRs) and the reporting options made clear. Increase the percentage of staff (currently 70%) who feel confident in reporting and monitor and how incidents are dealt with to report to the EDI team for action.	June 2022	HoDs/ADRs, EDI and HR CIG reps to report		P6.9
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Head of RET Team to be a member of the University C&C & Community Working Group (C13)	Early career researcher representation on all relevant institutional and departmental EDI/C&C committees. Baseline data on committees to be gathered to enable a meaningful measure.	June 2022	Faculty Operations Managers for data collection and HoDs/ADRs for action. HREIR coordinator to report		P3.13
Employment Institutions must:							
E11	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Review the inclusion of equality expectations in the annual Performance Review process - Transferred from 2018-2020 action plan (2.5.1). i. From January 2021 Graduate Teaching Assistants (GTAs) will be recruited and offered contracts for the full academic year. In accordance with the employment contract, GTAs will have access to Sickness pay, Parental leave (maternity, paternity etc.), 38 days' annual leave, The People's Pension	i. Exploit reference to equality expectations introduced into PDR in the 2018/2019 academic year. Review on impact delayed due to Covid-19 and will be carried out during 2021. ii. From January 2021 direct appointments can only be used for six months, otherwise open contracts must be used. The University continues to provide guidance on the use of Unfused Open Contracts . Compliance with these policies and expectations will be monitored. ii. Finalise the revised Policy for GTAs and cascade to all Departments.	June 2021	HR CIG rep to report		P1.2 P6.2 P6.7
E12	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Carried forward from 2018-2020 action plan (1.3). Improve communication of Flexible Working and new guidance on the use of Fixed Term Contracts. "With effect from 1 October 2020, where an employee's fixed-term contract is due to expire on or after 1 October 2020 if they have a period of two years consecutive service and there is an ongoing requirement for the work to be undertaken, they should transfer to an open contract. If, having reviewed the position, the department is not confident that there will be an ongoing requirement for the post (which may be related to funding situation), consultation with the individual should commence in accordance with this guidance. Consulting with staff approaching the end of their contract."	i. Where practical ensure that all research posts offer flexible working in line with the University's Guidance on Flexible Working. Line Managers/PIs to discuss promotion criteria & Rewarding Excellence scheme with researchers as part of induction and regular performance review. ii. Conduct focus groups to better understand researchers' perceptions of flexible working and what can be done to provide consistency of the flexible working policy across departments.	June 2021	HR CIG rep to report		P3.6
E13	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	Ensure personal circumstances are considered in the promotions process	Monitoring of the use and of the Personal Circumstances form used in academic promotion applications for staff to disclose where their work has been impacted by a range of personal/equality circumstances, including the impact of Covid-19.	From '2020-21 promotions round' ('promotions currently on hold due to Covid-19)	HR CIG rep to report		P2.6 P6.3 P6.4 P6.7
E14	Provide effective line and project management training opportunities for researchers, heads of department and equivalent	Align the 'Research Leaders' programme with the four strands of leadership agreed (PCD4 and C13) and identify new modes and content and where applicable. This subsumes action point 2.3.1 from 2018-2020 AP.	i. Delivery of a blended suite of short online leadership and management sessions with core elements recommended for all with line management responsibility. ii. RD Concordat Action Plan 2020-2022 to be used as part of core content. Measure engagement and satisfaction levels with specific questions above RD Concordat	June 2022	HR rep & HREIR to coordinate and report		P2.3
E15	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	As part of the C&C work (C13) the relevant policies, approaches, reward and recognition elements will be reviewed and they align to the positive culture and support the development of a community of shared purpose, with a people centred culture which we wish to build on and create further. The updated leadership provision (PCD14) will also reflect the excellent people management and distributed leadership approach we are seeking to champion at York.	Include questions regarding leadership and culture as part of the regular HR pulse surveys and use the responses to guide further work on positive culture.	June 2022	HR CIG rep to report		P2.6 P6.3 P6.4
