



**University of  
Nottingham**  
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# **The Concordat to Support the Career Development of Researchers**

## **University of Nottingham UK Implementation Action Plan and report (year 6 internal review)**

January 2018

Revised July 2018



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# 1. Internal review report for the implementation of the Concordat to Support Career Development

## i Review and evaluation

The review and evaluation of the University of Nottingham's Concordat Action Plan (2011-2017) was conducted by the Research Staff Group (RSG) on behalf of the University's Research Board. The RSG is chaired by the Associate Pro-Vice Chancellor for the Graduate School and Research Career Development and includes research staff representatives (one early career stage and one senior research staff member per Faculty), the Careers and Employability Service, the Graduate School and Human Resources. The RSG reports to the University's Research Board. The group has also received input from academic schools and professional services, which has fed into this evaluation.

Researchers' views have been taken into account during this review through input from the research staff representatives on the RSG (who represent both school and faculty Research Staff networks) and consideration of staff survey results which include Careers in Research Online Surveys (CROS), Equality and Diversity surveys and Staff Engagement surveys.

The University currently employs around 1100 research-only staff who are distributed across each of the five faculties (and located across four campuses in the UK). They are defined as staff whose primary role at the university is to undertake research. The University of Nottingham is a global institution and has two international campuses based in China and Malaysia. The nature of higher education appointments in these two countries means that there are few research only/postdoctoral staff on these campuses. For the purposes of this report only initiatives based in the UK are included. However the international nature of the University provides ample opportunities to enrich Nottingham's research environment and to support its researchers.

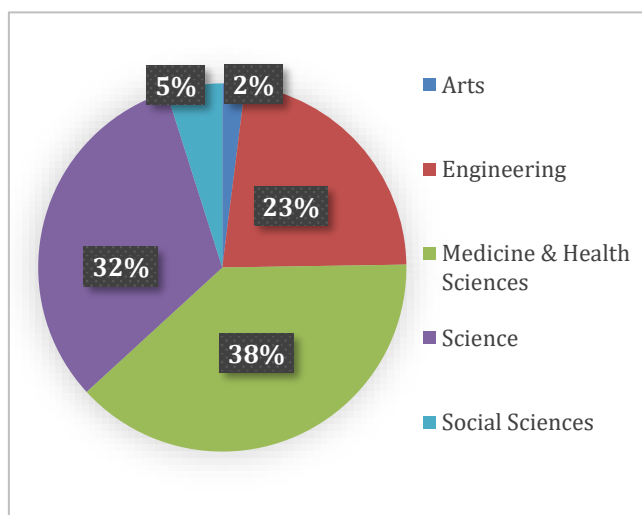


Figure 1: Research-only staff population breakdown by faculty at the University of Nottingham (September 2017)

In September 2017, the university welcomed a new Vice-Chancellor, Professor Shearer West.

All key documents and information about the University's implementation of the Concordat to Support the Career Development of Researchers can be found at:

<https://www.nottingham.ac.uk/researchstaff/concordat/index.aspx>

## ii Key achievements and progress

The following section outlines the key achievements and progress against indicators and actions identified in the review of the University of Nottingham Concordat Action Plan 2015-2017.

### *Principle 1: Recruitment and selection*

Further to the introduction of [Global Strategy 2020](#), the University has now developed and is currently implementing the [Global People Strategy 2020](#) and [HR Strategy 2020](#) (UoN intranet). These were endorsed by University Council in March 2016. The HR Strategy brings together 6 core aims which will underpin the work of the HR team in delivery of the people ambitions required to deliver Global Strategy 2020. These are:

1. Attract, identify, develop and retain high performing talent,
2. Develop transformational leadership and management,
3. Enable development of a high performance culture where staff performance can be supported, rewarded, enhanced and managed effectively,
4. Foster a values-based culture,
5. Develop a total reward approach which is valued by staff,
6. Provide excellent core HR services.

Each aim is supported by action plans/key milestones to focus delivery, with many of the core initiatives providing support to all job families. Implementation of the strategy is in its infancy and relevant actions will be identified and incorporated into the Concordat action plan where relevant.

### *Principle 2: Recognition and value*

During 2016, the University developed a Total Reward Strategy. The Strategy is underpinned by an implementation plan that includes a number of core actions, one of which is a review of the recognition tools that are available to identify and reward high performance at both an individual and team level (as required to support organisational objectives). The review recommendations will be presented to University Executive Board in the summer of 2018. In the 2017 Staff Engagement survey, the research-only staff score was 8% higher than other staff groups with regards to having received praise (Question 4 Gallup) and was 10% higher than other staff groups regarding whether their opinions were taken into consideration within their current work (Q7, Gallup survey),

The current personal development and performance review (PDPR) process has been in place for four years, providing a strong foundation to ensure employees have access to performance and development conversations. In the CROS 2015 results, 90% of research-only staff had undertaken a PDPR (92% in CROS 2013) and 56% reported that they found the process overall useful or very useful (52% CROS 2013). In line with other developments across the institution, the University is undertaking a review of the process to ensure that it is strategically aligned to support the high performance culture that we are striving to achieve. We are looking to ensure that effective performance and development conversations take place that are relevant to the employee encompassing both their role, development needs and ambitions. The aim is for the review to be completed during 2018, subject to consultation. The ambition is to improve reported usefulness across all staff groups, including research-only staff.



### *Principles 3 & 4: Support and Career Development*

In 2016, the [Leadership and Management Academy](#) was launched. The Leadership and Management Academy (LMA) provides a suite of resources, and programmes to nurture, support and develop leaders at every level in the University. Since launch, 356 individuals in the Research and Teaching job family have engaged with the LMA through the LMA hub and face-to-face programmes. In addition to the LMA, the University offers an [Early Career Leadership Programme](#) in collaboration with the University of Birmingham. This programme is in the 5<sup>th</sup> year with 165 'graduates'.

Career development has been a key area of focus in the early part of the HR Strategy implementation and a [Staff Career Development Hub](#) (log in required) was launched in May 2017. The hub helps employees to manage their career development by providing details of the career pathways which exist in the University as well as providing access to a suite of development materials to support self-directed learning. Career pathways include both academic and academia-related careers. The University has a dedicated careers advisor for research-only staff. There has been a significant increase in the take up of one-to-one careers advice sessions (88%) on the previous reporting period (45% in 2014-15 academic year).

The Research Staff Conference ran in both 2016 and 2017. In 2016, 10.5% of our Research Staff population registered to attend the event, and this increased to 13% for the 2017 conference. Syndicate sessions were tailored to specific career stages and included topics focussed on academic CVs, Fellowships, REF and academic transitions. From 2018, the institutional-wide conference will run biennially with Faculty or School/Discipline-specific interventions running during the interim year.

### *Principle 5: Researchers' responsibilities*

In December 2016, the university launched the Epigeum Research Integrity online course where researchers may self-select modules based on discipline area. The launch was reinforced by a month long campaign in March 2017 targeting both staff and students. This led to 21% of total staff population, including research-only staff, accessing the online resources.

In 2017, the [University of Nottingham Publication Framework](#) (intranet) for UNUK researchers was launched with a general focus on improving the overall quality of the University's research outputs. It aims to provide a clear line of sight between institutional strategy around publication, mechanisms for support, and researcher activity. A series of information roadshows took place in autumn 2017 across the university. 63% of attendees were research active staff.

### *Principle 6: Equality and diversity*

The University is currently compiling its re-submission for an Athena SWAN institutional Silver Award. The revised action plan and report were submitted in late 2017. The new Athena SWAN submission has a commitment to implementing auto-registration so that staff on fixed-term contracts are automatically registered in the redeployment pool before contract end.

