

The University of Nottingham Concordat Implementation Action Plan 2015-2019

(Published September 2015)

The 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. This document captures the new actions agreed for 2015-2019 timeframe and outlines relevant initiatives, policies and best practices currently implemented at the University by Concordat principle. This document has been compiled as part of the 4 year review process and will be considered as part of the external EU HR Excellence in Research peer review process.

E-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 Assistant Pro Vice Chancellor for Research. Its membership includes Research Staff representatives from each of the faculties as well as a representative from the senior research staff network the Careers and Employability Service, Graduate School, Human Resources, Professional Development and Women in Science Engineering and Technology Group (WinSET). The RSG have also received input from academic schools and other 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 the results of the Careers in Research Online Surveys (2013 and 2015). This document outlines the progress against the actions identified in the original action plan (2011 – 15) and also identifies new actions for the reporting period 2015-2019. The original action plan (2011-15), 2 year internal review summary (September 2013) and 4 year external review summary (September 2015) can be downloaded at <http://www.nottingham.ac.uk/researchstaff/concordat/researchconcordat.aspx>.

Abbreviations

AS Athena SWAN

BEIS Business Engagement and Innovation Services

CES Careers and Employability Service

CROS Careers in Research Online Survey

GRT Global Research Themes

HoS Heads of School

RGS (GS) Graduate School

HR Human Resources

PD Professional Development

PDPR Professional Development and Performance Review

PI Principal Investigators

PIRLS Principal Investigators and Research Leaders Survey

RB Research Board

RGS Research and Graduate Services

RSG Research Staff Group

RPA Research Priority Area

WinSET Women in Science, Engineering and Technology

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 actions	Lead	Timescales	Current compliance and further information
A1.1	<p>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</p>	HR	Ongoing	<p>The University is committed to open and transparent recruitment, selection and retention processes. A new recruitment system, Nottingham.jobs.ac.uk, was launched in 2013.</p> <p>Guidance and support on the use of the system for both applicants and recruiters is available on the HR website</p>
A1.2	<p>Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.</p> <p>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". HR to develop an action plan for the implementation of these elements of the Strategy. <i>Success indicators: Not yet agreed but KPIs to be determined as part of the action plan.</i></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 (eg CV route of person specification).</p>	HR/RB	<p>Ongoing</p> <p>Ongoing – annual report to RSG (meeting 2)</p>	<p>The University advertises vacancies externally through appropriate media channels and on Jobs website 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 Fixed Term, Equal Opportunities and Redeployment) are available on the HR website and intranet and aims 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 HR website for international incoming new members of research staff.</p>

	<p><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></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</p> <p><i>Success indicators: Web analytics demonstrate that the resources are well used. Feedback from RSG web working group.</i></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.</p> <p><i>Success indicators: Review takes place and recommendations implemented.</i></p>	HR and RGS(GS)	Annual review of web analytics and RSG working group report (meeting 3)	
A1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	HR	Ongoing	As outlined in the University's Fixed Term policy, the University seeks to limit the use of fixed term contracts.
A1.4	<p>To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.</p> <p>1.4.1 Ensure interview and promotion panels are appropriately trained and representative.</p> <p><i>Success indicators: Increase in the proportion of staff</i></p>	HR/PD/HOS	Monitored appropriately	Well-established mandatory requirement for all recruiters to attend training (1 day training course on Recruitment and Selection) or complete the online recruitment materials and 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><i>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.</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.</p> <p><i>Success indicator – increase in the information and metrics on research only staff</i></p>	HR	Ongoing	
A1.5	<p>The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.</p>	HR	<p>Monitored at time of appointment</p>	<p>The Job Family Role Profiles (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>

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 actions	Lead	Timescales	Current compliance and further information
B2.1	<p>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.</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></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></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</i></p>	RSG RSG RSG	Ongoing Monitor and actively recruit, annually in Summer Ongoing Standing agenda item at RSG meetings 2017	<p>Current postdoc fora/research staff networks</p> <ul style="list-style-type: none"> • Life sciences 'Young Researcher Forum' • Faculty of engineering research staff network • Faculty of arts research staff network • Chemistry Postdoc Forum • University-wide Fellows network

