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# **The 2008 Concordat to Support the Career Development of Researchers**

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

January 2020



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## 1. Report of the eight year review of the implementation of the 2008 Concordat to Support Career Development (January 2020)

### I. Review and evaluation

The review and evaluation of the University of Nottingham's Concordat Action Plan (2011-2019) was conducted by the Research Staff Group (RSG), on behalf of the University's Research Committee. 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 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 a Research Staff Survey (Spring 2019) conducted as part of the consultation on the Graduate School Review, 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 opportunities to enrich Nottingham's research environment and to support its researchers.

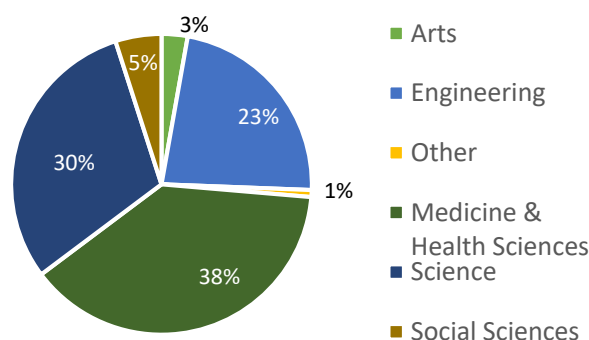


Figure 1: Research-only staff population by faculty at the University of Nottingham, UK (October 2019)

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>

This report reviews the University's progress against the 2008 Concordat to Support the Career Development of Researchers. In September 2019, this original Concordat was replaced by the new Researcher Development Concordat. This report was prepared during the transition period between the publication of the new Researcher Development Concordat and the University of Nottingham becoming a signatory to the new 2019 Concordat.

It is our intention that any outstanding actions from our 2017-2019 action plan will be taken forward and incorporated within the university's implementation plans for the new 2019 Concordat. The benchmarking and creation of a new action plan will be agreed through the relevant Committees and processes in 2020/21, in line with the commitments to signatories and the HR Excellence in Research Award guidelines.

The purpose of this report is therefore to review progress made against our institutional action plans (primarily 2017-19 action plan) for the implementation of the 2008 Concordat as published in

2017. All ongoing and incomplete actions from the 2017-2019 action plan have been consolidated into section 3 of this document, which will inform our new Concordat Action Plan. Section 4 comprises an initial RAG analysis of institutional readiness for the new 2019 Researcher Development Concordat. The latter are presented in lieu of a 2020-2022 action plan.

## II. Key achievements and progress (2008 Concordat principles)

The following section outlines the key achievements and progress against indicators and actions identified in the review of the University of Nottingham's Concordat Action Plan 2017-2019. The following are significant advancements, which bolsters our current provision of support, policies, training and development initiatives that benefit and assist our research-only staff community.

### *Principle 1: Recruitment and selection*

Following an audit and review of recruitment in 2018 changes were introduced to recruitment profiles and interviews to provide greater focus on behavioural competencies. To facilitate this a mandatory programme of training for all members of recruitment panels and Chairs was rolled out with an initial phase due for completion by April 2020. To date, 41 training sessions have taken place with 627 individuals trained (across all staff groups). By 31 March 2020, 73 sessions will have been held with an expected 1420 trained staff.

In May 2019, the university's [Redeployment Policy](#) was refreshed and additional resources for managers and employees were published on the university's intranet.

The University continues to expand its internal fellowship schemes aiming to attract, identify, develop and retain high performing talent. The university's ambition is to recruit 100 Nottingham Research and Anne McLaren Fellows by the end of 2022, to date 63 Fellows have been recruited.

### *Principle 2: Recognition and Value*

The Nottingham Reward Scheme (NRS) launched on 1 August 2019 following extensive engagement with University stakeholders including three rounds of focus groups attended by over 400 members of staff. The new Recognition Platform enables, depending on award level, any employee to self-nominate or nominate others for recognition of a variety of activities including participation academic community activities such as committee representations. Reward through NRS is no longer linked to the institutional appraisal process referred to as Personal Development and Performance Review (PDPR).

In August 2019, the PDPR process was replaced with the new Appraisal and Development Conversation (ADC) process. The ADC will be rolled out throughout the institution for all staff groups in the 2020 review period. Uptake of the PDPR process by research staff has always been significantly higher than the sector average and in the 2019 Graduate School Review survey, 92% of respondents reported undertaking a PDPR in the previous 12 month period with 92 and 90% reported in CROS 2013 and 2015. Successful adoption and engagement of the ADC by research staff will be monitored in subsequent staff surveys and through HR implementation of an evaluation project in 2021/2.

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

In the 2019 Research Staff Survey, 52% of respondents reported they were involved informally with the supervision of doctoral students and 54% in Masters and Undergraduate project students. Of the respondents, 4% indicated a desire for training in supervision, conversely 29% said this wasn't of interest currently.

A key recommendation arising from this and articulated in the 2019 Graduate School Review was for improved mechanisms for formal recognition of the additional roles and responsibilities that



research-only staff undertake. In particular the contribution that researchers make to supervision of doctoral researchers. In January 2020, the University's Quality Standards Committee agreed to the inclusion of an 'Associate-Supervisor' role to the supervisory doctoral team. This will formally recognise the contribution that research-only staff make to doctoral supervision. Amendments will specify the eligibility criteria and responsibilities for the role, and ensure that training and mentoring is in place.

The institutional [Supervisor Seminar Series](#) is open to research-only staff as well as Academic staff attendees and covers a range of topical supervision issues with guest speakers sharing their experience and best practice. Year on year, there has been an increase in research-only staff attending the series; an average of 30 attendees per session of which 40-66% were research-only staff in 2018/9.

#### *Principle 5: Researchers' responsibilities*

In 2017, the university launched the [UoN Publication Framework](#). A series of information, workshops and roadshows took place in autumn 2017, 63% of attendees were research active staff. This initial momentum has been maintained through a series of workshops and information events in 2018/2019 academic year and continues into 2019/20. In 2018/19, 329 research active staff attended one or more of the sessions, which covered topics such as Plan S, Open Access, RIS and publication metrics.

The [Conference and Training Care Fund](#) was launched in 2017 with uptake across all staff groups at approximately 10 per year. The fund allows for the funding of additional childcare costs to be met when a member of staff attends an external or internal conference for developmental purposes or training event. In 2018, a review of the fund led to an expansion of its remit and clarification of eligibility. A further review is due to introduce further changes during 2020 to help increase uptake further.

A Responsible Research and Innovation Conference October 2019 including keynotes and panel sessions considering society and responsibility; innovation and sustainability; responsibility in research and policy; and disciplinary areas of molecules, food and energy. 140 researchers attended the conference, of which 14% were research-only staff.

#### *Principle 6: Equality and diversity*

In 2017/18, the university was successful in its renewal of an [institutional Athena Swan Silver award](#). In addition, the Faculty of Engineering and nine Schools, including one non-STEMM school, hold a Silver award. Bronze awards are held by three STEMM schools and by three non-STEMM schools, and two non-STEMM schools are awaiting decisions.

To support the Athena Swan Institutional Action Plan, and in response to the 2017 Staff Engagement Survey results, a number of activities took place in 2018 relating to wellbeing. Most notably, the delivery of the University's Week of Wellbeing and launch of the Wellbeing Hub (as part of the Employee Hub) in November 2018. As part of this work a Wellbeing Strategic Delivery Plan is being developed.

The university has an extensive network of Mental Health First Aiders and Dignity Advisors. The [Dignity Advisor Network](#), comprising 33 individuals spanning across the university, provide impartial and confidential advice to support staff (and students) who have issues/concerns regarding harassment, bullying or victimisation.