In 2016, a Conference and Training Care Fund was launched to support individuals whose work, away from the university, incurs additional caring costs. Initial figures showed very low uptake of the award, in particular within the research-only staff grouping and a review of the Fund was undertaken one year after launch. The parameters of the fund have now been widened to include support for attendance at internal courses, and inclusion of international



courses/conferences where rationale for attendance is personal development focused. The fund will be relaunched with a programme of promotion and a further review of the fund will be undertaken in 2019.

### iii Implementation and Review

Members of the RSG provide regular reports on school and faculty practices and implementation of the Concordat. These have been used to identify and share good practice within the institution and have been disseminated through research staff networks, school and faculty committees and senior managers' briefings. The university has participated in CROS 2009, 2011, 2013 and 2015. However, in 2017 two institutional-wide staff surveys were run during the period of CROS 2017. To avoid over surveying of our research staff, the decision was made not to run CROS 2017. Analysis of these surveys and development of action plans will take place throughout autumn 2017 and spring 2018 and will be incorporated into this action plan accordingly in summer 2018. Both the E&D survey and staff engagement survey results have institution based questions and research family streaming to ensure relevant questions were asked of our research community. Throughout spring and summer 2018 and marking 12 months following the staff surveys, focus groups and snap surveys of our research-only staff community will be scheduled to gather responses on key topics identified from the analysis.

#### *Next steps,*

New additions include,

- Preparation of a business case for a new HR system with a procurement process to be completed by the end of the 2019/20 financial year (action and success indicator 2.4.5)
- Conclusion of the PDPR review, embedding a behavioural-based framework 'Building-a-Culture-for-Success' aligned to the People's Strategy (action and success indicator 4.10.1)
- A review of the redeployment policy and procedure (action and success indicator 2.4.3)
- Greater integration and streamlining of leadership and management training, encompassing careers in academia and other sectors (action and success indicator 2.3.3 and 3.3.1)
- Development of a leaver's survey to facilitate better data collection and development of resources to support researchers (action and success indicator 2.4.6)

The RSG will continue to evolve the Concordat Action Plan for the period 2018-2020 and beyond. Actions will be informed through discussions with professional services, research staff representatives, taking into account institutional priorities and strategies and the results from the various staff surveys and focus groups.

Revised May 2018



## Abbreviations

AP 15-17	University of Nottingham Concordat action plan for the 2015-2017 reporting period
AP 17-19	University of Nottingham Concordat action plan for the 2017-2019 reporting period
AS	Athena SWAN
BEIS	Business Engagement and Innovation Services
CES	Careers and Employability Service
CROS	Careers in Research Online Survey
ED	Equality and Diversity
ED&I	Equality, Diversity and Inclusion
GRT	Global Research Themes
HoS	Head of School
RI (GS)	Graduate School
HR	Human Resources
LMA	Leadership and Management Academy
PD	Professional Development
PDPR	Professional Development and Performance Review
PI	Principal Investigator
PIRLS	Principal Investigators and Research Leaders Survey
RB	Research Board
RI	Research and Innovation
RSG	Research Staff Group
RPA	Research Priority Area
SATs	Self-Assessment Teams (School level and Institutional-level, ISAT)
UEB	University Executive Board
WinSET	Women in Science, Engineering and Technology



## 2. University of Nottingham Concordat Implementation Action Plan 2015-2019 – progress updates May 2018

The four year evaluation of The University of Nottingham's Concordat Implementation Action Plan (2011-2015) was conducted by the University's Research Staff Group (RSG) in summer 2015 and an updated action plan covering the period 2015-19 was developed. The following section provides an update, as of May 2018, of that action plan that has been prepared as part of the six year evaluation process and captures progress since 2015. It outlines, by Concordat principles, the relevant initiatives, policies and best practices currently implemented at the University.

Monitoring of and reporting on the implementation of the Concordat Action Plan is undertaken on behalf of the University by the Research Staff Group (RSG). RSG reports to the University's Research Board and is chaired by the Associate Pro Vice Chancellor for the Graduate School and Research Career Development. Its membership includes Research Staff representatives from each of the faculties as well as a representative from the senior research staff network, Careers and Employability Service, Graduate School, Human Resources, Professional Development and Equality, Diversity and Inclusion Board (ED&I)/Self-Assessment Team (SATs). The RSG has also received input from academic schools and other professional services which has fed into this evaluation.

Researchers' views have been taken into account through input from the research staff representatives on the RSG (who represent both school and faculty Research Staff Networks) and consideration of the results of the 2017 University Staff Engagement Survey, as well as the previous results from the Careers in Research Online Surveys (2013 and 2015)

This section of the HR Excellence in Research reporting documentation provides progress summaries and current compliance against the actions identified in the original action plan (2011 – 15) and in the revised action plan for 2015-2019. The 2017 updates have been highlighted and any ongoing actions spanning 2015-2020 are noted with current progress. In section 3, new actions for the period 2018-2020 are presented. This document, the action plans (2011-3, 2014-15), 2 year internal review summary (September 2013) and 4 year external review summary (September 2015) and the 6 year internal review summary (January 2018) can be downloaded at <https://www.nottingham.ac.uk/researchstaff/concordat/index.aspx>.

## 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 clause and UoN actions	Lead		Current compliance and developments 2015-17
A1.1	<b>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</b>	HR		<p>The University is committed to open and transparent recruitment, selection and retention processes. Introduction of online recruitment system, <a href="https://nottingham.jobs.ac.uk">Nottingham jobs.ac.uk</a>, in 2013.</p> <p>Guidance and support on the use of the system for both applicants and recruiters is available on the <a href="#">HR website</a></p>
A1.2	<p><b>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.</b></p> <p>1.2.1 The University's Strategy 2020 takes into account "The ways in which the University recruits, retains and rewards outstanding individuals who deliver research excellence". The University will undertake a project to review our current recruitment processes, in order to make recommendations for change to further improve our ability to attract a diverse, skilled candidate pool. <i>Success indicators: production of review report. Subject to sign off, creation of implementation plan with corresponding timescales for agreed activity.</i></p>	HR/RB		<p>The University advertises vacancies externally through appropriate media channels to attain the widest applicant pool possible, unless circumstances restrict.</p> <p>All vacancies are advertised to staff registered with the redeployment pool for one week prior to all external advertising.</p> <p>HR information and policies (for example those addressing <a href="#">Fixed Term</a>, <a href="#">Equal Opportunities</a> and <a href="#">Redeployment</a>) are available on the HR website and intranet and aim to improve accessibility to guidance for current and potential researchers and their line manager.</p> <p>All job advertisements include person specifications and job descriptions as standard.</p> <p>New section on <a href="#">HR website for international incoming new members of research staff</a>.</p>