	<p><i>to be measured by institutional questions in CROS 2017.</i></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.</p> <p><i>Success indicators: Number of representatives appointed; visibility of the representatives and committees/for a/network; feedback from CROS 2015 and 2017.</i></p>	RSG	Annually	
B2.2	Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCNES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.			See A.1.3
B2.3	Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.			<p>The RSG recommend that research managers and PIs should be provided with guidance and advice to support them in their role.</p> <p>Research Staff Development is now integrated into the University's broader People Strategy.</p> <p>The Professional Development and Graduate School offers training to support PIs with their management role. All staff undertake PDPR, which includes objective setting and the production of a PDP.</p> <p>The University has two leadership programmes for Researchers who have been identified as future research leaders. From 2015, both programmes were brought under the management of the Graduate</p>

	<p>2.3.1 Through the Early Career Researchers Leadership Programme (joint programme with University of Birmingham) and Research Leaders Programme to train the current high performance PIs and the next generation of research leaders in good practice.</p> <p><i>Success indicators: Number of participants engaging in the programme.</i></p> <p>2.3.2 Actions associated with the University Strategy 2020, Mechanism 1.5: To introduce a wider range of instruments to recognise and reward individuals and teams performing at the highest levels with respect to research excellence.</p>	RGS(GS) /PD	Annual	School
B2.4	<p>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.</p> <p>Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.</p> <p>2.4.1 The University should monitor Research Staff engagement with redeployment processes and opportunities and seek to increase uptake.</p> <p><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> <p>2.4.2 Monitor bridging funding schemes and share practices across the institution. Report outcomes of such schemes to Research Board.</p> <p><i>Success indicators: Demonstrable research outputs resulting from bridging funding period and other scheme awards.</i></p>	<p>RB/HR</p> <p>RSG/HR</p> <p>RGS</p>	<p>As Strategy 2020 implemented. From Jan 2016</p> <p>Annual Autumn meeting and HR reporting with actions as necessary.</p> <p>As appropriate to scheme</p>	<p>Redeployment 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>Guidance and support is available on the HR intranet 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>Bridging funding Past and current schemes (open to all disciplines) include,</p> <ul style="list-style-type: none"> • Bridging the gaps: Next generation Feasibility Award • UNICAS@GS and UNICAS sandpit and pump-prime funding UNICAS scheme • Discipline bridging

B2.5	<p>Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.</p> <p>B2.5.1 Awareness event on RESAVER, the Pan-European pension scheme for researchers. <i>Success indicators: Engagement with event by research staff from all disciplines.</i></p>			See A1.3 and A1.5
B2.6	<p>Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.</p> <p>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>	HR/RGS(GS)	March 2016	See A1.4 and A1.5

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 actions	Lead	Timescales	Current compliance and further information
C3.1	<p>It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.</p> <p>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>3.1.3 Evolution of the current provision of career management and development training courses for</p>	RSG/ CES CES CES	CROS 2015 results December 2015 July 2016 October 2015	The University of Nottingham has a dedicated Senior Careers Advisor for Research Staff , providing training courses and individual guidance appointments. In addition, researcher staff are entitled to use the Careers and Employability Services resources and support.

	<p>research staff.</p> <p><i>Success indicators: Delivery of a suite of three linked courses to be delivered where significant numbers of researchers are employed with increased participation (average of 75% attendance figures)</i></p> <p>3.1.3 Promote opportunities for CPD to be undertaken as part of the research project (e.g. managing resources, writing funding applications, time management, leadership) and through engaging in other types of activity (peer review, committees, public engagement).</p> <p><i>Success indicators: Take up of such opportunities by Researchers, feedback and evaluation</i></p> <p>3.1.4 Improve awareness amongst both PIs and researchers of professional development resources and initiatives. Improve online materials on Research Staff website to assist with identification of opportunities.</p> <p>3.1.5 Respond to feedback from researchers for more tailoring development opportunities addressing specific career stages,</p> <ul style="list-style-type: none"> • Post docs (1st position within 2 years of PhD) • Experienced Research Staff (more than 3 years post doc and non-doctorate, approaching end of contract) • Fellows <p><i>Success indicator: Take up and researcher feedback on activities.</i></p>	RGS(GS)	Ongoing Semester e-newsletter and social media as appropriate	
C3.2	<p>A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</p>			