#### *Principle 7: Implementation and Review*

Members of the RSG provide regular reports on schools and Faculty practices and local implementation of the Concordat Principles, as well as providing feedback from local research staff



fora/networks and events. 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.

In addition, as part of a 2019 Graduate School Review a series of stakeholder consultations were undertaken. This included both focus groups and a Research-only Staff Survey in Spring 2019. The survey had a 15% response rate and resulted in a series of specific recommendations related to Research Staff, which are informing our next steps and future strategy and have been taken into consideration within this review report.

### III. Next steps and strategy for 2020 onwards

The focus of our strategy for the next 4 years will include,

- 1) Formation of the Researcher Academy: In 2020, the current Graduate School will be replaced by the Researcher Academy with a remit to nurture the careers of our research-focussed colleagues throughout their research journey at Nottingham. The Researcher Academy will have an overarching remit to support and strategically lead on initiatives that benefit all career stages from doctoral candidate through to Professorial level and most crucially bolstering provisions for our research-only staff population.

*Success indicator: Tailored and cohesive provision for all career stages of the researcher irrespective of the discipline location within the organisation. A clearly defined remit for the Researcher Academy and a recognisable entity within the institution for stakeholders (research-only staff and their line managers).*

- 2) Improved infrastructure and governance in relation to research staff both at the institutional and Faculty-level. The Research Staff Group (RSG, current steering group for Concordat) will continue to be chaired by the APVC Graduate School and Researcher Career Development, and will report directly to Research Committee, which reports to the University's Senate. As part of the Researcher Academy infrastructure and governance, new embedded Faculty-lead roles for the Researcher Academy (RAFLs) will be created. The roles will be held by senior academics embedding the researcher agenda within Faculty structures, through working closely with local research staff networks and fora and faculty committees and structures. The RAFLs will report into the Research Academy committee structures, ensuring a bottom up approach is embedded.

*Success indicator: improved governance structures in relation to research staff and the issues that affect them. These improved governance reporting and structures will facilitate the profile raising of research-only staff at both grass roots and senior management levels within the university and locally within Faculty structures.*

- 3) Develop a Research Staff Plan in accordance with the Institutional People Plan that draws together multiple action points from different functions and strategies into a coherent whole, with input from a broad range of stakeholders i.e. Faculties, Schools, Researcher Academy, HR, Concordat Action Plan, Athena Swan, Research Strategy, Funding body requirements.

*Success indicators: Creation of plan with appropriate timescales and ongoing implementation of actions in line with the institutional strategies.*

- 4) Signatory to the new Researcher Development Concordat 2019, including undertaking a benchmark of current provision against the new Concordat and development of new action plans for 2020-2024.

*Success indicator: Institutional commitment to the revised Concordat and development of implementation action plan.*



## 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
GEN	Gender Equality Nottingham (formerly WinSET)
GRT	Global Research Themes
HoS	Head of School
HR	Human Resources
LMA	Leadership and Management Academy
NL	University of Nottingham Libraries (formerly LRLR)
PD	Professional Development
PDPR	Professional Development and Performance Review
PI	Principal Investigator
RA	Researcher Academy (to replace Graduate School in 2020)
RAFL	Researcher Academy Faculty leads
RC	Research Committee (formerly Research Board, RB)
RI (GS)	Graduate School
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 (now disbanded)





## **2. University of Nottingham Concordat Implementation Action Plan 2015-2019 (2008 Concordat): progress updates December 2019**

The six year evaluation of The University of Nottingham's Concordat Implementation Action Plan (2011-2017) was coordinated by the University's Research Staff Group (RSG) in summer 2017 and an updated action plan covering the period 2017-19 was developed. The following section provides an update, as of Dec 2019, of that action plan and captures additional progress since summer 2017. It outlines, by Concordat principles, the relevant initiatives, policies and best practices currently implemented at the University. The 2017 and 2019 updates have been highlighted and the status of the actions noted (completed, ongoing, delayed, no longer required).

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 Committee 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 Careers and Employability Service, Graduate School and Human Resources. 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 2019 Research Staff survey, which was undertaken as part of the Graduate School Review in Spring 2019.

This document, initial gap analysis undertaken in 2011, the action plans (2011-3, 2014-15), 2 year internal review summary (September 2013), 4 year external review summary (September 2015) and 6 year internal review summary (January 2018) can be downloaded at <https://www.nottingham.ac.uk/researchstaff/concordat/index.aspx>.

*December 2019*





## 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 (AP: 2015-17) 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.</p> <p><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. All job advertisements include person specifications and job descriptions as standard. 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>, and <a href="#">webpages for international incoming new members of research staff</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>Further to the introduction of Global Strategy 2020, the University has developed and implemented the <a href="#">Global People Strategy 2020</a> and <a href="#">HR Strategy 2020</a>. 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.</p> <p>This action has now been superseded by action 1.2.5 in AP 17-19</p>



<p>Timescale: Recommendation report to UEB for approval July 2018.</p> <p>1.2.2 (AP 2015-17) 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> Timescale: Staff surveys running in Spring 2019</p> <p>1.2.3 (AP 2015-17) 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> Timescale: October 2017 and user consultation 2018</p> <p>1.2.4 (AP 2015-17) 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></p>	<p>HR</p> <p>HR and RI(GS)</p> <p>HR</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 update. 1.2.2 UPDATE 2019: COMPLETED Action superseded by 1.2.6 AP 2017-19</p> <p>1.2.3 UPDATE 2019: COMPLETED HR website relaunched in October 2017. Internal monitoring of analytics by HR. The user consultation was undertaken during the web page development phase of the project. The website was launched in October 2017 and user engagement continues to be monitored by HR.</p> <p>1.2.4 UPDATE 2018: COMPLETED. 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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	<p>Timescale: Implementation by 2017</p> <p>1.2.5 (AP 2017-19) 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. <i>Success indicators: Production of a report. Subject to sign off, work to timescales in action plan.</i> Timescales: Recommendation report to UEB July 2018.</p> <p>1.2.6 (AP 2017-19) 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. <i>Success indicators: Successful sign-off of the report and incorporation of recommendations within phase 2 pilot.</i> Timescales: July 2018- report to EDI board. Phase 2 pilot in non-STEMM schools in 2019</p>	HR		<p>1.2.5 UPDATE 2019: ONGOING 'Diversity in Recruitment' recommendations were approved by UEB (Oct 2018). Ongoing implementation of project; building recruitment brand, developing for local needs at School/Faculty level, and specific job family. A Talent Attraction Specialist is in post working with Research Beacons to enable the recruitment of highly talented researchers.</p>
		HR		<p>1.2.6 UPDATE 2019: COMPLETED As part of the 'Diversity by Design' project, two role profiles were piloted for use in the Faculty of Engineering. Following this initial pilot, the project was taken forward as a project funded through the EPSRC (PI Sam Kingman, Faculty PVC) which will focus on inclusivity in STEMM. The project is running with engagement from other HEIs and initially funded for 2 years.</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		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	<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</b>			Well-established mandatory requirement for all recruiters to attend training (0.5-day training course on <a href="#">Interview Skills for Chair and Panel Members</a> ) or complete the online recruitment materials. Compliance with this is a specific question asked by HR