<p><b>Timescale:</b> Recommendation report to UEB for approval July 2018.</p> <p>1.2.2 New recruitment system (Vacancy Manager) to be used to provide more detailed metrics of the recruitment process used for research staff (e.g. CV route or person specification). <i>Success indicators: Increase in the proportion of research staff who report that they were required to demonstrate against specific elements of the person specification as part of the recruitment process.</i> <b>Timescale:</b> Staff surveys running in Spring 2019</p> <p>1.2.3 Ensure the materials available for incoming researchers on the HR website and Research Staff website are current and reflect University developments. To conduct a user engagement consultation, inclusive of all job families. <i>Success indicators: New HR web pages to be launched in October 2017. User engagement consultation demonstrates positive response and to the satisfaction of the project sponsor.</i> <b>Timescale:</b> October 2017 and user consultation 2018</p> <p>1.2.4 Review and where necessary update the benchmark role descriptors for the Research and Teaching Job families to ensure that these reflect current expectations and responsibilities of researchers at different levels. <i>Success indicators: Review takes place and recommendations implemented.</i> <b>Timescale:</b> Implementation by 2017</p>	<p>HR</p> <p>HR and RI(GS)</p> <p>HR</p>	<p>1.2.1 UPDATE 2017: Further to the introduction of Global Strategy 2020, the University has developed and implemented the <u>Global People Strategy 2020</u> and <u>HR Strategy 2020</u>. The HR Strategy brings together 6 core aims. Each aim is supported by action plans / key milestones to focus delivery, with many of the core initiatives providing support to all job families. This action has now been superseded by action 1.2.5 in AP 17-19</p> <p>1.2.2 UPDATE 2018: The University is undertaking a pilot of a new approach to recruitment in 2017/18 working with Diversity by Design. The Diversity by Design approach focuses less on CV based recruitment and more on how the candidate meets specific criteria defined for the role. A report on findings and recommendations from the pilot will be reviewed by EDI Board in summer of 2018. See action 1.2.4 in AP2015-17 and 1.2.6 AP2017-20.</p> <p>1.2.3 UPDATE 2017: HR website relaunched in October 2017. Internal monitoring of analytics by HR.</p> <p>1.2.4 UPDATE 2017: University of the 21<sup>st</sup> Century project ongoing, new role profiles for Teaching and Learning job family. 1.2.4 UPDATE 2018: Project re-scoped to focus primarily on University of 21<sup>st</sup> century with no immediate work planned to review R&amp;T job family descriptors.</p>
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A1.3	<b>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</b>	HR	As outlined in the University's <a href="#">Fixed Term</a> policy, the University seeks to limit the use of fixed term contracts.
A1.4	<p><b>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.</b></p> <p>1.4.1 Ensure interview and promotion panels are appropriately trained and representative. <i>Success indicators: Increase in the proportion of staff who have undertaken such training. Uptake of the recently introduced Unconscious bias training by relevant staff groups.</i></p> <p>1.4.2 Composition of recruitment panels is monitored by Human Resources who take appropriate action when issues are identified. Timescales: Business as usual</p> <p>1.4.3 Where possible to disaggregate University reports on research and teaching staff statistics in order that those related to research-only staff are more readily available. <i>Success indicator – increase in the information and metrics on research only staff</i></p>	<p>HR/PD/HoS</p> <p>HR</p> <p>HR</p>	<p>Well-established mandatory requirement for all recruiters to attend training (1 day training course on <a href="#">Recruitment and Selection</a>) or complete the online recruitment materials. Compliance with this is a specific question asked by HR when panels are set up. The materials contained on the PD website have been updated to reflect that research staff recruiters should receive training.</p> <p>1.4.1 UPDATE 2017: A variety of different Unconscious Bias workshops are available for different staff groups including Research Leaders. A plenary workshop on Unconscious Bias was held during the 2017 Research Staff Development Conference. <a href="#">Unconscious Bias online training</a> (intranet) is available to all staff. Uptake to be monitored 18 months post launch of new intervention (summer 2018). Academic promotions (including research staff) outcomes are released annually on the <a href="#">HR website</a> and <a href="#">annual statistics reports</a> published as part of EDI reporting.</p> <p>1.4.3 UPDATE 2017: Internal processes in place to allow research-only staff reporting to be accessed by relevant working groups/departments on request. This includes the 2017 Staff Engagement Survey.</p>



A1.5	<b>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.</b>	HR	<p>The <a href="#">Job Family Role Profiles</a> (available on HR website) together with the job/person specification for the role ensure transparency and compliance with HR recruitment frameworks.</p> <p>Pay levels within grade are determined by HR and the PI upon appointment, recognising individual's circumstances and market forces.</p>
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## 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 clause and UoN actions	Lead		Current compliance and progress 2015-17
B2.1	<p><b>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.</b></p> <p>2.1.1. Appointment of two research staff representatives for each faculty (junior 'post doc' and senior research fellow) to the Research Staff Group. <i>Success indicators: maintain and sustain a representative base for all five faculties on the RSG.</i> Timelines: Recruit new researchers to role as and when required. Check membership at 1<sup>st</sup> meeting each academic year.</p> <p>2.1.2. Mapping of school/faculty-level research staff fora, ensure communication channels effective between RSG and local networks. <i>Success indicators: improve communication channels between faculties and networks; improve community (engagement with wider researcher community, CROS).</i> Timelines: Ongoing</p>	<p>RSG</p> <p>RSG</p>		<p>Current postdoc fora/research staff networks</p> <ul style="list-style-type: none"> <li>Life sciences 'Young Researcher Forum'</li> <li>Faculty of engineering research staff network</li> <li>Faculty of arts research staff network</li> <li>Chemistry Postdoc Forum</li> <li>University-wide Fellows network</li> </ul> <p>UPDATE 2017: CROS 2015 survey responses revealed that 41% of researchers actively participated in their local representative channels (Fora or research staff group). No comparative data for 2017 (no CROS 2017), hence questions around representation and awareness of University research strategy to be explored through focus groups and data from E&amp;D survey (in 2018).</p>



	<p>2.1.3 Ensure that Research Staff are represented in the Research Strategy developments in relation to Global Research Themes and Research Priority Areas. <i>Success indicators: greater awareness of, and participation in GRT and RPA activities by research staff to be measured by institutional questions in CROS 2017.</i> Timescales: annual monitoring</p> <p>2.1.4 Hold three Research Staff Group meetings per year bringing together all representatives and appointing representatives to contribute to appropriate decision-making groups and committees at School, Faculty and University level, ensuring opportunity to influence University policy, practice and strategy. <i>Success indicators: Number of representatives appointed; visibility of the representatives and committees/for a/network; feedback from staff surveys.</i> Timescales: Staff surveys in 2019</p>	RSG		2.1.3 UPDATE 2017: Six roadshows held in September and October 2016 for research staff on the recent developments in the Research Strategy were held. The PVC for Research and Knowledge Exchange delivered the roadshows.
B2.2	<b>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.</b>			See A.1.3
B2.3	<b>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</b>			<p>The RSG recommend that research managers and PIs should be provided with guidance and advice to support them in their role.</p> <p>Professional Development offers training to support PIs with their management role. All staff undertake PDPR, which includes objective setting and the production of a PDP.</p>

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B2.4	<p><b>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.</b></p>		<p><b>Redeployment</b> The University monitors the uptake of the redeployment pool across all job families. HR produce annual reports on the uptake of redeployment opportunities for RSG.</p>
	<p>2.4.1 The University should monitor Research Staff engagement with redeployment processes and opportunities and seek to increase uptake. <i>Success indicators: Increase in use of the redeployment process by research staff. Where appropriate the successful retention of staff through the redeployment process.</i></p>	RSG/HR	<p>Guidance and support is available on the <a href="#">HR intranet</a> including 'Redeployment and redundancy guidance for managers' and 'Guidance for employees at risk of redundancy'. Guidance workspace provides links to career development courses specific for research staff.</p> <p>2.4.1 UPDATE 2017: Details of redeployment are included in the end of contract letter, which is sent to all researchers. The redeployment policy and procedure is currently under review. The timeframes related to redeployment have been clarified within all related letters and online resources. The process applies to all staff, including research-only staff. No significant change in the number of Research-only staff users of the redeployment process has been identified.</p>
	<p>2.4.2 Monitor bridging funding schemes and share practices across the institution. Report outcomes of such schemes to Research Board. <i>Success indicators: Demonstrable research outputs resulting from bridging funding period and other scheme awards.</i></p>	RI	<p><b>Bridging funding</b> Past and current schemes (open to all disciplines) include,</p> <ul style="list-style-type: none"> <li>• Bridging the gaps: Next generation Feasibility Award</li> <li>• UNICAS@GS and UNICAS sandpit and pump-prime funding <a href="#">UNICAS scheme</a></li> <li>• Discipline bridging</li> </ul> <p>2.4.2 UPDATE 2017: UNICAS and UNICAS@GS funding confirmed 2015 to allow continuation of the scheme for next 3 years. Outputs from funding monitored annually by UNICAS committee.</p>