	<p>3.2.1 Increase awareness and uptake of mobility opportunities by research staff. <i>Success indicator: Uptake of mobility opportunities research staff.</i></p> <p>3.2.2 Improved capture of research staff destinations and development of case studies to promote the breadth of career paths to researchers and their PIs. <i>Success indicator: Report on leavers' survey data regarding research staff destinations.</i></p>	RGS(GS) HR/CES	<p>March 2016 conference; Website updates October 2015</p> <p>Monitoring of progress July 2017</p>	
C3.3	<p>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.</p> <p>See C3.1</p>			<p>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 central short courses booking system (csc)</p>
C3.4	<p>All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.</p> <p>See C3.1</p>			See C3.1

C3.5	<p>Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.</p> <p>3.5.1 Evaluation data shows an improvement in perceived overall usefulness of the PDPR process in respect to career development.</p> <p>See A1.3, A1.5, C3.7, C3.8 and C3.10</p>	HR/PD	Annual monitoring	<p>Mandatory PDPR meetings encourages and facilitates 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 focussing on the progress and development of the individual and not side-tracked to project progression.</p>
C3.6	<p>Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.</p> <p>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 of awareness of and take up of induction provision and perceived usefulness by participants.</i></p>	CES/ RGS(GS)		<p>The University provides a comprehensive induction programme for new members of staff.</p> <ul style="list-style-type: none"> - University-wide, all staff (including research staff) - Induction for new research staff - Academic school inductions <p>Research group orientation on an <i>ad hoc</i> basis.</p> <p>All new Research Staff 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>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</p>			<p>Sample role profiles for all R&T-R job family are available on the HR website. Careers guidance workshops actively encourage researchers to explore these pages.</p>

	<p>be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.</p> <p>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>			<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>Employers also should provide a specific research career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.</p> <p>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></p> <p>3.8.2 Audit current mentoring arrangements for research staff and share practice.</p> <p>3.8.3. To design and implement an appropriate evaluation system for individual guidance appointments for research staff.</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</p>	<p>PD/CES/ RGS</p> <p>RGS(GS) /RSG/CE S</p> <p>RGS(GS)</p> <p>CES</p> <p>CES</p>	<p></p> <p>Evaluation of CROS 2015 data December 2015 Targets for 2016</p> <p>December 2016</p> <p>2016/17 academic year</p> <p>November 2015</p>	

	<p>delivered where significant numbers of researchers are employed.</p> <p><i>Success indicator: Increased participation with training</i></p>			
C3.9	<p>Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.</p> <p>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 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>	RB/ RGS(GS)	Strategy 2020 action plan from January 2016.	
C3.10	<p>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</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 promotions' criteria was revised to include specific research activity performance indicators/standards.

	<p>performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.</p> <p>C3.10.1 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></p> <p>C3.10.2 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. <i>Success indicators: researcher awareness of RDF measured through Research staff engagement with the RDF planner.</i></p>	<p>HR/ RGS(GS)</p> <p>RGS(GS)</p>	<p>Dec 2015 & Dec 2017</p> <p>Ongoing and monitor Dec 2015 & Dec 2017</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 HR website-guides and support for performance at work</p> <p>All reviewers are required to undertake mandatory training 'PDPR – How To Be An Effective Reviewer'. This training provides reviewers of research staff to utilise the whole PDPR process including the competency framework for research staff members.</p> <p>Training courses available for research staff on how to prepare for PDPR meetings.</p>
C3.11	<p>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.</p> <p>See C3.1 and C3.10</p>			<p>The Graduate School and Professional Development undertakes 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 www.nottingham.ac.uk/csc</p> <p>All research staff have access to training on topics relevant to academic practice which are designed to prepare researchers for including:</p> <ul style="list-style-type: none"> - teaching and learning - research integrity - people management and supervision

				<ul style="list-style-type: none"> - networking - time management
C3.12	<p>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.</p> <p>3.12.1 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 awards, 'The Postdoctoral Staff Teaching and Learning Award'.</p>	RGS(GS) /HoS	May 2016	<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, Supporting Students Doing Undergraduate Projects and Dissertations workshop.</p>
C3.13	<p>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.</p> <p>C3.13.1 To promote the inclusion of research staff in committee structures at the faculty and School level.</p> <p>C3.13.2 To provide guidance and case studies for Research Staff on increasing their involvement in local and institutional committees and the decision-making process.</p> <p><i>Success indicators: new section on Research Staff website on committees and benefits of engagement.</i></p>	Faculty PVC, HoS, RSG RGS(GS)	Ongoing September 2016	<p>Many School self-assessment teams include Research Staff and is considered best practice in STEMM. Research Staff members also part of WinSET and 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 sustainable level of representation in the group.</p>
C3.14	<p>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</p> <p>C3.14.1 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</p>	Research Strategy Task	Timeframes for actions to be defined in	<p>As part of the people Strategy and Athena SWAN a gap analysis has been conducted across the University to identify current mentoring schemes. This gap analysis will be reported and best practice highlighted to the institution an</p>