E16	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress	Transferred from 2018-2020 plan (1.2.1) i. Review the support available to staff returning from an extended period of leave (including return from maternity/paternity/statutory paternity leave and adoption) and provide guidance to departments with regard to staff returning from career breaks. Transferred from 2018-2020 plan (1.2.6) ii. Where practical ensure that all research posts offer flexible working in line with the University's Guidance on Flexible Working	1.2.1 Develop a toolkit for managers/PIs to support researchers on extended leave and disseminate to participants on the Research Leaders programme (PCD14) and through Athena Swan Faculty Groups. 1.2.6 Conduct focus groups to better understand researchers' perceptions of flexible working and what can be done to provide consistency of the flexible working policy across departments.	June 2022	HR CIG rep to report		P1.3 P2.1 P2.2
E17	Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making	Review membership of Faculty and Dept formal and informal working groups to ensure researcher representation on all research focussed committees.	More distributed representation and identification through research leadership training of the pipeline of talent	June 2022	Academic Depts captured in Appraisal processes. HR rep to report to CIG		P3.13
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies	N/A	N/A				P2.4
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security	N/A	N/A				New
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression	N/A	N/A				P2.4
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels	N/A	N/A				New
Managers of researchers must:							
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	HoDs to be responsible for checking that senior staff have discussed their professional needs and undertaken the appropriate training. This includes familiarisation with EDI policies, support and training, research integrity, recruitment and expectations leadership training (PCD14).	Annual checklist as part of appraisal to include a list of training undertaken (available on the LMS)	June 2022	HoDs/ADRs with support from HR and RET Team who will report to the CIG		P2.3
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding	Transferred from 2018-2020 plan (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, where appropriate and eligible, working on the grant.	i. Incorporate information on new employment legislation, policies and codes of practice in relevant bite size sessions. ii. Confirm current understanding of policies and codes of practice in relevant development sessions using kahoot or other interactive digital platforms.	June 2021	HoDs with support from Dept Research Facilitators, RSPO rep to report to CIG.		P2.2
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Departments are to consider deploying the Unconscious Bias observation process employed by the Department of Chemistry and monitoring the changes in recruitment demographics. This data can be used to support Athena Swan submissions.	Number of departments using UB observation and metrics on recruitment against demographics supplied to HoDs.	June 2022	HoDs/Athena Swan leads. EDI rep to report to CIG		P6.3
EM4	Actively engage in regular constructive performance management with their researchers	Document discussions and feed through departmental channels highlighting professional development needs. All line managers to be encouraged to attend PDR training and additional development on coaching, difficult conversations or feedback where necessary	Review at Faculty level of the challenges and opportunities identified through performance review	June 2022	HoDs/ADRs, HR rep to report to CIG		P2.3
EM5	Engage with opportunities to contribute to relevant policy development within their institution	HR to ensure engagement with the research community as part of their current approach to relevant policy development. ADRs, HoDs and research managers/PIs to review and identify where researchers can contribute to policy.	From October 2020 Concordat implementation to feature as a regular item Faculty Research Group meetings to enable progress updates to and from the CIG to Faculty level.	June 2021	HoDs/ADRs supported by RET Team. HREIR coordinator to report to CIG		New
Researchers must:							

ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	see E12	Researchers & PGR students to i. take part in induction, online training and demonstrate their understanding of responsibility to civic duty, collaboration and shared leadership as expressed in the university strategy ii. take advantage of the opportunities to work across cultures afforded through the UoY and the university's European collaborations (include the PGR European Summer School)	June 2021	Line Managers/Pis supported by RET Team & EDI Team who will report to the CIG			New	
ER2	Understand their reporting obligations and responsibilities	Ensure that reporting obligations and responsibilities are covered in local induction processes	Incorporate reporting obligations and responsibilities on induction checklist	June 2021	Line Managers/Pis supported by RET Team & EDI Team who will report to the CIG			New	