<p><b>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 (AP 2015-17) 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 (AP 2015-17) 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 (AP 2015-17) 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>1.4.4 (AP 2017-19) 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> </ul>	<p>HR/PD/HoS</p> <p>HR</p> <p>HR</p> <p>HR</p>	<p>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>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>1.4.1 UPDATE 2019: ONGOING monitoring <a href="#">Unconscious Bias online training</a> (intranet) is available to all staff. Uptake to be monitored 18 months post launch of new intervention.</p> <p>1.4.2 (AP 2015-17):COMPLETED Business as usual HR continue to monitor and take actions were appropriate. See action 1.4.4</p> <p>1.4.4 UPDATE 2019: ONGOING with roll out in 2020. Recruitment audit conducted and resulting actions delivered on time. Initial phase covering training for recruitment panel members and Chairs to be completed by 31<sup>st</sup> March 2020, all staff must have been trained to be in a panel. To date 41 sessions have</p>
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	<ul style="list-style-type: none"> <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. <i>Success indicator: Internal processes in place to allow research-only staff reporting to be accessed by relevant working groups/departments on request.</i> <i>HR recruitment process to undergo internal audit.</i></p> <ul style="list-style-type: none"> <li>- <i>Production of audit report with recommendations that ensure an inclusive recruitment process.</i></li> <li>- <i>Implement audit outcomes and launch training for panel Chairs.</i></li> <li>- <i>Delivered recruitment and selection training to 680 panel Chairs by March 2020.</i></li> </ul> <p>Timescales: Report September 2018 and training launch March 2019</p>		<p>taken place with 627 individual trained (across all staff groups). By 31 March 2020, 73 sessions will have taken place. The specialist training for managers will be rolled out in 2020.</p>
A1.5	<p><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></p>	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>



## 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
<b>B2.1</b>	<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. (AP 2015-17) 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. (AP 2015-17) 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>Lead</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>2.1.1 UPDATE 2019: ONGOING monitoring CROS 2015 survey responses revealed that 41% of researchers actively participated in their local representative channels (Fora or research staff group). 2019 RS Survey 65% of the respondents indicated that they had an awareness of local RS representative channels and 25% reported having actively engaged.</p> <p>2.1.2 UPDATE 2019: COMPLETED Mapping of research staff fora across the institution completed.</p> <p>2.1.2 UPDATE 2019: ONGOING New role will be introduced in Spring 2020, Researcher Academy Faculty Leads (RAFL), this will be a dual role or two roles focussing on PGRs and ECRs. Part of the RAFL (ECR)'s role will be to develop sustainable fora within their respective faculty.</p>



	<p>2.1.3 (AP 2015-17) Ensure that Research Staff are represented in the Research Strategy developments in relation to Global Research Themes and Research Priority Areas.</p> <p><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></p> <p>Timescales: annual monitoring</p>	RSG	<p>2.1.3 UPDATE 2019: COMPLETED</p> <p>Six roadshows held in September and October 2016 for research staff on the developments in the Research Strategy were held. The PVC for Research and Knowledge Exchange delivered the roadshows. White and Green Paper open consultation undertaken in 2019, all staff invited to contribute to new University Strategies.</p>
	<p>2.1.4 (AP 2015-17) 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 staff surveys.</i></p> <p>Timescales: Staff surveys in 2019</p>	RSG	<p>2.1.4 UPDATE 2019: ONGOING</p> <p>A new Chair was appointed in 2018, since appointment, 4 meetings of the RSG have taken place. In the recent 2019 RS survey 13% reported that they had heard of and engaged with the RSG, with significantly more engaging with discipline specific staff networks (38%). This indicates that better support/communication channels are required to assist representatives in their role.</p>
	<p>2.1.5 (AP 2017-19) Develop and implement recruitment strategy for Research Staff representatives (minimum of two representatives per Faculty)</p> <p><i>Success indicators: All 5 faculties represented on the Research Staff Group by September 2018 with continuity strategy in place to ensure sustainability of representation</i></p>	RSG	<p>2.1.5: UPDATE 2019: ONGOING</p> <p>All Faculties are currently represented, with 6 representatives in total. Faculties where there is a smaller population of researchers have 1 representative (Arts and Social Sciences). Current listings of representatives, ToR for the group and minutes of past meetings are available to all on Workspace (intranet).</p>





	Timescales: Summer 2018		
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	<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>2.3.1 (AP 2015-17) Through the <a href="#">Early Career Researchers Leadership Programme</a> (joint programme with University of Birmingham) and <a href="#">Research Leaders</a></p>	RI(GS)/PD	<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> <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 School.</p> <p>2.3.1 UPDATE 2019: ECR Leadership Programme (7<sup>th</sup> cohort in 2019) At Nottingham, a total of 132 have applied to the programme and 111 have successfully completed. The 2017 and</p>