B2.5	<p><b>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.</b></p> <p>2.5.1 Awareness event on <a href="#">RESAVER</a>, the Pan-European pension scheme for researchers. <i>Success indicators: Engagement with event by research staff from all disciplines.</i> Timeline: March 2016</p>	HR/RI (GS)	See A1.3 and A1.5
B2.6	<p><b>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.</b></p> <p>2.6.1 Actions associated with Strategy 2020 Mechanism 1.6: To recognise that academic career paths are not necessarily linear and that the balance between research (including realising impact), teaching and administration will vary during the course of an individual's career. This should be rewarded and recognised accordingly. <i>Success indicators: Increase in research staff awareness of promotion processes and career frameworks (to be measured through CROS 2017 and attendance at relevant events).</i></p>	RB/HR	<p>See A1.4 and A1.5</p> <p>2.6.1 UPDATE 2017: Ongoing analysis of 2017 Staff Engagement Survey Arising matters to be explored in focus groups and discussed at RSG meetings in Spring 2018.</p> <p>2.6.1 UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Facilitates staff in all job families to manage their career development through online resources and development tools.</p>

## 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 UoN actions	Lead	Current compliance and progress 2015-17
<b>C3.1</b>	<p><b>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.</b></p> <p>3.1.1. Research managers and PIs should be provided with guidance and advice regarding career pathways for researchers in order that they can support them in their role. To increase the level of awareness of the Careers and Employment Service for research staff amongst researchers and their Principal Investigators to design and implement actions which will lead to an increased awareness of the service and uptake of appointments. <i>Success Indicators: To increase the take up of the individual guidance service to 80% of available appointments.</i></p> <p>3.1.2 To design and implement an appropriate evaluation system for individual guidance appointments for research staff.</p>	<p>Lead</p> <p>RSG/ CES</p> <p>CES</p>	<p>The University of Nottingham has a dedicated <a href="#">Senior Careers Advisor for Research Staff</a>, providing training courses and individual guidance appointments. In addition, research-only staff are entitled to use the <a href="#">Careers and Employability Services</a> resources and support.</p> <p>3.1.1 UPDATE 2017: From August 1<sup>st</sup> 2016 to July 31<sup>st</sup> 2017 88% of available careers appointments were taken up by post-doctoral research staff. This is a notable increase from the 2013-15 where 40-66% of appointments were taken up.</p> <p>3.1.2 UPDATE 2017: The work on designing and implementing an evaluation system has been delayed as an internal review of all</p>

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C3.3	<b>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 in whatever field they choose to enter.</b>  See C3.1		A broad range of transferable skills training is available for research staff from a range of providers within the University and external providers. Courses are booked using the <a href="#">central short courses booking system (csc)</a> .
C3.4	<b>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.</b>  See C3.1		See C3.1
C3.5	<b>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.</b>		Mandatory PDPR meetings encourage and facilitate discussions between researchers and their managers on career aspirations and identification of career development opportunities for the forthcoming year. Inclusion of the PDPR competency framework ensures that the meeting focuses on the progress and development of the individual and is not side-tracked towards project progression.



	<p>3.5.1 Evaluation data shows an improvement in perceived overall usefulness of the PDPR process in respect to career development.</p> <p>Timescale: Annual monitoring</p> <p>See A1.3, A1.5, C3.7, C3.8 and C3.10</p>	HR/PD	<p>3.5.1 UPDATE 2017: E&amp;D survey indicated that 72% Agreed or Strongly agreed that PDPR goals were appropriate for their role.</p> <p>UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Helps staff in all job families to manage their career development through online resources and development tools.</p> <p>UPDATE 2017: PDPR process – under review to align process with institutional strategies. The aim is for the review to be completed during 2017, subject to consultation. Associated actions to be carried into 2017-2020 action plan.</p>
C3.6	<p><b>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.</b></p> <p>3.6.1 Continue to monitor engagement with and uptake of current induction programmes for researchers. Use of evaluation to develop and evolve the provision to suit changing environment and requirements.</p> <p><i>Success indicators: An increase in awareness and take up of induction provision and perceived usefulness by participants in session evaluation survey.</i></p>	CES/ RI(GS)	<p>The University provides a comprehensive induction programme for new members of staff.</p> <ul style="list-style-type: none"> <li>- University-wide, all staff (including research staff)</li> <li>- Induction for new research staff</li> <li>- Academic school inductions</li> </ul> <p>Research group orientation on an <i>ad hoc</i> basis.</p> <p>All new Research Staff are directed to the HR website and Research Staff website which host useful information for those new to the institution and city.</p>
C3.7	<p><b>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 practise those skills. For example, researchers may</b></p>		<p>Sample role profiles for all R&amp;T-R job family are available on the <a href="#">HR website</a>. Careers guidance workshops actively encourage researchers to explore these pages.</p>



	<p><b>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.</b></p> <p>See C3.1</p> <p>3.7.1 Extend the existing Graduate School mapping of the Researcher Development Framework to all professional development opportunities for research staff.</p>	PD/CES/ RI	<p>Engagement by research staff in these types of activities is widespread and locally arranged. Such opportunities would be recorded on PDPR in the behavioural competencies section of the form.</p> <p>The development of the Behavioural Competency Framework and Personal Development Plan sections of the PDPR actively encourages researchers to have discussions with their line managers about skills development beyond their current role.</p>
C3.8	<p><b>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.</b></p> <p>3.8.1 To analyse the level of awareness of the service for research staff amongst researchers and their Principal Investigators using the results of CROS in order to design and implement actions which will lead to an increased awareness of the service and uptake of appointments. <i>Success indicators: To increase the take up of the individual guidance service to 80% of available appointments.</i> Timescale: Evaluation of CROS 2015 data December 2015 Targets for 2016</p> <p>3.8.2 Audit current mentoring arrangements for research staff and share practice. Timescale: December 2016</p>	<p>RI(GS) /RSG/CE S</p> <p>RI(GS)</p>	<p>3.8.1 UPDATE 2017: From August 1st 2016 to July 31st 2017 88% of available careers appointments were taken up by post-doctoral research staff. This is an increase of 20% from previous reporting period (67% take up).</p> <p>UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Helps staff in all job families to manage their career development through online resources and development tools.</p> <p>UPDATE 2017 PDPR process – under review to align process with institutional strategies. The aim is for the review to be completed during 2017, subject to consultation. Associated actions to be carried into 2017-2020 action plan.</p> <p>UPDATE 2016: CROS 2015 data 8% of staff identified as having undertaken mentoring. 63% indicated a preference to undertake mentoring (peer to peer and junior to senior).</p>



	<p>3.8.3. To design and implement an appropriate evaluation system for individual guidance appointments for research staff. Timescale: 2016/17 academic year</p> <p>3.8.4. For 2015/16 the career management and development training courses for research staff will be delivered as a suite of three linked courses and will be delivered where significant numbers of researchers are employed. <i>Success indicator: Increased participation with training</i> Timescale: November 2015</p>	<p>CES</p> <p>CES</p>		<p>UPDATE 2017: LMA includes coaching and mentoring.</p>
C3.9	<p><b>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.</b></p> <p>3.9.1 Strategy 2020 Mechanism 6.6: Through the University's Researcher Development and Training Programmes to train postgraduate and early career researchers to have the knowledge, qualities and</p>	<p>RB/ RI(GS)</p>		<p>UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Facilitates staff in all job families to manage their career development through online resources and development tools.</p>