ER3	Positively engage with performance management discussions and reviews with their managers	Researchers to provide detailed documentation in support of performance review reflecting on key achievements and highlighting any barriers to the achievement of objectives.	Appropriate documentation to be provided to line managers in a timely fashion to enable constructive conversations.	June 2022	Line Managers/Pis supported by RET Team & EDI Team who will report to the CIG			P5.6	
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Culture & Community group (C13) to consider as part of collective responsibility the need for all researchers to engage with consultations and be made aware through the 10 days Professional development prompt list of opportunities available to them to contribute to the wider community.	i. Produce an indicative Professional Development prompt list to be used by PIs/line managers in regular career discussions and as part of appraisal. This list will also be made available to researchers, coaches and mentors to support professional development conversations. ii. Adapt the PDR form to accommodate record of 10 days and Career conversations. iii. Externally funded Fellowship budgets will be provided with a training programme to support their professional development which includes the annual Preparing for Fellowship Success programme. The PD prompt list will also be used by PGR supervisors and PGR mentors to guide discussions about appropriate skills training and will form part of the students' Professional Development Plan underpinned by a Training Needs Analysis. Professional Development activity will be captured as part of the PGRs training record through the online system 'Skills Forge'. iv. Externally funded Fellowship budgets will be provided with a training programme to support their professional development.	i. January 2021 as part of the finalised action plan i & ii. June 2021	Line Managers/Pis supported by RET Team & HR who will report to the CIG			P5.2	
Professional and Career Development									
Institutions must:									
PCD1	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	Create a culture and set of expectations around professional development so that all new researchers joining the institution sign up to the collective values of the institution and not only to the pursuit of excellent research. Undertake a full consultation with researchers, including Fellows and PIs (supervisors and PGRs) to identify what activities should be included professional development activities.	Produce a checklist of professional development activities to be used by line managers in regular career discussions and as part of appraisal. The checklist also to be made available to researchers, coaches and mentors to support professional development conversations. Adapt PDR form to accommodate record of 10 days and Career conversations. ii. The checklist will also be used by PGR supervisors and PGR mentors to guide discussions about appropriate skills training and will form part of the students' Professional Development Plan underpinned by a Training Needs Analysis. Professional Development activity will be captured as part of the PGRs training record through the online system 'Skills Forge'. iii. Externally funded Fellowship budgets will be provided with a training programme to support their professional development.	March 2020	RET Team & RSLDs, HREIR coordinator and Fellowship Lead (once appointed) to report			P3.1 P3.3 P5.5	
PCD2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Develop and where appropriate modify the supervisor training to support managers of researchers in having career conversations. Promote the coaching and mentoring schemes more widely. Explore as part of the formal performance review process how research managers and PIs are supporting the 10 days professional development for researchers and time to develop their research identity.	i. Adapt PDR form to capture career development discussions. Provide a bank of questions to aid the conversation in this area. ii. Encourage researchers to take advantage of the University's coaching or mentoring schemes & develop video footage about the positive impact of mentoring and encourage managers to take basic coaching training. iii. PGR students will be similarly encouraged to take advantage of the University's PGR Buddy Scheme and PGR Mentoring Scheme (mentors are trained postdocs) and to discuss their PDP with their supervisory team.	June 2022	HoDs/ADRs and PGR Supervisors, HREIR coordinator and Dean of the YGRS to report (re iii)			P3.10	