<p>within the Work Load Planning Framework (WLPF) and as part of the Personal Development and Performance Review (PDPR) process.</p> <p>C3.14.2 Evaluate mentoring schemes available to staff and explore development of integrated mentoring scheme for academic staff (combining existing Athena SWAN and researcher schemes).</p> <p><i>Success indicators: better communication of mentoring opportunities and best practices; increased awareness of mentoring opportunities; increased mentor relationships.</i></p>	<p>Force and Working Groups</p> <p>PD</p>	<p>Strategy action plan</p> <p>Initial gap analysis Feb 2016</p>	
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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 actions	Lead	Timescales	Current compliance and further information
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></p>	Researchers, PIs	Monitor annually September 2016	In support of the implementation of the Concordat to Support Research Integrity. The University produces an annual statement on Research Integrity to the University's Council on the actions undertaken to sustain and further enhance research integrity.
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>D5.2.2 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></p> <p>D5.2.1 Implementation of the Knowledge Exchange Framework.</p>	RGS/BEIS RGS(GS)	Expected Dec 2015. Ongoing with appropriate framework action monitoring	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.

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><i>D5.3.2 Promotion of good practice in Research Data Management and delivery of training provision.</i> <i>Success indicators: Increased awareness of RDM as indicated by CROS responses; uptake of training by research staff.</i></p> <p><i>D5.3.3 Improve researcher awareness of Open Research data resources and management.</i> <i>Success indicators: greater awareness of Open Access in CROS data; increase in usage of Nottingham Research Data Management Repository.</i></p> <p><i>D5.3.4 Researchers are encouraged to register for an Orchid ID. Promotion of Open access at various events and Research Staff Conference.</i> <i>Success indicators: greater awareness of Open Access in CROS data.</i></p> <p><i>D5.3.1 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 thereby describing academics and their research team's successes, experience, knowledge and capabilities.</i></p>	<p>RGS(GS) /LRL</p> <p>LRL</p> <p>LRL</p> <p>RB, RGS</p>	<p>Monitor December 2015, 2017</p> <p>Monitor December 2015, 2017</p> <p>Monitor December 2015, 2017</p> <p>Initial project scoping 2015/16 Actions identified during project</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"> • Code of Research Conduct and Research Ethics 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. • Research data management- training courses available both face-to-face and online provisions. 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. • Open Access Policy 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 the RCUKs Concordat on Open Research Data <p>New project developments: Research Intelligence Solution (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. To facilitate researchers and research management to monitor grants and existing projects and thereby describing their successes, experience, knowledge and capabilities.</p>
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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>			
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>D5.6.1 Ongoing promotion of Vitae RDF planner to research staff. <i>Success indicators: Increase (50%) in number Research Staff registering to use the planner tool. Participation of research staff in RDF planner training session.</i></p> <p>See actions 3.1-3.14 regarding PDPR process.</p>	<p>RGS(GS)</p>	<p>Ongoing Targets by Summer 2016</p>	
D5.6	<p>Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.</p>			<p>Pilot scheme in the School of Biosciences for the use of the RDF planner by researcher staff in preparation for their PDPR.</p>