<p><u>Programme</u> to train the current high performance PIs and the next generation of research leaders in good practice. <i>Success indicators: Number of participants engaging in the programme.</i></p> <p>2.3.2 (AP 2015-17) 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> <p>2.3.3 (AP 2017-19) Working group undertaking a review of the current Research Leadership Provision (ECR-LP and NRLP) to streamline with current LMA provision. <i>Success indicators: 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.</i> Timescale: Review completed: Summer 2018. Evaluation of cohort feedback Autumn 2019.</p> <p>2.3.4 (AP 2017-19) As part of the Total Reward Strategy, a review will be undertaken of the recognition tools available to support recognition of high</p>	<p>RB/HR</p> <p>LMA/GS</p> <p>HR</p>	<p>2019 round saw an increase in application rates. 54% of 'graduands' are women. The programme content undergoes an annual review by the tutors in preparation for the new cohort.</p> <p>2.3.2 UPDATE 2019: Launch of Conference and Training Care Fund. Limited uptake of opportunity. Various initiatives implemented to promote, including promotion by direct email to research staff and in RS newsletter. Further review of fund undertaken in 2019, resulting changes to be implemented in 2020. Changes are designed to further encourage take up.</p> <p>2.3.3 UPDATE 2019: COMPLETED Initial review completed: Researcher Leadership provision (ECR-LP and NRLP) to be retained within the Graduate School remit, with a higher level of collaboration with the Leadership and Management Academy. The LMA is providing support to match delegates with mentors through the University's mentor matching approach and supporting the 360 assessment process. Reference to the NRLP has also been included in the latest LMA brochure. Evidence from the review of all LMA provision across the University still suggests that individuals from all job families learn better together with evidence indicating this provides a richer leadership learning experience, although there is merit in looking at specific research based activities within this specific job family. It is suggested that these programmes remain under review in line with the implementation of the Researcher Academy in 2020.</p> <p>2.3.4: (AP 2017-2019) UPDATE 2019: COMPLETED Employee Hub launched in November 2018 <a href="https://www.uonemployeehub.com/">https://www.uonemployeehub.com/</a> (UoN only)</p>
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	<p>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> <p><i>Success indicator: 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.</i></p> <p><i>Further to consultation new recognition mechanisms in place by July 2020.</i></p> <p>Timescales: Paper to UEB May 2018. Launch of recognition platform July 2019. New recognition mechanisms in place by July 2020</p>		<p>The <a href="#">Nottingham Reward Scheme</a> (NRS) (UoN only) launched on 1 August 2019 following extensive engagement with University stakeholders, and three rounds of focus groups attended by over 400 members of staff. Reward through NRS is not linked to the Appraisal Development Conversation (ADC), they are based on simple and clear criteria that can be demonstrated through the nomination processes. The new Recognition Platform enables any employee to self-nominate or nominate others for recognition of a variety of activities including participation academic community activities such as committee representations.</p>
B.2.4	<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>2.4.1 (AP 2015-17) The University should monitor Research Staff engagement with redeployment processes and opportunities and seek to increase uptake.</p>	RSG/HR	<p><b>Redeployment</b></p> <p>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 <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 2019: COMPLETED</p> <p>In May 2019, the University's Redeployment Policy was refreshed and additional resources for managers and employees were published on the university's intranet. Eligible employees are</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 (AP 2015-17) Monitor bridging funding schemes and share practices across the institution. Report outcomes of such schemes to Research Committee. <i>Success indicators: Demonstrable research outputs resulting from bridging funding period and other scheme awards.</i></p> <p>2.4.3 (AP 2017-19) Review of the redeployment policy and procedure <i>Success indicator: Review completed and submitted as paper to HR senior teams. Amended policy approved and implemented.</i> Timescales: Review completed May 2018 and implementation of policy May 2019</p> <p>2.4.4(AP 2017-19) 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.</p>	<p>RI</p> <p>HR</p> <p>School/CES</p>	<p>signposted to resources at appropriate timeframes in their contracts.</p> <p>2.4.2 Bridging and pump-prime funding schemes open to research-only staff 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>• Discipline bridging</li> <li>• In Engineering, there are opportunities to submit business cases to the Faculty Management Board (FMB) to consider bridging funds should there be delays during grant set-up.</li> <li>• UNICAS@GS and UNICAS sandpit and pump-prime funding <a href="#">UNICAS scheme</a></li> </ul> <p>2.4.3 UPDATE 2019: COMPLETED <u>Redeployment policy</u> updated and implemented, which included greater clarity on eligibility. Updated guidance notes for managers and employees at risk of redundancy (May 2019)</p> <p>2.4.4 UPDATE 2019: ONGOING This project is currently under discussion with HR with a view to roll out beyond School of Life Sciences shortly. Timelines to be adjusted accordingly.</p>
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	<p><i>Success indicator: Pilot completed and passport scheme rolled out to other schools in 2019 and monitoring of engagement levels using the pilot scheme as benchmark.</i></p> <p>Timescales: Autumn 2018</p> <p>2.4.5(AP 2017-19) Preparation of business case for the procurement of a new HR system.</p> <p><i>Success indicators: Business case presented May 2018. Implementation of policy May 2019</i></p> <p>Timescales: May 2019</p> <p>2.4.6(AP 2017-19) 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</p> <p><i>Success indicators: 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.</i></p> <p><i>Subject to recommendations and project sponsor sign off, development and roll out of intervention</i></p> <p>Timescales: Recruitment October 2018, Review recommendation May 2019, Intervention roll out September 2020</p>	HR	2.4.5 UPDATE 2019: COMPLETED	Following the presentation of the outline business case, a new HR system was approved to proceed to procurement in Oct 2019. Plans underway to procure in 2020 following which the full business case will return to Council for approval.
		HR/Schools	2.4.6 UPDATE 2019: ONGOING	Leavers' survey- Current discussions underway regarding end-of-contract conversations, to include feedback on the line manager/PI/others who hold a senior role.
			<a href="#">Dignity at Nottingham policy</a>	The University of Nottingham has a network of Dignity Advisers who are available to provide impartial and confidential advice to support staff and students who have issues/concerns regarding harassment, bullying or victimisation
<b>B.2.5</b>	<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</b>			See A1.3 and A1.5



	<p><b>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 (AP 2015-17) 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> Timescales: March 2016</p>	HR/RI (GS)		<p>2.5.1 UPDATE 2019: COMPLETED (Business as usual) Dedicated webpage on BREXIT and working with the EU with up-to-date information provided.</p>
<b>B2.6</b>	<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 (AP 2015-17) 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 2019: COMPLETED Engineering Research Futures (ERF) was launched in 2018 following a task &amp; finish working group to assess the support required by our research staff. The committee includes representatives from the 22 research groups, as well as an academic champion that also has a lead role with the Researcher Academy. It is also supported by members of the Engineering Research &amp; Knowledge Exchange (ERKE) team. A quarterly newsletter is provided to disseminate information around research, training and development opportunities and events in the faculty. A research-focused event was organised in 2018 and a further one, in line with the Research Academy, will be organised in 2020</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. (AP 2015-17) 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 amongst researchers and their Principal Investigators to design and implement actions which will lead to an improved 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>	RSG/ CES	<p>The University of Nottingham has a dedicated Senior Careers Advisor for Research-only Staff, providing training courses and individual guidance appointments and a dedicated webpage on the <a href="#">Careers and Employability Service</a> website. In addition, research-only staff are entitled to use the Careers and Employability Services resources and support.</p> <p>3.1.1 UPDATE 2019:ONGOING Due to staffing changes this action will be carried forward.</p>





	<p>3.1.2 (AP 2015-17) To design and implement an appropriate evaluation system for individual guidance appointments for research staff. Timescale: July 2016</p> <p>3.1.3 (AP 2015-17) Evolution of the current provision of career management and development training courses for research staff. <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> Timescale: October 2015</p> <p>3.1.4 (AP 2015-17) 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). <i>Success indicators: Take up of such opportunities by Researchers, feedback and evaluation</i></p> <p>3.1.5 (AP 2015-17) 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>CES</p> <p>CES</p> <p>RI(GS)</p> <p>RI(GS)</p>	<p>3.1.2 UPDATE 2019: COMPLETED Staffing changes have meant that this project is on hold with a view to review of requirements of stakeholders. Evaluation undertaken through response to Research Staff Surveys going forward.</p> <p>3.1.3 UPDATE 2019: COMPLETED Resources moved to online provision in 2019. Additional face-to-face workshops in place including Strength Coaching workshops provided. These are currently delivered on demand to cohorts.</p> <p>3.1.4 UPDATE 2019: ONGOING The Faculty of Engineering provide a bespoke training programme Enhancing Excellent Engineering Research (E3R) which include workshops and bite-sized events across the research life-cycle from developing ideas to impact and knowledge exchange. These opportunities are available to all our staff (Academic, Research, APM) as appropriate. We have researchers on our ethics committee involved in reviewing applications.</p> <p>3.1.5 UPDATE 2019: ONGOING Faculty of Medicine and Health Sciences working group tasked with audit of training and events available in individual schools, which could and should be made accessible across the Faculty. Project creation summer 2019, expected completion summer 2020 and implementation of recommendations.</p>
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	<p>3.1.6 (AP 2015-17) Respond to feedback from researchers for more tailored development opportunities addressing specific career stages,</p> <ul style="list-style-type: none"> <li>• Post docs (1<sup>st</sup> position within 2 years of PhD)</li> <li>• Experienced Research Staff (more than 3 years post doc and non-doctorate, approaching end of contract)</li> <li>• Fellows</li> </ul> <p><i>Success indicator: Take up and researcher feedback on activities.</i></p> <p>Timescale: Ongoing CROS 2017 evaluation (Late 2017)</p>	RI(GS)	<p>Faculty of Engineering distribute a weekly newsletter to all staff identifying relevant funding opportunities and linking to RIS or the funder website.</p> <p>3.1.5. UPDATE 2019: ONGOING</p> <p>The Engineering Research &amp; Knowledge Exchange (ERKE) team have two contacts for each of the 22 research groups. They are responsible for advising group members on support available within and beyond the faculty. We have a personal research plan template which is used to assist researchers at all stages to articulate their ambitions so that ERKE can identify the type of support required from training to funding opportunities.</p> <p>3.1.6 UPDATE 2019: COMPLETED</p> <p>8% of Research-only staff population have engaged with the Career Development Hub. Ongoing communication strategies to encourage use of the Hub ongoing across all staff groups. See update for 3.1.5 Faculty of Medicine and Health Sciences and Faculty of Engineering initiatives.</p>
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>3.2.1 (AP 2015-17) Increase awareness and uptake of mobility opportunities by research staff.</p>	RI(GS)	<p>3.2.1: UPDATE 2018: Launch of IRCA mobility award in March 2017, to date 18% of awards have been made to research-only</p>