	<p>transferable skills necessary to make a positive impact in academic or professional environments.</p> <p><i>Success indicators: Development and evolution of provision to reflect the training needs identified by researchers in recent evaluations. Differentiation of provision for researchers at different career stages. Take up of provision increases</i></p> <p><i>Timescale: Strategy 2020 action plan from January 2016.</i></p>			
C4.10	<p><b>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.</b></p> <p>4.10.1 HR People Strategy developments. Through revision of the current Competency Frameworks to develop a framework that is specific and tailored to the needs and requirements of individual job families. <i>Success indicators: Increase in perceived usefulness of PDPR process and tailored competency framework in CROS 2017.</i> Timescale: Dec 2015 &amp; Dec 2017</p> <p>4.10.2 Promote use of Vitae Researcher Development Framework to researchers, as a means of training needs analysis, through embedding its use in workshops and course description materials.</p>	<p>HR/ RI(GS)</p> <p>RI(GS)</p>		<p>A review of the new PDPR process was conducted by HR in 2013. A University-wide competency framework was introduced in Spring 2013 PDPR. From 2013 the promotion criteria were revised to include specific research activity performance indicators/standards.</p> <p>In CROS 2013, 91.8% of respondents reported that they had completed a staff appraisal in the last two years. Of these, 52% reported that they found the overall process useful or very useful.</p> <p>An outline of the PDPR process and guidance notes for staff and reviewers is available here on the <a href="#">HR website-guides and support for performance at work</a></p> <p>All reviewers are required to undertake mandatory training '<a href="#">PDPR – How To Be An Effective Reviewer</a>'. This training provides reviewers of research staff the information necessary to utilise the whole PDPR process including the competency framework for research staff members.</p> <p>Training courses available for research staff on <a href="#">how to prepare for PDPR meetings</a>.</p>



	<p><i>Success indicators: researcher awareness of RDF measured through Research staff engagement with the RDF planner.</i></p> <p>Timescale: Ongoing and monitor Dec 2015 &amp; Dec 2017</p>			
C4.11	<p><b>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.</b></p> <p>See C3.1 and C3.10</p>			<p>The Graduate School and Professional Development undertake a review of its formal and informal development activities and provision for Research Staff against the RDF/RDS as part of its biennial analysis of the implementation of the Concordat. All research staff have access to training from a range of providers across the University. All Graduate School training provision is mapped to the RDF. Courses are booked through central short courses online booking system <a href="https://training.nottingham.ac.uk/">https://training.nottingham.ac.uk/</a></p> <p>All research staff have access to training on topics relevant to academic practice which are designed to prepare researchers for key components of academic activity, including:</p> <ul style="list-style-type: none"> <li>• teaching and learning</li> <li>• research integrity</li> <li>• people management and supervision</li> <li>• networking</li> <li>• time management</li> </ul>
C4.12	<p><b>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.</b></p> <p>4.12.1 Extend supervision training programme for research staff supervisors. Recognition of research staff contribution to supervision and teaching through introduction of new category in teaching and learning</p>	RI(GS) /HoS		<p>The University mandates that all new teachers and demonstrators have undertaken, as a minimum before commencement of teaching, an introductory training workshop.</p> <p>Researchers may supervise undergraduate and masters student projects as co-supervisors with support from academic leads. Training is available for researchers, <a href="#">Supporting Students Doing Undergraduate Projects and Dissertations</a> workshop.</p>



	awards, 'The Postdoctoral Staff Teaching and Learning Award'. Timescale: May 2016			UPDATE 2017: <a href="#">Supervision workshops and seminar series</a> open to research-only staff who hold formal or informal supervision role
C4.13	<p><b>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 management committees.</b></p> <p>4.13.1 To promote the inclusion of research staff in committee structures at the faculty and School level. Timescale: monitor annually</p> <p>C4.13.2 To provide guidance and case studies for Research Staff on increasing their involvement in local and institutional committees and the decision-making process. <i>Success indicators: new section on Research Staff website on committees and benefits of engagement.</i> Timescale: September 2016</p>	<p>Faculty PVC, HoS, RSG</p> <p>RI(GS)</p>		<p>Many School self-assessment teams include Research Staff and this is considered best practice in STEMM. Research Staff representatives on AS committees and working groups.</p> <p>RSG current membership includes 10 positions for Research Staff members, representing both junior and senior researchers per faculty. This ensures continuity and a sustainable level of representation in the group.</p>
C4.14	<p><b>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</b></p> <p>4.14.1 Actions arising from Global Strategy 2020 Mechanism 1.3: To recognise effective mentoring as a key component of research management, and to embed its use within the Work Load Planning Framework (WLPF) and as part of the Personal Development and Performance Review (PDPR) process. Timescale: Timeframes for actions to be defined in Strategy action plan</p> <p>4.14.2 Evaluate mentoring schemes available to staff and explore development of integrated mentoring scheme for</p>	<p>Research Strategy Task Force and Working Groups</p> <p>PD</p>		<p>As part of the People Strategy and Athena SWAN assessment a gap analysis has been conducted across the University to identify</p>



	academic staff (combining existing Athena SWAN and researcher schemes). <i>Success indicators: better communication of mentoring opportunities and best practices; increased awareness of mentoring opportunities; increased mentor relationships.</i> Timescale: Initial gap analysis Feb 2016			current mentoring schemes. This gap analysis will be reported and best practice highlighted to the institution.
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## 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 UoN actions	Lead		Current compliance and progress 2015-17
D5.1	<p>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</p> <p>5.1.1 Launch new programme of Research Integrity training and activities and monitor research staff engagement. <i>Success indicators: Engagement of research staff in training and compliance with Concordat on Research Integrity.</i> <i>Timescale: Monitor annually September 2016</i></p>	Research ers, PIs		<p>In support of the implementation of the Concordat to Support Research Integrity. The University produces an <a href="#">annual statement on Research Integrity</a> to the University's Council on the actions undertaken to sustain and further enhance research integrity.</p> <p>5.1.1 UPDATE 2017: Continued engagement of researchers with the online Research Integrity training resources.</p>
D5.2	<p>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>5.2.2 Encourage research staff participation in training course and events relating to Knowledge Exchange (e.g. Research Staff conference, enterprise training) as well as local school/faculty events. Launch and implementation of the Knowledge Exchange Framework highlighting the specific focus on research staff. <i>Success indicators: Participation/feedback from courses and initiatives. Recognition of the framework by Research Staff and implementation by community.</i> <i>Timescales: Expected Dec 2015.</i></p>	RI/BEIS		<p>The University holds an annual Research Showcase. Both postgraduate research students and members of research staff are selected to present their research projects to the general public.</p>