	<p>D5.6.1 Ongoing promotion of Vitae RDF planner to research staff and their line managers</p> <p><i>Success indicators: Increase (50%) in number Research Staff registering to use the planner tool. Participation of research staff in RDF planner training session.</i></p> <p>See actions 3.1-3.14 regarding PDPR process.</p>	RGS(GS)	Ongoing, progress check annually in September	
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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 actions	Lead	Timescales	Current compliance and further information
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>E6.1.1 The University encourages E&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></p> <p>E6.1.2 Continued engagement of Research Staff with E&D events (i.e. WinSET annual conference, Black history month) and networks (Women's Staff Network, Black & Minority Ethnic (BME) Staff Network, Lesbian, Gay, Bisexual, Transexual and Questioning (LGBTQ) Staff Network, Carers' Staff Network, Disability Staff Network) <i>Success indicators: Increased engagement of research staff with E&D events as demonstrated through attendance numbers.</i></p>	WinSET HR, network coordinators	Ongoing RSG to request report annually Ongoing RSG to request report annually	<p>The University was awarded an institutional Silver award in November 2012. The University will apply for institutional silver award in April 2016.</p> <p>The University has a dedicated WinSET group. All STEMM 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>E6.3.1 Implementation of Athena SWAN action plans <i>Success indicators: As appropriate to relevant action plan (institutional-level and school-level)</i></p>	WinSET	Monitoring appropriate to action plans	<p>The University is active in running courses designed specifically to support women's career progression. The University offers an incredible popular and highly praised one year development programme for women, Academics' and Administrators' Professional, Personal and Leadership Experience (APPLE). 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 E&D networks.</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 Flexible working policy 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 fellowship schemes offer additional child care costs to support early career researchers Anne McLaren Fellowship (female only 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.		No actions	<p>HR information and policies (for example those addressing Fixed Term, Equal Opportunities and Redeployment) are available on the HR website and intranet and aims to improve accessibility to guidance for current and potential researchers and their line manager.</p> <p>This includes guidance, policies and support for researchers on parental (paternity and maternity) leave, adoption leave</p>
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		<p>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 SET 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.</p>

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		<p>The University has a discrimination, bullying and harassment policy.</p> <p>Dignity at Nottingham: Staff & student policy in harassment, bullying and victimisation Its principles apply to all staff, students, associates and any contractors working on campus. The University has a network of Dignity Advisors.</p>
E.10	<p>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.</p> <p>E.10.1 Athena SWAN Silver University Award 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></p>	University Self-Assessment Team (USAT)	April 2016	<p>The University was awarded an institutional Silver award in November 2012.</p>

	<p>E10.2 Athena SWAN School/Faculty Awards: Individual school Athena SWAN Bronze and Silver action plans to be implemented.</p> <p>Awards to be renewed and upgraded when current award expires.</p> <p>E10.3 ALL STEMM Schools within the University to have applied and or renewed for Athena Awards <i>Success indicators: All STEMM schools to complete preparation for submission of application</i></p> <p>E10.4 Non-STEMM Schools within the University to have applied or have in preparation applications for Athena SWAN <i>Success indicators: All non-STEMM schools to undertake application preparation from November 2015</i></p>	<p>Award holding schools</p> <p>School Self - Assessment Teams</p> <p>School Self - Assessment Teams</p>	<p>Ongoing, according to award timelines for individual schools.</p> <p>April 2016</p> <p>From Nov 2015 with majority of non-STEMM Schools to have awards by 2020</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.

	Concordat clause and actions	Lead	Timescales	Current compliance and further information
F7.1	<p>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.</p> <p>F7.1.1 The University will undertake gap analyses and progress activities required to maintain the HR Excellence in Research Award. Maximising the promotion of the 'HR Excellence' badge for recruitment</p> <p><i>Success indicators: Timely completion of all actions in line with expected deadlines, identified through RSG commissioned reports. On-going identification of new and evolving actions to ensure changes in the research landscape are addressed and reflected.</i></p> <p>F7.1.2 Faculty-level CROS 2017 data to be disseminated to Faculty Research Board to facilitate discussion of schools' practices in relation to research staff and the implementation of the Concordat. Feedback will be used to:</p> <ul style="list-style-type: none"> • Monitor progress and developments at a local-level; • Identify and share good practice within the Institution. <p><i>Success indicators: Increased communication across faculties regarding good-practice. Development of best-practice frameworks within faculties.</i></p>	RSG/RB/ HR RSG	<p>Annual gap analysis, semester 2. Reporting by identified communities to RSG at meeting 2 annually</p> <p>Autumn 2016 and 2018</p>	

F7.2	<p>The signatories agree:</p> <ol style="list-style-type: none"> 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. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat. c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report. 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). 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). 			<p>Monitoring of the Concordat implementation action plan is undertaken by the Research Staff Group 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</p>			<p>The University has membership of Vitae and actively encourages its researchers to engage with Vitae professional development training and resources.</p>

	<p>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 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>F7.5.1 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.</p>	HR/WinSET	Ongoing	<p>In compliance with the Equality Act and to support the University's commitment to Equality and Diversity the Staff Annual Diversity Report 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>

*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.