	<p><i>Success indicator: An increase in the uptake of mobility opportunities by research staff.</i> Timescale: Biannual research staff conference.</p> <p>3.2.2 (AP 2015-17) 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> Timescale: Monitoring of progress July 2017</p> <p>3.2.3 (AP 2017-19) 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. <i>Success indicators: Launch of new provision with discipline and career pathway tailoring. Use of pilot with 20 researchers to gauge interest and engagement with new provision.</i> <i>Completion of evaluation of participant feedback, with positive feedback reported.</i> Timescales: Launch of new interventions 2018.</p>	<p>HR/CES</p> <p>CES/RI(GS)</p>	<p>staff. It is anticipated with further direct promotion that this number will increase as awareness and number of applications increase. Targeted promotion, including via social media, of mobility opportunities for ECRs has increased interest.</p> <p>3.2.2 UPDATE 2019 ONGOING In 2018, a special interest project was undertaken by HR to investigate destinations of EU and international staff recently left the university. See action B2.4.6 for progress</p> <p>3.2.3 UPDATE 2019: Following evaluation of provision in 2018, the decision was taken to overhaul online resources. In summer 2019, staffing changes have enabled a change in focus and series of interventions, including discipline delivery of Strength Coaching workshops.</p>
<b>C3.3</b>	<p><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,</b></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 <a href="#">central short courses booking system (csc)</a></p>

<p><b>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></p> <p>3.3.1 (AP 2017-19) Following the launch of the Career Development Hub in May 2017, to undertake an annual evaluation of usage data of hub by research-only staff. To identify actions required to ensure staff group awareness of provision.</p> <p><i>Success indicators: To maintain or increase engagement with the LMA by Research-only staff. Currently 4% of research-only staff population have registered for access. Identification of interventions to facilitate promotion of the hub and increase engagement.</i></p> <p>Timescales: Annual reporting</p>	LMA	<p>3.3.1 UPDATE 2019 COMPLETED (business as usual)</p> <p>As of Dec 2019, 314 research-only staff have engaged with the LMA Hub in some form, so overall this is an increase to 30.84% for just the LMA Hub on-line provision. 35 individuals (4% of the total R&amp;T population) have also engaged with LMA development programmes.</p> <p>Careers Hub: 79 individuals (8%) have engaged with this part of the LMA Hub. The most popular pages on the LMA Hub include the Development Programmes pages (22% visited), the LMA Home Page (12%), the Learning and Resources pages (12%) and the Coaching and Mentoring pages (8%) indicating that individuals are seeking different types of support.</p>
<p>3.3.2 (AP 2017-19) Launch the Faculty of Engineering Research Staff day: Research Futures. The programme to include sessions on both careers inside and outside.</p> <p><i>Success indicators: Attendance of 70 researchers at the event with feedback provided through post-event evaluation survey.</i></p> <p>Timescales: July 2018</p>	Faculty of Engineering Research Office	<p>3.3.2 UPDATE 2019 COMPLETED</p> <p>Following the launch event, the Faculty Research and Academic staff training programme, E3R, was broadened to provide sessions that reached out to research staff earlier in their careers. Sessions to support developing external funding applications for ECRs and project management skills were trialled, in addition to opening up existing sessions to research only staff where relevant. The funding sessions were very well received and have been incorporated into the programme in subsequent years. Engineering Research Futures has continued and currently is looking to broaden the membership of the committee to reflect the</p>



			breath of the faculty. A specific ERF newsletter has been developed and is sent out bimonthly to all research staff in the Faculty.
C3.4	<p><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></p> <p>See C3.1</p>		See C3.1
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>3.5.1 (AP 2015-17) Evaluation data shows an improvement in perceived overall usefulness of the PDPR process in respect to career development. Timescale: Annual monitoring</p> <p>See A1.3, A1.5, C3.7, C3.8 and C3.10</p> <p>3.5.2 (AP 2017-19) Establishing a staff career development hub with career pathways relevant to Research-only staff.</p>	<p>HR/PD</p> <p>LMA</p>	<p>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> <p>3.5.1 UPDATE 2019: COMPLETED PDPR replaced with ADC from 1 August 2019.</p> <p>3.5.2 UPDATE 2019: COMPLETED with annual monitoring Since launch, 8% of Research-only staff population have engaged with the Career Development Hub. The most popular pages on the</p>



	<p>Monitor usage of hub: Launch of hub and figures indicating early engagement of staff. Collect benchmark of hits since launch</p> <p><i>Success indicators: Maintain or increase benchmark (engagement within the first year of launch was 5% of the population) hits demonstrating continued engagement with resources.</i></p> <p>Timescales: Launch September 2017. Annual monitoring in September.</p>		<p>LMA Hub include the Development Programmes pages (22% visited), the LMA Home Page (12%), the Learning and Resources pages (12%) and the Coaching and Mentoring pages (8%) indicating that individuals are seeking different types of support.</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 (AP 2015-17) 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> <p>3.6.1: UPDATE 2019.</p> <p>The Graduate School and CES offer a biennial induction session for all new starter research-only staff. In 2016/17, 55 attended this fell in 2017/18 to 38 but has risen again in 2018/19 to 58. It is not possible to identify why this fall in number was observed in 2017/18. Evaluation feedback of the session indicates that the materials and timing of the sessions are well received.</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 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 (AP 2015-17) Extend the existing Graduate School mapping of the Researcher Development Framework to all professional development opportunities for research staff.</p>	PD/CES/ RI	<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>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 (AP 2015-17) 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.</p> <p><i>Success indicators: To increase the take up of the individual guidance service to 80% of available appointments.</i></p>	RI(GS) /RSG/CE S	<p>3.8.1 UPDATE 2019: In the 2019 Research Staff Survey, only 39% of respondents indicated that they were aware that the Careers and Employability service provides careers guidance appointments. Following this result a CES item was included in the ECR e-newsletter at regular intervals throughout 2019, to improve traffic to the research-only staff page on the CES webpages. Uptake will continue to be monitored.</p>





	<p>Timescale: Evaluation of CROS 2015 data December 2015 Targets for 2016</p> <p>3.8.2 (AP 2015-17) Audit current mentoring arrangements for research staff and share practice. Timescale: December 2016</p> <p>3.8.3. (AP 2015-17) 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. (AP 2015-17) 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>RI(GS)</p> <p>CES</p> <p>CES</p>	<p>3.8.2. UPDATE 2019: COMPLETED (with ongoing monitoring) As of December 2019, 8% of hits on the Coaching and Mentoring pages of the LMA hub were Research-only Staff.</p> <p>3.8.3 UPDATE 2019: POSTPONED Due to staff changes this project has not been completed and will be rescoped according to changes in requirements.</p> <p>3.8.4 UPDATE 2019: COMPLETED Following feedback the decision was taken to withdraw face-to-face provision, due to low take up, and develop new tailored online resources. This was undertaken and completed in 2018. <a href="https://www.nottingham.ac.uk/careers/research/index.aspx">https://www.nottingham.ac.uk/careers/research/index.aspx</a></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</b></p>		