PCD3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	i. Actively promote the opportunities for researchers to gain expert careers advice from independent, external advisors and the University's mentoring and coaching scheme . ii. As part of the review of leadership training identify opportunities for mentoring of researchers by people external to UoY (i.e. industry/creative industries/service). iii. Actively promote, through RSLDs and Departments the Professional Development and Employability training available to researchers. iv. PGR Careers support to be actively promoted through the YGRS.	Increase the number of researchers engaged in mentoring relationships by 20% (currently 54 out of a possible 700). Continue to evaluate and begin to quantify the impact of mentoring specifically identifying if mentoring helped researchers to manage their career. The PGR mentoring scheme was launched in July 2020. This will be evaluated in the same way.	July 2022	i. & ii. RET Team and HR who will report to the CIG iv. Dean of the YGRS and RET Team who will report to the CIG			P3.1	
PCD4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	Conclude the review of the suite of leadership programmes currently on offer to researchers and managers of researchers/Pis. All leadership programmes will be structured around four main principles: A Shared Purpose, Purposeful Collaboration, Curiosity and Innovation and Shared Power. This is aligned to the University Vision and Strategic themes and principles of behaviour. The Research Leaders programme will also be reviewed to accommodate these principles and ensure the foundations of the RD Concordat are woven throughout. See also E14.	Researchers to identify and agree with line managers the annual performance process at least one activity per year to support their leadership capability and to record this as part of their annual performance review. PGRs to use the PDR and Skills Forge to record this activity.	December 2021	Line Managers/Pis and PGR Supervisors supported by HR and RET Team who will report to the CIG			P3.11 P3.14	
PCD5	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	i. Increase opportunities for cross cultural conversations, secondments and placements within and outwith of the institution noting that geographic mobility may not be necessary or may form a barrier for those researchers with caring responsibilities and who cannot or do not wish to relocate. ii. Review the mechanism for leave destination data on the exit forms and if possible at 2 and 5 years to enable longitudinal tracking of researchers at York (3.2.5 transferred from 2020-2020 plan) iii. Explore ways in which existing contacts with industry may provide learning/and or secondment opportunities for research staff (transferred from 2018-2020 action plan 3.4.2)	i. HoDs and Associate Deans of research to identify how to use talent across disciplines and enable the routine advertisement of internal secondment opportunities (short or longer term). ii. Build into grant applications the opportunity to swap research intelligence between collaborating organisations. iii. Exit forms and longitudinal tracking process initiated and used to inform career support and training. iv. support researcher-led learning and/or secondment opportunities in industry using KE contacts	June 2022	i. & ii. HoDs/ADRs supported by HR, HR with academic depth iv. RET Team, HREIR and RET team reps to report to CIG			P3.2 P3.4	
PCD6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Introduce a requirement to regularly discuss professional development and to document as part of formal performance review processes.	Gather evidence of engagement with PDP as part of performance review and calibrate through pulse test/survey data.	June 2022	HoDs and ADRs, HREIR coordinator to report to CIG			New	
Funders must:									
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning	N/A	N/A					P3.7 P3.9	
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes	N/A	N/A					New	
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit	N/A	N/A					New	
Managers of researchers must:									
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	All research managers/Pis and PGR Supervisors to document career conversations and identify supported actions.	i. Main themes to be reviewed at Dept level and discussed at Faculty Research Groups for the CIG to consider and respond to training gaps. ii. PDP templates and professional development to be considered as part of annual performance review and Thesis Advisory Panels for PGRs.	June 2021	Line managers endorsed by URG, HREIR coordinator to report to CIG			P2.3	
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	All researchers to be strongly encouraged to make use of the University's mentoring and coaching scheme and to undertake at least one careers training session per year whether in house or external.	Training record to reflect engagement.	June 2021	Line managers/HoDs and PGR supervisors, HREIR coordinator to report			P3.4 P3.8 P5.5	
PCDM3	Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development	All line managers and PGR supervisors to discuss with researchers their needs and to discuss using the 10 days PD prompt list appropriate professional development activities	Opportunities for researchers & PGRs to engage in teaching/demonstrating, co-publish, outreach, civic engagement, volunteering, representation on committees etc; to be made available at Departmental and University level to enable sharing of good practice and experiences.	June 2021	Line Managers/Pis and PGR supervisors mandated by URG, HREIR coordinator and YGRS Dean to report to CIG			New	