	<p>5.2.1 Implementation of the Knowledge Exchange Framework. Timescales: Ongoing with appropriate framework action monitoring</p>	RI(GS)		
D5.3	<p>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>5.3.1 Initial project scoping and implementation of Research Intelligence Solution (RIS). The objective of the project is to facilitate researchers and research management to monitor grants and existing projects and capture academics and their research team's successes, experience, knowledge and capabilities. Timescales: Initial project scoping 2015/16, actions identified during project</p> <p>5.3.2 Promotion of good practice in Research Data Management and delivery of training provision. <i>Success indicators: Increased awareness of RDM as indicated by CROS responses; uptake of training by research staff.</i> Timescales: Monitor December 2015, 2017</p> <p>5.3.3 Improve researcher awareness of Open Research data resources and management. <i>Success indicators: greater awareness of Open Access in CROS data; increase in usage of Nottingham Research Data Management Repository.</i> Timescales: Monitor December 2015, 2017</p>	<p>RI(GS) /LRL</p> <p>LRL</p> <p>LRL</p> <p>RB, RI</p>		<p>The University has a number of policies relating to the conduct of research and the management of data</p> <ul style="list-style-type: none"> <li><a href="#">Code of Research Conduct and Research Ethics</a> (intranet) Research ethics is devolved to the school level, and overseen by the University's Research Ethics Committee. A revised Code of Research Conduct and Research Ethics was issued in June 2015, incorporating information on research ethics within the University's international campuses. Each year school research ethics officers attend Ethics Officer Forums, designed to share best practice and communicate new responsibilities. In 2015 an online Ethics Officer Forum was piloted, aimed at including ethics officers from the international campuses.</li> <li><a href="#">Research data management</a>- training courses available both face-to-face and online. RDM workshop took place during the Research Staff Development Conference 2015. The University produces an annual statement on Research Integrity to the University's Council.</li> <li><a href="#">Open Access Policy</a> this states that all research papers, where copyright allows, should be made available in an open access form upon publication. The policy supports the implementation of <a href="#">RCUK Open Access Policy</a></li> </ul> <p>New project developments: <a href="#">Research Intelligence Solution</a> (RIS, intranet access only) project is a Global Strategy 2020 project, which aims to enable a consistent and quality-driven approach to managing the research lifecycle globally, by implementing an enterprise-wide system and changing working practices.</p>



	<p><i>5.3.4 Researchers are encouraged to register for an Orchid ID. Promotion of Open access at various events and Research Staff Conference.</i></p> <p><i>Success indicators: greater awareness of Open Access in CROS data.</i></p> <p>Timescales: Monitor December 2015, 2017</p>		<p>To facilitate researchers and research management, monitor grants and existing projects and capture successes, experience, knowledge and capabilities.</p> <p>UPDATE 2017: Launch of the <a href="#">University of Nottingham Publication Framework</a> (intranet) for UNUK researchers. The framework's general focus is on improving the overall quality of the University's research outputs. It aims to provide a clear line of sight between institutional strategy around publication, mechanisms for support, and researcher activity. A series of roadshows will take place in autumn 2017, open to all research active staff, to facilitate awareness.</p>
D5.4	<p>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>See actions C3.1 and C3.2</p>		<p>UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Enables employees in all job families to manage their career development by providing details of career pathways, and access to a suite of development materials to support self-directed learning.</p>
D5.5	<p>Researchers should recognise 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>UPDATE 2017: Launch of Staff Career Development Hub (May 2017). Enables employees in all job families to manage their career development by providing details of career pathways, and access to a suite of development materials to support self-directed learning.</p>
D5.6	<p>Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in</p>		<p>Pilot scheme in the School of Biosciences for the use of the RDF planner by researcher staff in preparation for their PDPR.</p>



<p>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 Ongoing promotion of Vitae RDF planner to research staff and their line managers <i>Success indicators: Increase (50%) in number of Research-only staff registering to use the planner tool. Participation of research staff in RDF planner training session.</i> Timescales: Ongoing, progress check annually in September. Action completed.</p> <p>See actions 3.1-3.14 regarding PDPR process.</p>	RI(GS)	<p>5.6.1 UPDATE 2017: Following evaluation of feedback, discussions with researchers and monitoring of prolonged use by registered users the decision was made to cease institutional-wide licence for Vitae RDF planner. Access through individual licences is promoted at induction sessions and during professional development sessions where appropriate. There are no plans to 'monitor' individual licence usage. Action completed.</p>
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## E: Equality and Diversity

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

	Concordat clause and UoN actions	Lead		Current compliance and progress 2015-17
E6.1	<p>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.</p> <p>6.1.1 The University encourages E&amp;D best practice sharing. WinSET to work closely with University committees and networks to share and encourage best practice amongst all schools. <i>Success indicators: implementation of best practices and demonstration of inclusion of good practice in school procedures and policies demonstrated through School AS action plans.</i> Timescales: Ongoing RSG to request report annually</p> <p>6.1.2 Continued engagement of Research Staff with E&amp;D events (i.e. WinSET annual conference, Black history month) and networks (Women's Staff Network, Black &amp; Minority Ethnic (BME) Staff Network, Lesbian, Gay, Bisexual, Transsexual and Questioning (LGBTQ) Staff Network, Carers' Staff Network, Disability Staff Network) <i>Success indicators: Increased engagement of research staff with E&amp;D events as demonstrated through attendance numbers.</i> Timescales: Ongoing. RSG to request report annually</p>	<p>WinSET</p> <p>HR, network coordinators</p>		<p>The University was awarded an <a href="#">institutional Silver award</a> in November 2012. The University will apply for institutional silver award in April 2016.</p> <p>UPDATE 2017: Resubmission of University action plan in December 2017.</p> <p>The University has a dedicated WinSET group.</p> <p>6.1.1 UPDATE 2017: New Faculty ED&amp;I groups to facilitate communication and sharing best practice between school AS teams and institutional E&amp;DI board</p> <p>All STEM schools have completed an application for Silver or Bronze badging, of these only 2 schools currently do not have an award and will resubmit before April 2016.</p>



E6.2	<p>As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</p> <p>See A1.1-1.5</p>		
E6.3	<p>It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</p> <p>6.3.1 Implementation of Athena SWAN action plans <i>Success indicators: As appropriate to relevant action plan (institutional-level and school-level)</i> <i>Timescales: Monitoring appropriate to action plans</i></p>	WinSET	<p>The University is active in running courses designed specifically to support women's career progression. The University offers an incredibly popular and highly praised one year development programme for women, <a href="#">Academics' and Administrators' Professional, Personal and Leadership Experience (APPLE)</a>. APPLE is open to all staff and has a research staff only learning set providing opportunities for early / mid-career research staff to develop leadership potential and professional skills. The learning sets offer a mentoring environment.</p> <p>In addition to the development opportunities, the University has a number of well-established active <a href="#">EDI networks</a>.</p> <p>UPDATE 2018: APPLE has been replaced/renamed <a href="#">Florence Boot Programme</a>.</p>
E6.4	<p>Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</p>	HR	<p>In light of the recent changes in national legislation the University's <a href="#">Flexible working policy</a> is currently being updated.</p> <p>HR monitor the number of staff across all job families, including research staff, who take maternity, paternity, adoption and parental leave. Including the amount of time taken and whether staff choose to return after their leave period.</p> <p>Both of the University's internally funded <a href="#">fellowship schemes</a> offer additional child care costs to support early career researchers Anne McLaren Fellowship (female-focused STEMM) and Nottingham Research Fellowship.</p>



E6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	HR	See E6.4
E6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.		HR information and policies (for example those addressing <a href="#">Fixed Term</a> , <a href="#">Equal Opportunities</a> and <a href="#">Redeployment</a> ) are available on the HR website and intranet and aim to improve accessibility to guidance for current and potential researchers and their line managers. This includes guidance, policies and support for researchers on parental (paternity and maternity) leave, and adoption leave
E6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	HR/PD	All job advertisements are worded gender neutrally, and University policies in relation to flexible working and child care availability are clearly stated. The Athena SWAN logo is featured on our advertisements from STEMM Schools to show our commitment to best working practices. Recruitment and selection training is mandatory for all Chairs to help direct a fair decision making process and limit any potential biases. The University is committed to ensuring interview panels are gender balanced.