	<p><b>to research output and they encourage employers and mentors to adopt these practices.</b></p> <p>3.9.1 (AP 2015-17) 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. <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> <i>Timescale: Strategy 2020 action plan from January 2016.</i></p>	RC/ RI(GS)	3.9.1: UPDATE 2019: COMPLETED 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.
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>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. PDPR replaced by ADC in Autumn 2019 with roll out of training in 2020</p> <p>In the 2019 Graduate School Review survey, 92% of respondents reported undertaking a PDPR in the previous 12 month period with 92 and 90% reported in CROS 2013 and 2015. Successful adoption and engagement of the ADC by research staff will be monitored in subsequent staff surveys and through HR implementation of an evaluation project in 2021/2.</p>



	<p>4.10.1 (AP 2015-17) 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 (AP 2015-17) 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> Timescale: Ongoing and monitor Dec 2015 &amp; Dec 2017</p>	<p>HR/ RI(GS)</p> <p>RI(GS)</p>	<p>4.10.1 UPDATE 2019: COMPLETED Roll out of the new Appraisal and Development Conversations (ADC) process, facilitating better constructive conversations around personal, professional and career development. The ADC also includes links to Building Culture for Success guide, facilitating conversations on both what is delivered and how work is delivered.</p> <p>4.10.2 UPDATE 2018: COMPLETED 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>
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.</p> <p>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 (AP 2015-17) 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> <p>Timescale: May 2016</p> <p>4.12.2 (AP 2017-19) Supervision training- monitor and continue to develop training provision through school-led interventions and supervisor seminar series specifically incorporating topics relevant to research staff.</p> <p><i>Success indicators: 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</i></p>	<p>RI(GS) /HoS</p> <p>RI (GS)</p>	<p>The University mandates that all new teachers and demonstrators have undertaken, as a minimum before commencement of teaching, an introductory training workshop. 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> <p>4.12.1 UPDATE 2019: COMPLETED</p> <p><a href="#">Supervision workshops and seminar series</a> open to research-only staff who hold formal or informal supervision roles</p> <p>4.12.2 UPDATE 2019: MONITOR annually</p> <p>In the 2019 internal RS survey 4% of respondent said they wanted to receive training in supervision and 29% said they weren't interested in training.</p>



	<p><i>numbers reporting that they currently undertake this role in staff surveys.</i></p> <p>Timescale: July annually</p>			
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 (AP 2015-17) To promote the inclusion of research staff in committee structures at the faculty and School level. Timescale: monitor annually</p> <p>4.13.2 (AP 2015-17) 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. RSG current membership includes Research Staff members representing both junior and senior researchers per faculty. This ensures continuity and a sustainable level of representation in the group.</p> <p>4.13.1 UPDATE 2019: ONGOING Faculty of Engineering have a Researcher as a member of the Faculty of Engineering's Research Board (FERB). This member is part of our Engineering Research Futures committee and therefore is best placed to represent the view point of our research community. FERB is a decision-making board and sits every second month to review progress of our research implementation plans and to assess the strategic value of cases requesting funding from FERB or the faculty management board.</p> <p>4.13.2 UPDATE 2018: COMPLETED The Research Staff website was overhauled and brought in line with the Research webpages of the University webpages</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 (AP 2015-17) 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 (AP 2015-17) Evaluate mentoring schemes available to staff and explore development of integrated mentoring scheme for 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</p>	<p>Research Strategy Task Force and Working Groups</p> <p>PD</p>		<p>4.14.1 UPDATE 2019: In 2019, the PDPR was replaced with the ADC. Mentoring is available through the Leadership and Management Academy.</p> <p>4.14.2: UPDATE 2019: COMPLETED As part of the People Strategy and Athena SWAN assessment a gap analysis has been conducted across the University to identify current mentoring schemes. The gap analysis was reported and best practice highlighted to the institution.</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 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 (AP 2015-17) Launch new programme of Research Integrity training and activities and monitor research staff engagement.</p> <p><i>Success indicators: Engagement of research staff in training and compliance with Concordat on Research Integrity.</i></p> <p><i>Timescale: Monitor annually September 2016</i></p>	Researchers, 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 2019: COMPLETED with annually monitoring 428 individuals have enrolled on the training and 54 completed with final assessment (assessment not mandated)</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>5.2.1 (AP 2015-17) Implementation of the Knowledge Exchange Framework.</p> <p>Timescales: Ongoing with appropriate framework action monitoring</p> <p>5.2.2 (AP 2015-17) Encourage research staff participation in training course and events relating to Knowledge Exchange (e.g. Research Staff conference, enterprise</p>	<p>RI/BEIS</p> <p>RI(GS)</p>		<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 UPDATE 2019: ONGOING with appropriate actions <a href="#">Nottingham Impact Accelerator</a> The University administers a number of internal funding streams to support translation of research outputs and the transfer and exchange of knowledge between the University and the wider economy. A number of these funding streams/initiatives are open to research-only staff.</p> <p>5.2.2 UPDATE 2019: COMPLETED</p>





	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> Timescales: Expected Dec 2015.			Framework launched. New Institute for Policy and Engagement to create partnerships between our world-class researchers, policymakers and the public. The annual 'Nottingham Engaged' conference is aimed at researchers, academics and professional staff across all disciplines working in or supporting policy impact and public engagement.
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 (AP 2015-17) 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 (AP 2015-17) 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 (AP 2015-17) Improve researcher awareness of Open Research data resources and management.</p>	<p>RI(GS) /NL</p> <p>NL</p> <p>NL</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</p>



	<p><i>Success indicators: greater awareness of Open Access in CROS data; increase in usage of Nottingham Research Data Management Repository.</i></p> <p>Timescales: Monitor December 2015, 2017</p> <p>5.3.4 (AP 2015-17) Researchers are encouraged to register for an Orcid ID. Promotion of Open access at various events and Research Staff Conference.</p> <p><i>Success indicators: greater awareness of Open Access in CROS data.</i></p> <p>Timescales: Monitor December 2015, 2017</p> <p>5.3.5. (AP 2017-19) Annual evaluation and review of the <a href="#">University's Publication Framework Institutional Strategy</a> incorporating UNUK Mechanisms for Support.</p> <p><i>Success indicators: Production of updated framework in October each year</i></p> <p>Timescales: Annual evaluation and review in April. Framework publication October</p> <p>See action 3.2.2 (careers), 3.3.1 (leadership and management) and 4.12.2 (supervision)</p>	RC, RI		<p>consistent and quality-driven approach to managing the research lifecycle globally, by implementing an enterprise-wide system and changing working practices.</p> <p>To facilitate researchers and research management, monitor grants and existing projects and capture successes, experience, knowledge and capabilities.</p> <p>5.3.4: UPDATE 2019: COMPLETED</p> <p>All research active staff are requested to register for an Orcid ID and most internal funding calls require the details during application or post award. Business as usual.</p> <p>5.3.5: UPDATE 2019: COMPLETED with ongoing monitoring</p> <p>Following the launch of the University of Nottingham Publication Framework (intranet) for UNUK researchers in 2017, throughout 2017-2020 workshops covering a variety of topics on publication metrics, Open Access Plan S, Research Information Systems and Research Data Management have taken place.</p> <p>In 2017, 15 workshops/interventions took place with a total of 197 attendees (approximate third were staff members).</p> <p>In 2018, 25 workshops/interventions took place with a total of 529 attendees (approximate 350 were staff members)</p> <p>In 2019-20 to date, 19 workshops/interventions have been scheduled with more planned.</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>The Staff Career Development Hub 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>The Staff Career Development Hub 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 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>See actions 3.1-3.14 regarding PDPR process.</p>	RI(GS)		<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>All Graduate School courses are mapped to the RDF as standard practice.</p> <p>Institution, following review and consultation no longer holds Vitae RDF planner site-licence.</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	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 (AP 2015-17) The University encourages E&amp;D best practice sharing. GEN (formerly 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 (AP 2015-17) 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)</p>	<p>GEN</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>6.1.1 UPDATE 2019 ONGOING WinSET replaced by GEN, to be disbanded in 2020 and replaced by Athena Swan Leads group in 2020 (exact title and timelines to be confirmed) In 2017/18, the university was successful in its renewal of its institutional Athena Swan Silver award. In addition, the Faculty of Engineering and nine Schools, including one non-STEMM school, hold a Silver award. Bronze awards are held by three STEMM schools and by three non-STEMM schools, and two non-STEMM schools are awaiting decisions.</p> <p>6.1.2 (AP2015-2017) UPDATE 2019 ONGOING monitoring There are currently five <a href="#">Staff Equality and Diversity Networks</a>, the networks are open to all staff, of all job families and form an important part of the consultative process across a wide range of workplace issues. A review of the Staff Networks was undertaken in 2019 and resulting recommendations are underway for</p>