PCDM4	Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours	As per PCDM3 and PCD14	To include sponsorship, encouragement and time for blog writing, putting researchers in touch with collaborators and stakeholders and external informal mentors, co-authorship and co-design of projects and funding application etc.	March 2021	Line Managers/Pis and PGR supervisors mandated by URG, HREIR coordinator and YGRS Dean to report to CIG			P3.6 P3.9 P5.5	
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	Line managers to identify the appropriate training available to them through the inhouse suite available. This will be possible following the full review of leadership provision and in particular the Research Leaders provision. (C13 and PCD4)	Identify and undertake relevant training in agreement with their line manager. Supervisors to take advantage of the suite of supervisors training and UoY designed 'Being an Effective Supervisor (online Tutor) (BEST)'	2021/2022	Line Managers/Pis, HREIR coordinator to report to CIG			New	
Researchers must:									
PCDR1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	All researchers & PGRs to undertake a review of skills gaps and work with their mentor or line manager/supervisor or as part of training to develop an action plan	A Training Needs Analysis tool is available to PGRs to support the creation of a PDP and development of career plans. The RET Team will develop an equivalent tool for researchers and revise the PDP proforma for approval by URG.	June 2021	RET Team to implement and report to CIG			P5.5	
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	All researchers to be actively encouraged by line managers & PGR supervisors to take advantage of the university mentoring scheme and those available externally through professional bodies and to develop and draw upon their own contacts for informal mentoring	RET Team to i. develop an online resource and training to support researchers in building relations with and identifying possible mentors. ii. Enhance signposting to careers support. iii. Managers to actively monitor and discuss mentoring and document participation in mentoring relationships (as a mentee and mentor) as part of performance review.	June 2022	i. & ii. RET Team, iii. Pis & PGR supervisors, HREIR coordinator to report to the CIG			P3.8	
PCDR3	Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications	All researchers to develop a career and professional development plan to be discussed with their manager at least once a year as part of performance review/Thesis Advisory Panels.	Online portal (such as commercial packages such as Skills Forge /inhouse or inhouse version) to be made available to researchers to enable a portable portfolio of evidence	June 2022	Pis and PGR supervisors mandated by CIG/URG implemented and reported by RET Team			P5.5	

P3.10	Positively engage in career development reviews with their managers	All researchers to engage in career development conversations as part of their professional development and to discuss the implications of this and any possible gaps in experience with their line manager/PGR supervisor. It is not the line managers responsibility to be a careers advisor but to have a discussion and signpost to careers support.	Provision to line managers of the PD prompt list and details of the kinds of opportunities that would enable enhancement and broadening of experience to best serve future career moves.	June 2021	Research Managers/Pis and PGR supervisors. HREIR coordinator (and YGRS Dean as appropriate) to report to the CIG				P3.10
P6.5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	All researchers to identify at least one opportunity outside of the university to build their profile - whether through voluntary work, outreach, event and conference organisation, support for the student experience, PGR mentoring etc and detail this on their PDP (as per PCDR3)	*Evidence detailed on annual performance review form (or supervisory notes for PGRs) of development of a broader leadership skills. Evidence may include a personal webpage, income generation, blog, social media, public engagement and being part of a societal dialogue about the value of research as called for by JISC.	June 2022	Research Managers/Pis supported by HR and the RET Team who will report to the CIG				P6.5
P6.2	Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation	All researchers to engage in at least one KE or commercialisation, PE or policy development activity per year	i. Activity to be documented on a PDP. KE and commercialisation training is available through the Partnerships, Collaborations and Civic Engagements strand of the RET programme. ii. Engagement in commercialisation training will be documented and mapped to the Gate Stage process being rolled out by the Commercialisation Team.	June 2022	Research Managers/Pis supported by the Policy Institute, Commercialisation Team/Research and Enterprise Directorate. HREIR coordinator to report to the CIG				P6.2

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