

Action Plan to Support the Implementation of the Concordat to Support the Career Development of Researchers: 2018-2020

A: RECRUITMENT AND SELECTION			
Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.			
Concordat principle and new action(s) 2018-2020	Lead	Success Measure	Timescale for completion
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.		Achieved 2010	No further actions anticipated at this time
<p>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.</p> <p>Actions:</p> <p>1.2.1 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</p> <p>1.2.2 Review the University's (online) Unconscious Bias Awareness (UBA) training and mandate training for certain roles</p> <p>1.2.4 Review as part of the EDI strategy selection panel composition for research posts</p> <p>1.2.5 Review the inclusion of equality expectations in the annual Performance Review process</p>	<p>HR</p> <p>HR</p> <p>HR</p> <p>HR</p>	<p>Develop a toolkit for managers/PIs to support researchers on extended leave and disseminate to participants on the Research Leaders programme and through Athena Swan Faculty Groups</p> <p>New UBA training in place and clear guidelines about which roles should be required to undertake the training for example chairs of recruitment panels. Report to CIG and EDI committee.</p> <p>All research appointments at Grade 7 or above to be chaired the Faculty Dean or nominee and to include representative from another department. HR to report to CIG.</p> <p>Explicit reference to equality expectations introduced into PDR 2018/2019 academic year. Review impact from 2020.</p>	<p>September 2019</p> <p>June 2020</p> <p>June 2019</p> <p>September 2020</p>

<p>1.2.6 Improve communication of Where practical ensure that all research posts offer flexible working in line with the <u>University's Guidance on Flexible Working</u></p>	<p>HR</p>	<p>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.</p>	
<p>1.3 Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</p> <p>1.3.1. Work with the new N8 PDRA working group to explore the block around the use of Fixed Term Contracts</p>	<p>RETT & HR</p>	<p>i. Working group to meet in Oct and Dec 2018 and to set targets. ii. Increase the percentage of researchers who feel secure in their job (45% in SS2017 data)</p>	<p>i. September 2020 (tbc by group) ii. July 2019</p>
<p>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.</p> <p>Actions:</p> <p>1.4.2 Develop a robust process to collect data on the use of 'Named Researchers' by gender</p>	<p>HR & Academic Depts</p>	<p>All Depts. will have access to the HR data and supply an annual report to the CIG that explains why the use of Named Researcher was appropriate and equitable</p>	<p>September 2019</p>
<p>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.</p>	<p>HR</p>	<p>Achieved 2010*</p>	<p>Completed</p>

B: RECOGNITION AND VALUE			
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 Principle and new action(s) 2018-2020	Lead	Success Measure	Timescale for Completion
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. The N8 work on the use of FTCs (1.3.1) may impact upon this further for 2020 reporting.	
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 Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.	HR	Achieved 2010.	
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. Actions: 2.3.1 Conduct a longitudinal evaluation of the impact of the Research Leaders programme. Drawing on 10 cohorts (100+ Pls) who have participated in the programme since it commenced in 2012 2.3.2 Package the Careers support (training, online resources, coaching support) in one clear communication and use the research staff comms channels and RSLOs to disseminate.	RETT with L&D RETT/RSLOs	Capture baseline data on the number of participants who have i. gained promotion to senior leadership roles ii. participated in collaborative research. Commencing 2018/2019 capture baseline data (pre and post programme) on confidence levels of supporting researcher careers. Increase the webhits on careers pages by 50% (from 245). Engage 20% of researchers in careers support and training	July 2019 June 2020

<p>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.</p> <p>Actions:</p> <p>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.</p>	HR	HR to collate information and create guidance for Depts. around the use of bridging funds	July 2019
<p>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.</p> <p>2.5.1 Review the numbers of researchers who apply for promotion and run annual faculty based workshops sessions on promotion</p>	HR	Data on promotions to be reviewed, by HR and as part of the Athena Swan submissions. The <u>criteria and procedures for promotion of academic, research and teaching staff</u> criteria explicitly state (clause 4.15) that the number of promotions is 'not cash limited'. Workshops on the promotion process to be delivered, evaluated and revised in the light of feedback.	June 2020
<p>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.</p> <p>Actions:</p> <p>2.6.1 Work in partnership with other universities (through Researchers14 and N8) to influence funders to make explicit that training should be included in grant proposals and that time is given to enable this. This action is reflected in the recommendations for the revised Concordat.</p> <p>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.</p>	RETT RETT/BDMs /RDT	Hold R14 discussions with funders and UKRI about the explicit wording of grant proposals. Communicate this message through grant writing programmes and put on CIG agenda	November 2019 June 2019

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 principle 3 & 4 and new action(s) 2016-2018	Lead	Success Measures	Timescale for completion
<p>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.</p> <p>Actions:</p> <p>3.1.1 Increase the percentage of researchers who agree with the statement 'there is a clear career path available to me' (34% of researchers compared to 56% academics in SS data 2017).</p> <p>3.1.2 Run the 2nd <u>European Professional Development Doctoral Summer School</u> with the Universities of Munster and Maastricht and employ postdoc researchers to help facilitate and mentor students.</p>	<p>RETT</p> <p>RETT</p>	<p>Run two faculty facing careers sessions to raise awareness of alternative careers and options.</p> <p>Engage at least 5 postdoc researchers in the facilitation of the summer school</p>	<p>June 2019</p> <p>July 2019</p>
<p>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.</p> <p>Actions:</p> <p>3.2.1 Explore with other organisations (such as Vitae and UKRI) the opportunity to commission a 'What do researchers do?' publication</p>	<p>RETT with Careers and HR</p> <p>RETT</p>	<p>Internally work with the data analysis team to develop destination data intelligence and with HR to refine the exit process and exit survey data. Review how the DHLE data can be used to provide institutions with examples of good practice.</p> <p>Programme delivered to 20 researchers. Evaluation to include production of clear outcomes identifiable (i.e. draft grants/submissions)</p>	<p>June 2019</p> <p>July 2020</p>

<p>3..2.3 Develop and deliver a new Advanced Grant Writing - 3 part programme commencing with a Grant Writing Retreat (application by public engagement pitch) followed by mentoring and peer review panel</p> <p>3.2.4 Deliver two annual Fellowship networking events to enable cohort building, collaboration and networking</p> <p>3.2.5 Review the mechanism for leaver destination data on the exit forms and if possible at 2 and 5 years to enable longitudinal tracking of researchers at York</p> <p>3.2.6 Deliver a new suite of PGR Supervisor training including all aspects of supervision (professional development and careers; processes; viva; equality and diversity, supporting international students; public engagement and an annual PGR supervisor symposium to enable shared practice</p>	<p>RETT</p> <p>HR</p> <p>RETT with academic and support staff</p>	<p>Deliver and evaluate the impact of the networking events on collaboration, skill development and shared practice.</p> <p>Exit forms and longitudinal tracking process started and initial data available for use in careers sessions.</p> <p>20% of all PGR supervisors to engage in some form of training</p>	<p>June 2019</p> <p>June 2020</p>
<p>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 effective researchers and highly-skilled professionals in whatever field they chose to enter.</p> <p>3.3.1 Continue to offer flagship Public Engagement events such as Falling Walls and targeted public engagement training to provide researchers with an opportunity to develop their communication and pitch skills</p> <p>3.3.2 Deliver 3 annual sector focussed networking events to expose researchers to business. and include this opportunities as part of the new suite of training to support Knowledge Exchange</p> <p>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.</p>	<p>RETT</p> <p>BDMs & RETT</p>	<p>Engage 10% of all researchers in Public Engagement activities</p> <p>Expose researchers to 20+ employers and direct them to the suite of training and report to the CIG/Business Development Working Group</p> <p>Increase the attendance at careers events from 10% to 25%. Use the RSLO(s) to work with researchers and alumni at Faculty level and develop at least two careers events at faculty level.</p>	<p>December 2019</p> <p>June 2019</p>

<p>3.4.1 Deliver faculty facing career development training including follow up career mentoring opportunities. This may be offered as two research staff conferences and include input from researchers who have used the coaching pool and alumni ..</p> <p>3.4.2 Explore ways in which existing contacts with industry may provide learning and/or secondment opportunities for Research staff.</p>	<p>RSLOs supported by RETT</p> <p>RETT, BDMs & depts</p>	<p>Support researcher-led learning and/or secondment opportunities in industry using existing contacts and new contacts developed through our KE programme.</p>	<p>June 2019</p> <p>June 2020</p>
<p>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.</p> <p>3.5.1 Deliver information sessions on promotions as outlined in 2.6.2</p>	<p>HR</p>	<p>Sessions delivered, evaluated and revised if necessary</p>	<p>December 2020</p>
<p>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.</p> <p>Actions:</p> <p>3.6.1 Review the Departmental induction process for research staff and increase awareness of the Guidance for Researchers induction materials on the website.</p>	<p>RETT</p>	<p>The materials will be used in the Research Leaders programme, new faculty facing careers sessions and central induction. The RSLO will also raise awareness with RSAs.</p>	<p>July 2020.</p>
<p>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.</p> <p>Actions:</p> <p>3.7.1 Promote through web, social media and through the Research Leaders programme the professional development opportunities available and use testimonials and endorsements in publicity where possible</p>	<p>RETT</p>	<p>Review staff webpages and use all communication channels (staff digest, webpages, Dept. Fora, Research Leaders alumni community of</p>	<p>June 2019</p>

		100+ PIs) to communicate the offer and collect web hits for consideration at the June CIG	
<p>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.</p> <p>Actions:</p> <p>.</p> <p>3.8.1 Integrate the promotion of the coaching scheme with the roll out of the University mentoring programme to raise awareness of provision. Evaluate take up by researchers.</p>	L&D	Evaluate the take up of coaching and mentoring schemes and aim to Increase researcher engagement with the coaching programme by 10% (currently very small percentage). Use university wide communication through HR to promote the scheme.	
<p>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.</p> <p>Actions:</p> <p>3.9.1 Review the current levels of researcher engagement in training and identify barriers</p>	HR/L&D/HR	SS17 data suggests average engagement by researchers is 2-3 courses per year on mandatory training. Undertake a review of training in Depts. and identify how this and other CPD can be captured. Report to CIG June 2019	June 2019
Principle 4			
<p>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.</p> <p>Actions:</p> <p>4.1.1 Develop a checklist for PIs to discuss with their researchers about career development at review meetings (in support of recommendation 13 of the Review of the Concordat).</p>	RETT/L&D/HR	Using R14 network develop the checklist such that there is synergy across institutions	June 2019

<p>3.14 Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</p> <p>Actions:</p> <p>3.14.1 Roll out an institution wide, objective led, cross departmental mentoring scheme for research and academic staff</p>	L&D	The scheme will be advertised in autumn 2018 and two cohorts recruited for 2019. Each intake will accommodate 60 mentor/mentee pairs	Review first phase July 2019
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D: RESEARCHERS' RESPONSIBILITIES			
Principle 5: Individual researchers share the responsibility for and need to proactively engage in their own personal and career development and lifelong learning.			
Concordat principle 5 and new action(s) 2018-2020	Lead	Success Measures	Timescale for Completion
<p>5.1 Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</p>	Heads of Academic Departments supported by HR training function	Achieved 2010*	Completed
<p>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.</p> <p>Actions:</p> <p>5.2.1 Actively promote the Enterprise Fellowships and the associated training to researchers. Use testimonials from participants in the new KE programme of training to promote it and encourage take up. Continue to encourage researchers more widely to take up expanded provision of training in knowledge transfer and commercialisation of research.</p>	RETT & BDMs	Engage 10% of all researchers in KE related activity in the first year of the revised programme.	July 2020
<p>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.</p> <p>Actions:</p>			

<p>5.3.1 Ensure, as a minimum, that the University's Codes of Practice in research integrity and ethics are brought to the attention of all researchers.</p>	<p>RETT and R&E with the Governance Office</p>	<p>Research and Ethics will continue to be delivered as part of the Research Leaders programme. Work with GDPR working group and <u>Information Governance Officer</u> to ensure that all researchers are aware of their due diligence regarding Data Protection. Explore the development of a staff focussed online research integrity tutorial.</p> <p>As part of 5.3.1 ensure that research funder requirements are met in the training developed</p>	<p>July 2019</p> <p>July 2019</p>
<p>5.3.2 Review research integrity training in light of funder requirements and UKRI</p> <p>5.4 Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position</p> <p>5.5 Researchers should recognised that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.</p> <p>5.6 Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.</p>			
<p>5.6.1 Review the mechanisms available for researchers to engage in PDP.</p>	<p>HR with RETT</p>	<p>Review, in the light of the revised PR process (2018) whether researchers have sufficient tools and support for effective PDP and identify what tools would need to be put in place.</p>	<p>July 2019</p>

E: DIVERSITY AND EQUALITY

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers

Concordat principle 6 and new action(s) 2016-2018	Lead	Success Measures	Timescale
<p><i>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.</i></p> <p>Actions:</p> <p>6.1.1 Continue to engage with the Athena SWAN Charter and similar schemes as a means to identify and embed good equality practice.</p> <p>6.1.2 Review and extend our data collection and monitoring categories to better understand our staff profile and create an environment which encourages disclosure of equality information.</p>	<p>Athena SWAN Steering Group (ASSG) Faculty Deans Heads of Department.</p> <p>HR</p>	<p>All large and medium sized academic departments to have applied for an award by 2020.</p> <p>Extension of protected characteristics in data collection; communication and engagement activities to encourage staff to disclose. Reduce unknown ethnicity rate from 7% to 5%</p>	<p>December 2020</p> <p>December 2019</p>

<p>Actions:</p> <p>7.2.1 Use institutional data from the 2019 institutional staff survey to inform future support for researchers</p> <p>7.2.2 Contribute to the new N8 working party on PDRAs/research staff and host a second meeting (December 2018).</p>	<p>RETT/HR</p> <p>RETT/HR</p>	<p>Ensure that questions regarding careers and training are included in the revised Staff Survey. Review the data and identify where provision can be enhanced. Include this in the feedback to researchers (3.10.2)</p> <p>Contribute to the setting of and delivery against objectives for the PDRA project. and deliver on agreed objectives of the N8</p>	<p>September 2019</p> <p>June 2019</p>
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Abbreviations:

CROS – Career Researchers Online Survey; SS – Staff Survey; PVCRC – Pro Vice Chancellor for Research; RET - Researcher Excellence Training; RETT – Research Excellence Training Team HR – Human Resources; L&D – Learning and Development; HoD – Head of Department; ASO – Academic Support Office; R&E – Research and Enterprise RSLO - Research Staff Liaison Officer - BDMs Business Development Managers

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 2016-17