	<p><i>Success indicators: Increased engagement of research staff with E&amp;D events as demonstrated through attendance numbers.</i></p> <p>Timescales: Ongoing. RSG to request report annually</p>			<p>delivery. These include supporting the communications process to continue to raise awareness of the networks to all staff.</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 (AP 2015-17) Implementation of Athena SWAN action plans</p> <p><i>Success indicators: As appropriate to relevant action plan (institutional-level and school-level)</i></p> <p>Timescales: Monitoring appropriate to action plans</p>	GEN		<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="#">Florence Boot Programme</a> (formally Academics' and Administrators' Professional, Personal and Leadership Experience, APPLE). The Florence Boot Programme is open to all staff at Level 4 &amp; % and has a research-only staff learning set providing opportunities for early / mid-career research staff to develop leadership potential and professional skills. The learning sets offer a mentoring environment. This augments the Leadership and Management Academy's suite of programmes.</p> <p>In addition to the development opportunities, the University has a number of well-established active <a href="#">EDI networks</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,</p>			<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</p>



	<p>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> <p>6.4.1 (AP 2017-2019) 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. <i>Success indicator: To see an increase of 10% in the number of research staff who apply for the fund.</i> Timescales: December 2019</p>	HR/RI (GS)	<p>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> <p>All staff may apply to the <a href="#">Conference and Training Care Fund</a> to claim back reasonable ‘additional’ caring costs for dependents necessarily incurred when they attend work related training, including conferences, development events and training courses for the purposes of personal development.</p> <p>6.4.1 (AP 2017-2019) UPDATE 2019: ONGOING The <a href="#">Conference and Training Care Fund</a> continues to have low uptake despite extensive dissemination. In 2018 and then again in late 2019, reviews of fund were undertaken, which led to extensions to the fund parameters. The recommendations of the 2019, will be launched in 2020. Uptake will continue to be monitored.</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 Flexible working guidelines (need to update link)
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	<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 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.</p> <p>A Gender Decoder is available to enable advert authors to check the text for language which is gendered to make amends to more gender neutral language before advertising.</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><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. The current Dignity policy under review</p>





			<p>Sexual misconduct review undertaken by an external team commissioned to undertake the work, led by PVC EDI</p> <p>UPDATE 2019: Dignity advisor network refreshed and significantly expanded with an Engagement Champions network also in place. This work was supported by recommendations from the Review of Sexual Misconduct and as a recognised Athena Swan action. Information regarding the Dignity Advisor Network including listings of local advisers is provided on Sharepoint <a href="https://uniofnottm.sharepoint.com/sites/DignityAdviserNetwork">https://uniofnottm.sharepoint.com/sites/DignityAdviserNetwork</a> (internal).</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><b>10.1 (AP 2015-17) Athena SWAN Silver University Award</b></p> <p>University Action Plan to be fully implemented in accordance with planned timescale</p> <p>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.</p> <p><i>Success indicators: Completion of action points in accordance with planned timescales. Building on and retention of silver award.</i></p> <p><i>Timescales: April 2016</i></p>	ISAT	<p>The University was awarded an <a href="#">institutional Silver award</a> in November 2012 and successfully renewed in 2017/18.</p> <p>10.1 (AP 2015-17) UPDATE 2019: COMPLETED Superseded by action 10.1.5</p>



10.2 (AP 2015-17) Athena SWAN School/Faculty Awards: Individual school Athena SWAN Bronze and Silver action plans to be implemented. Timescales: Ongoing, according to award timelines for individual schools. Awards to be renewed and upgraded when current award expires.	Award holding schools	10.2 (AP 2015-17) UPDATE 2019: COMPLETED Superseded by action 10.3 and 10.4
10.3 (AP 2015-17) 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> <i>Timescales: April 2016</i>	School SATs	
10.4 (AP 2015-17) 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> Timescales: From Nov 2015 with majority of non-STEMM Schools to have awards by 2020	School SATs	10.4 (AP 2015-17): UPDATE 2019: ONGOING Silver departmental awards held by Geography Bronze departmental awards held by Law, Politics and IR, CLAS
10.5 (AP 2017-19) 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. <i>Success Indicators: Submission of insitutional action plan.</i> Timescales: December 2017	University Self-Assessment Team (USAT)	10.5 (AP 2017-19) UPDATE 2019: COMPLETED Institutional Silver award renewal successful (2017/18). <a href="https://www.nottingham.ac.uk/hr/equality-diversity/athena-swan/athena-swan.aspx">https://www.nottingham.ac.uk/hr/equality-diversity/athena-swan/athena-swan.aspx</a>
10.6 (AP 2017-19) Implementation of actions according to timeframes outlined in the institutional action plan	As required	10.6 (AP 2017-19) UPDATE 2019: ONGOING Timelines in accordance with 2017/18 renewal action plans



	<p><i>Success indicators: Completion of action points in accordance with planned timescales. Building on and retention of silver award.</i></p> <p>Timescales: Various</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 UoN actions	Lead	Current compliance and progress 2015-17
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>7.1.1 (AP 2015-17) 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 <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>7.1.2 (AP 2015-17) 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"> <li>• Monitor progress and developments at a local-level;</li> <li>• Identify and share good practice within the Institution.</li> </ul> <p><i>Success indicators: Increased communication across faculties regarding good-practice. Development of best-practice frameworks within faculties.</i></p>	<p>RSG/RB/HR</p> <p>RSG</p>	<p>HRExRes is standing item on RSG agenda. Progress and arising matters discussed during meetings with associated actions Forthcoming deadlines Annual gap analysis, semester 2. Reporting by identified communities to RSG at meeting 2 annually</p> <p>7.1.1 (AP 2015-17) UPDATE 2019: COMPLETED Publication of 2019 Researcher Development Concordat. Changing environment/sector. Gap analysis to be undertaken in 2020.</p> <p>7.1.2 (AP 2015-17) UPDATE 2019: ONGOING business as usual 2019 Graduate School Research Staff Survey results used in Faculty discussions during the consultation on the formation and remit of the Researcher Academy</p>



	<p>Timescales: Autumn 2016 and 2018</p> <p>7.1.3. (AP 2017-19) Hold researcher consultation event on the sector wide 2017 consultation of the Concordat. <i>Success Indicators: Consultation event held with attendees representing all faculties. Identification of researchers views on the Concordat 10 years on and current relevant issues.</i></p> <p>Timescales: December 2017</p>	RSG	<p>7.1.3: UPDATE 2019: COMPLETED</p> <p>Consultation event held December 2017. Despite direct communications with researchers, there were no attendees. Follow on communication sent encouraging researchers to complete the online survey. The Consultation report (May 2019) reported 21 'Individual' responses and 1 'Group' response.</p>
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</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>



	of researchers and employers (both outside and within the HE sector).		
F7.3	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.		No actions required
F7.4	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>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	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>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.</p> <p>Gender equality data is collated by the Athena SWAN leads (at School level) and Athena SWAN ISAT (at institutional level).</p> <p>Athena SWAN leads will report into the Faculty EDI Group for monitoring of progress</p>



	<p>7.5.1 (AP 2015-17) 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>	<p>HR/Athena SWAN leads Group</p>		<p>7.5.1 UPDATE 2019: COMPLETED CROS 2015 data fed into working group for action plan preparation. Institutional Silver award achieved in 2018.</p>
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### **3. Ongoing actions from 2008 Concordat implementation action plans**

The following section collates together any outstanding actions from the 2017-2019 action plan for the 2008 Concordat.