E6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	HR/PD	See E6.4
E6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	HR	The University has a discrimination, bullying and harassment policy. <a href="#">Dignity at Nottingham: Staff &amp; student policy in harassment, bullying and victimisation</a> Its principles apply to all staff, students, associates and any contractors working on campus. The University has a network of Dignity Advisors.
E.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.  <b>10.1 Athena SWAN Silver University Award</b> University Action Plan to be fully implemented in accordance with planned timescale The University to apply for institutional Silver award using the new Athena SWAN guidance and forms. As a result of the introduction of the new requirements, the university will be applying for a new award rather than renewal. The application will be submitted in April 2016, to include implementation plans for a four year period up to 2020. <i>Success indicators: Completion of action points in accordance with planned timescales. Building on and retention of silver award.</i>	ISAT	The University was awarded an <a href="#">institutional Silver award</a> in November 2012.  10.1 Update 2017: The University submitted an application for continuation at Silver level in 2016. This was unsuccessful and the University was given a one-year period in which to address feedback and re-submit. The revised submission was made in Winter 2017. A decision is expected in Spring 2018.



<p><i>Timescales: April 2016</i></p> <p>10.2 Athena SWAN School/Faculty Awards: Individual school Athena SWAN Bronze and Silver action plans to be implemented.</p> <p>Timescales: Ongoing, according to award timelines for individual schools.</p> <p>Awards to be renewed and upgraded when current award expires.</p> <p>10.3 ALL STEMM Schools within the University to have applied and or renewed for Athena Awards</p> <p><i>Success indicators: All STEMM schools to complete preparation for submission of application</i></p> <p><i>Timescales: April 2016</i></p> <p>10.4 Non-STEMM Schools within the University to have applied or have in preparation applications for Athena SWAN</p> <p><i>Success indicators: All non-STEMM schools to undertake application preparation from November 2015</i></p> <p>Timescales: From Nov 2015 with majority of non-STEMM Schools to have awards by 2020</p>	<p>Award holding schools</p> <p>School SATs</p> <p>School SATs</p>	<p>10.2 Update 2017: All STEMM Schools hold Bronze (5) or Silver (6) except Veterinary Medicine and Science (submitted for Bronze winter 2017).</p> <p>Update 2017: School of Geography awarded Silver in 2016. Law applied for Bronze (2017, unsuccessful), all other non-STEMM Schools on track to submit in 2018.</p>
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## 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.**



F7.2	<p>The signatories agree:</p> <ol style="list-style-type: none"><li>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.</li><li>to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</li><li>to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</li><li>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).</li><li>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).</li></ol>		<p>Monitoring of the Concordat implementation action plan is undertaken by the <a href="#">Research Staff Group</a> and reported to Research Board.</p> <p>The RSG commissions regular reports from communities. Any matters arising are discussed at the RSG and feed into this action plan where appropriate.</p>
F7.3	<p>The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that the fund will adopt the principles of the revised Concordat.</p>		<p>No actions required</p>



F7.4	<p>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</p>		<p>The University has membership of Vitae and actively encourages it's researchers to engage with Vitae professional development training and resources.</p> <p>The University entered into an agreement.</p>
F7.5	<p>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.</p> <p>7.5.1 For actions see E.10.1. To be undertaken as part of the Athena SWAN award preparation. CROS data and analysis to feed into action plans and monitoring. Timescales: Winter 2017</p>	HR/WinSET	<p>In compliance with the Equality Act and to support the University's commitment to Equality and Diversity the <a href="#">Staff Annual Diversity Report</a> is published on the University website.</p> <p>CROS data also provides information on this. Gender equality data is collated by the University's WinSET group for STEMM Schools as part of the reporting processes for Athena SWAN.</p> <p>7.5.1 UPDATE 2017: Athena SWAN action plan and reporting project underway. Silver award action plan submitted Winter 2017.</p>

\*Where no additional actions have been identified at the current time we will continue to maintain activity, monitor and review on regular basis to ensure ongoing effectiveness. We will therefore be able to identify any further actions through this review process.



### **3. University of Nottingham Concordat Implementation Action Plan –new actions for 2018-2020**

The following section of the six year evaluation of the University of Nottingham's Concordat Implementation Action Plan includes new actions for the 2018-20 time period. This should be read in conjunction with the progress check document covering the period up to December 2017, which outlines progress on ongoing actions. New actions for 2018-20 have been identified and annotated with lead departments and include success indicators that will be used to facilitate the monitoring of the action implementations. To avoid repetition, ongoing actions have not been included in this section (see section 2: 2015-2017 Action plan) but will continue to be monitored and reported on in 2020. This action plan is a dynamic document and the RSG and lead departments will continue to monitor sector and organisational changes to ensure that our action plan remains fit-for-purpose, and any new actions or amendments will be incorporated where appropriate.

January and May 2018

## 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 clause and new actions for 2017-2020	Lead	Timescales	Success Indicator
A1.1	<b>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</b>	HR		
A1.2	<p><b>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.</b></p> <p>1.2.5 The university will undertake a project to review our current recruitment processes, in order to make recommendations for change to improve our ability to attract a diverse skilled candidate pool. This action updates and supersedes action 1.2.1.</p> <p>1.2.6 The University to undertake a trial of the 'Diversity by Design' approach to recruitment. Two new role profiles, in Research and Teaching and Teaching and Learning job families, to be piloted. Following the pilot in STEMM, to present report, including recommendations for potential roll out and pilot in non-STEMM (phase 2) to be presented to EDI board in July 2018.</p>	<p>HR</p> <p>HR</p>	<p>Recommendation report to UEB July 2018</p> <p>July 2018- report to EDI board</p> <p>Phase 2: Pilot in non-STEMM schools in 2019</p>	<p>Production of a report. Subject to sign off, work to timescales in action plan.</p> <p>Succesful sign off of the report and incorporation of recommendations within phase 2 pilot.</p>



A1.3	<b>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</b>	HR		
A1.4	<p><b>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.</b></p> <p>1.4.4 Undertake recruitment audit in 2018. The audit will identify,</p> <ul style="list-style-type: none"> <li>- priority areas requiring development that would ensure an inclusive recruitment process</li> <li>- any additional interventions/requirements required to facilitate panel Chairs are appropriately trained for the role.</li> </ul> <p>The findings of the audit to be fed into Diversity in Recruitment project discussions. This action supersedes action 1.4.2.</p>	<p>HR</p> <p>HR</p> <p>HR/PD</p>	<p>When requested</p> <p>Report September 2018</p> <p>Training launch March 2019</p>	<p>Internal processes in place to allow research-only staff reporting to be accessed by relevant working groups/departments on request.</p> <p>HR recruitment process to undergo internal audit.</p> <ul style="list-style-type: none"> <li>- Production of audit report with recommendations that ensure an inclusive recruitment process.</li> <li>- Implement audit outcomes and launch training for panel Chairs.</li> <li>- Delivered recruitment and selection training to 680 panel Chairs by March 2020.</li> </ul>
A1.5	<b>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.</b>	HR		

## 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 clause and UoN actions	Lead	Timescales	Success Measures
B2.1	<p><b>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.</b></p> <p>2.1.5 Develop and implement recruitment strategy for Research Staff representatives (minumum of two representatives per Faculty)</p>	RSG	Summer 2018	All 5 faculties represented on the Research Staff Group by September 2018 with continuity strategy in place to ensure sustainability of representation
B2.2	<p><b>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.</b></p>			



B2.3	<p><b>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.</b></p> <p>2.3.3 Working group undertaking a review of the current Research Leadership Provision (ECR and NRLP) to streamline with current LMA provision.</p> <p>2.3.4 As part of the Total Reward Strategy, a review will be undertaken of the recognition tools available to support recognition of high performance in individuals and teams. A review of products available in the market will be undertaken in order to inform a proposal to UEB for investment in a new employee hub/recognition platform. Following which procurement will be undertaken (assuming support is received).</p>	LMA/GS	<p>Review completed: Summer 2018</p> <p>Evaluation of cohort feedback Autumn 2019</p>	<p>Completion of review. Implementation of programme for 2018/2019 cohorts. Ensure numbers of Research-only staff receiving bespoke research leadership training are maintained at, at least 20 participants, in the new programme format.</p> <p>UEB paper produced to propose introduction of employee hub which includes recognition capability. If approved, launch of employee hub (including recognition platform) by July 2019.</p> <p>Further to consultation new recognition mechanisms in place by July 2020.</p>
		HR	<p>Paper to UEB May 2018</p> <p>Launch of recognition platform July 2019</p> <p>New recognition mechanisms in place by July 2020</p>	



B2.4	<p><b>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.</b></p>			
	2.4.3 Review of the redeployment policy and procedure	HR	May 2018 Implementation of policy May 2019	Review completed and submitted as paper to HR senior teams. Amended policy approved and implemented.
	2.4.4 Pilot scheme in the School of Life Sciences of a 'Postdoc Passport' a formal recognition/accreditation of teaching, assessment and supervision activity for postdocs. Pilot to be evaluated with the aim to roll out to other schools from 2019 and monitoring of engagement levels using the pilot scheme as benchmark.	School/C ES	Autumn 2018	Pilot completed and passport scheme rolled out to other schools in 2019 and monitoring of engagement levels using the pilot scheme as benchmark.
	2.4.5 Preparation of business case for the procurement of a new HR system.	HR	May 2019	Approval of business case and authority to proceed to procurement in 19/20 financial year.
	2.4.6 Development and implementation of Leaver's survey to ensure greater robustness in data to facilitate greater understanding of issues and creation of support measures around career progression for ECRs	HR/Schools	October 2018  Review recommendation May 2019 Intervention roll out September 2020	Recruitment of employment specialist to Employment Services Manager. Role holder to conduct an institutional review of the leaver process including current survey with delivery of recommendations.  Subject to recommendations and project sponsor sign off, development and roll out of intervention



B2.5	<b>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.</b>			
B2.6	<b>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.</b>			



## 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 UoN actions	Lead	Timescales	Success Measures
C3.1	<b>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.</b>	RSG/ CES/ RI(GS)		
C3.2	<p><b>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.</b></p> <p>3.2.2 Following feedback, an overhaul of the current CES provision for research staff to take place. New provision to include discipline (STEMM and HASS) tailored provision for academic and other sector career choices.</p>	CES/RI(GS)	Autumn 2017 Launch of new interventions 2018.	<ul style="list-style-type: none"> <li>• Launch of new provision with discipline and career pathway tailoring. Use of pilot with 20 researchers to gauge interest and engagement with new provision.</li> <li>• Completion of evaluation of participant feedback, with positive feedback reported.</li> </ul>





C3.5	<p><b>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.</b></p> <p>3.5.2 Establishing a staff career development hub with career pathways relevant to Research-only staff.</p> <p>Monitor usage of hub: Launch of hub and figures indicating early engagement of staff. Collect benchmark of hits since launch.</p>	HR/PD	<p>Launch September 2017</p> <p>Annual monitoring in September</p>	Maintain or increase benchmark (engagement within the first year of launch was 5% of the population) hits demonstrating continued engagement with resources.
C3.6	<p><b>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.</b></p>	CES/ RI(GS)		
C3.7	<p><b>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 practise those skills. For example, researchers may be given the opportunity to manage part of the</b></p>	PD/CES/ RI		



	<b>budget for a project, or to act as a mentor or advisor to other researchers and students.</b>			
C3.8	<b>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.</b>	RI(GS) /RSG/CE S		
C3.9	<b>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.</b>	RB/ RI(GS)		
C4.10	<b>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</b>			



	<b>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.</b>			
C4.11	<b>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.</b>			
C4.12	<b>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.</b>  4.12.2 Supervision training- monitor and continue to develop training provision through school-led interventions and supervisor seminar series specifically incorporating topics relevant to research staff.	RI(GS) /HoS  RI (GS)	July annually	Numbers of Research-only staff engaging with teaching and supervision training and development. Increase uptake of Research-only staff reporting that they have received training (currently 10%) in supervision with a target of 20% in line with numbers reporting that they currently undertake this role in staff surveys.
C4.13	<b>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 management committees.</b>	Faculty PVC, HoS, RSG		



C4.14	<b>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</b>			
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## D: Researchers' responsibilities

<b>Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.</b>				
	Concordat clause and UoN actions	Lead	Timescales	Success Measures
D5.1	<b>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</b>	Research ers, PIs		
D5.2	<b>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.</b>	RI/BEIS		
D5.3	<b>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.</b>	RB, RI, L		
D5.4	<b>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.</b>	CES, RI(GS)		



D5.5	<p><b>Researchers should recognise 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.</b></p> <p>5.3.5. Annual evaluation and review of the <a href="#">University's Publication Framework Institutional Strategy</a> incorporating UNUK Mechanisms for Support.</p> <p>See action 3.2.2 (careers), 3.3.1 (leadership and management) and 4.12.2 (supervision)</p>	<p>RI and LRL</p> <p>RI(GS)/LMA/CES</p>	<p>Annually, Review: April Framework: October</p>	<p>Production of updated framework in October each year</p>
D5.6	<p><b>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.</b></p> <p><i>See action 3.5.2 (PDPR)</i></p>	<p>RI(GS)</p> <p>HR</p>		



## E: Equality and Diversity

Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.				
	Concordat clause and UoN actions	Lead	Timescales	Success Measures
E6.1	<b>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.</b>	HR		
E6.2	<b>As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</b>			
E6.3	<b>It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.</b>  <a href="#">See action B2.4.5</a>			



E6.4	<p><b>Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</b></p> <p>6.4.1 Promotion of the ‘Conference and travel care fund’ and monitoring of uptake by research staff. Interventions to raise awareness of fund where necessary. Undertake an assessment of the impact of fund after first 2 years</p>	HR/RI (GS)	December 2019	To see an increase of 10% in the number of research staff who apply for the fund.
E6.5	<p><b>It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently</b></p>	HR		
E6.6	<p><b>Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.</b></p>			



E6.7	<b>Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.</b>	HR/PD		
E6.8	<b>Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.</b>	HR/PD		
E6.9	<b>All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.</b>	HR		
E.10	<b>Employers should also consider participation in schemes such as the Athena SWAN Charter, the</b>			



	<p><b>Juno Project and other initiatives aimed at promoting diversity in research careers.</b></p> <p>10.5 Athena SWAN Silver University Award The University to apply for institutional Silver award using the new Athena SWAN guidance and forms to include implementation plans for a four year period up to 2020.</p> <p>10.6 Implementation of actions according to timeframes outlined in the institutional action plan</p>	University Self-Assessment Team (USAT) As required	December 2017  Various	<p>Submission of institutional action plan.</p> <p>Completion of action points in accordance with planned timescales. Building on and retention of silver award.</p>
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## F: Implementation and Review

<b>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.</b>				
	Concordat clause and UoN actions	Lead	Timescales	Success Measures
F7.1	<p><b>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.</b></p> <p>7.1.3. Hold researcher consultation event on the sector wide 2017 consultation of the Concordat.</p>	RSG	December 2017	Consultation event held with attendees representing all faculties. Identification of researchers views on the Concordat 10 years on and current relevant issues.
F7.2	<p><b>The signatories agree:</b></p> <ul style="list-style-type: none"> <li><b>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.</b></li> <li><b>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</b></li> <li><b>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</b></li> </ul>	RSG		



	<p><b>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).</b></p> <p><b>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).</b></p>			
F7.3	<p><b>The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that the fund will adopt the principles of the revised Concordat.</b></p>			
F7.4	<p><b>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</b></p>			



F7.5	<b>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.</b>	HR		
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