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

In 2020/21, subject to the University becoming a signatory to the 2019 Researcher Development Concordat, a benchmarking project will be undertaken and new implementation action plans developed.



## 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
A1.2	<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>AP (2017-19) 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>	HR	ONGOING According to 'Diversity in Recruitment' action plan timelines	Ongoing implementation of project; production of a recruitment brand, developed for local needs at School/Faculty level and specific job family



## 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	ONGOING	All 5 faculties represented on the Research Staff Group annually with continuity strategy in place to ensure sustainability of representation. Recruitment by September annually
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>2.4.4 (AP 2017-19) Pilot scheme in the School of Life Sciences of a 'Postdoc Passport' a formal</p>	School/C ES	Roll out tbc	Pilot completed and passport scheme rolled out to other schools and monitoring of engagement



	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.			levels using the pilot scheme as benchmark. Timelines to be agreed in early 2020.
	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	Intervention roll out September 2020	Subject to recommendations and project sponsor sign off, development and roll out of intervention

## 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	Timescales	Success Measures
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>5.5.5. 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>



## 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
E6.4	<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 Training 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.
E.10	<p><b>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></p> <p>10.6 Implementation of actions according to timeframes outlined in the institutional action plan</p>		Various	Completion of action points in accordance with planned timescales. Building on and retention of Athena SWAN silver award.

## 4. RAG analysis of institutional readiness for 2019 Researcher Development Concordat

### RAG rating of the readiness of the University of Nottingham for the implementation of the 2019 Researcher Development Concordat

The following document provides a RAG rating of the current status of readiness of the University of Nottingham against the new Principles of the 2019 Researcher Development Concordat. The 2019 Concordat, following a sector wide consultation is the updated, revised and rewritten replacement to the original Concordat to Support the Career Development of Researchers.

The RAG rating in the following tables was assessment of Nottingham readiness for the new 2019 Concordat. It was undertaken by Lucy Donaldson (A-PVC), Jane Wellens (Head of Graduate School) and Victoria Sedman (Researcher Training and Development Manager) in November 2019.

#### Definitions in the Nottingham context:





##### Researchers

These are defined as individuals whose primary responsibility is to conduct research and who are employed specifically for this purpose by a higher education institution or research institute. Within this group, it is recognised that these staff often have different contract types, levels of training, experience and responsibility, as well as different career expectations and intentions. Disciplinary and institutional context can also mean a broad range of job titles fall within this definition. These roles are normally within the R&T 4A-R, R&T 4-R, R&T 5-R, R&T 4A-R, R&T 6-R. The group include post-docs as well as Research Assistants who do not currently hold a doctorate. The group may have job titles such as Research Associate, Research Assistant, Research Fellow, Fellow (with own funding), Senior Research Fellow and Principle Research Fellow. This grouping does not include Academic staff or research-only Technical staff.

##### Managers of researchers

This includes all individuals who have direct line management responsibility for researchers as defined above. These managers will frequently be principal or co-investigators on research grants.

#### Key:

	White: Outside of institution		Green: Policy and Practices embedded		Amber: Policies in place with some practice embedded at local Faculty/School/Professional Service level		Red: Policies in place but cannot at present ensure practice embedded
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## 1. Environment and culture

### Excellent research requires a supportive and inclusive research culture

Healthy working environments attract and develop a more diverse workforce, impact positively on individual and institutional performance, and enhance staff engagement.

This Principle recognises that a proactive and collaborative approach is required between all stakeholders, to create and develop positive environments and cultures in which all researchers can flourish and achieve their full potential.

Institutions must:	
	1. Ensure that all relevant staff are aware of the Concordat.
	2. Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers.
	3. Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues.
	4. Ensure that managers of researchers are effectively trained in relation to equality, diversity and inclusion, wellbeing and mental health.
	5. Ensure researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity.
	6. Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices.
Funders must:	
	1. Include requirements which promote equitable, inclusive and positive research cultures and environments, in relevant funding calls, terms and conditions, grant reporting, and policies.



	2. Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers.
	3. Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions.
Managers of researchers must:	
	1. Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work.
	2. Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct.
	3. Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity.
	4. Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers.
	5. Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.
Researchers must:	
	1. Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students.
	2. Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion.



	3. Take positive action towards maintaining their wellbeing and mental health.
	4. Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct.
	5. Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.

## 2. Employment

Researchers are recruited, employed and managed under conditions that recognise and value their contributions

Provision of good employment conditions for researchers has positive impacts on researcher wellbeing, the attractiveness of research careers, and research excellence.

This Principle recognises the importance of fair, transparent and merit-based recruitment, progression and promotion, effective performance management, and a good work-life balance. All stakeholders need to address long-standing challenges around insecurity of employment and career progression, ensuring equality of experience and opportunity for all, irrespective of background, contract type and personal circumstances.

Institutions must:	
	1. Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices.
	2. Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position.
	3. Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions, and the diversity of personal circumstances.



	4. Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent.
	5. Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation.
	6. Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress.
	7. Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making.
Funders must:	
	1. Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies.
	2. Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security.
	3. Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression.
	4. Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels.
Managers of researchers must:	
	1. Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care.
	2. Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding.



	3. Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion, and reward of researchers.
	4. Actively engage in regular constructive performance management with their researchers.
	5. Engage with opportunities to contribute to relevant policy development within their institution.
Researchers must:	
	1. Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder.
	2. Understand their reporting obligations and responsibilities.
	3. Positively engage with performance management discussions and reviews with their managers.
	4. Recognise and act on their role as key stakeholders within their institution and the wider academic community.

### 3. Professional and career development

Professional and career development are integral to enabling researchers to develop their full potential

Researchers must be equipped and supported to be adaptable and flexible in an increasingly diverse global research environment and employment market.

This Principle recognises the importance of continuous professional and career development, particularly as researchers pursue a wide range of careers.

Institutions must:	
	1. Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors.



	2. Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers.
	3. Ensure that researchers have access to professional advice on career management, across a breadth of careers.
	4. Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills.
	5. Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this.
	6. Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews.
Funders must:	
	1. Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning.
	2. Embed the Concordat Principles and researcher development into research assessment strategies and processes.
	3. Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit.
Managers of researchers must:	
	1. Engage in regular career development discussions with their researchers, including holding a career development review at least annually.
	2. Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments.



	3. Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development.
	4. Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours.
	5. Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development.
Researchers must:	
	1. Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year.
	2. Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments.
	3. Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications.
	4. Positively engage in career development reviews with their managers.
	5. Seek out, and engage with, opportunities to develop their research identity and broader leadership skills.
	6. Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation.