LANCASTER UNIVERSITY

Action Plan to fulfil the principles of the Concordat to Support the Career Development of Researchers, April 2011

(Note: A glossary of terms and acronyms used in this Action Plan can be found on page 15)

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 REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress (IP)	ACTION TO ACHIEVE/MAINTAIN COMPLIANCE	WHO RESPONSIBLE	TIMESCALE
1	1.1	Researchers are chosen primarily for their ability to advance research at Lancaster.	A	 Continue to implement the principle of 'recruiting the best' as outlined in the University Strategy. 	All recruiters	Ongoing
1	1.2	Employers should strive to attract excellent researchers & respect diversity. Employers are encouraged to recruit & retain researchers from the widest pool of available talent.	A	Monitor annually the diversity profile of researchers recruited to the University as part of the Single Equality Strategy Action Plan.	Rob Kemp (HR)	Ongoing from May 2011

1.2	Recruitment & selection procedures should be transparent & open to all qualified applicants (regardless of background).	SP	Continue to observe the good practice described in the HR 'Named Appointments' policy and continue to monitor named appointment activity.	David Owen + Kate Jenner (HR)	Ongoing
			Provide clear guidelines to PIs on recruitment of researchers for short-term work of more than 3 months duration.	David Owen (HR)	Dec 2011
			Monitor % of research posts not advertised and report annually to Research Committee with recommendations on reduction targets.	Joe Thornberry (HR) David Owen (HR) Rob Kemp (HR)	First report April 2012
			Implement Recruitment Process Review recommendations.	David Owen (HR)	Oct 2011
1.2	Person specifications must clearly identify the skills required for the post (and these requirements should be relevant for the role).	А	Continue use of Stonefish e-recruitment tool.	All recruiters	Ongoing
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded & justifiable reason.	А	Continue practice of Faculty Deans' authorisation of such posts.	Faculty Deans	Ongoing

1.4	1.4 Members of recruitment panels should have received relevant & recent training.	Plan and implement a phased move to a position where panels can only be composed of trained members, with milestone targets set out.	Rob Kemp (HR) Joe Thornberry (HR)	Completed by April 2013	
			Target PIs when advertising 'Recruiting the Best' training.	HR (OED admin team)	Ongoing
			Update depts. annually on numbers and names of those trained.	Joe Thornberry (HR) Rob Kemp (HR)	From Oct 2011
1.4	Unsuccessful candidates should be given appropriate feedback if requested.	IP	Invitation to interview letters to note that feedback is available on request.	Kate Jenner (HR)	July 2011
			Incorporate feedback skills training in PI development programme.	Joe Thornberry (HR)	Oct 2011
1.5	The level of pay or grade for researchers should be determined according to the requirements of the post.	А	Continue practice of submitting all researcher posts to HERA evaluation.	HR (Service Delivery Team)	Ongoing

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 REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress (IP)	ACTION TO ACHIEVE/MAINTAIN COMPLIANCE	WHO RESPONSIBLE	TIMESCALE
	SP	 Include appropriate references to staff on FTCs in the institutional Single Equality Strategy Action Plan. 	Rob Kemp (HR)	July 2011	
		Produce a 'Model Charter' for researchers based on the Concordat that Faculties can refine to local circumstances.	Joe Thornberry (HR)	July 2011	
			Continue to circulate to all researchers information about development opportunities.	HR (OED admin team)	Ongoing
2.2	2.2 Employers should seek to improve the stability of employment conditions for researchers and abide by the principles laid down in the "Prevention of less	SP	Conclude agreement with campus trade unions on the use of fixed-term contracts.	HR Director	July 2011
favourable treatment of fixed-term employees" regulations (2002).	favourable treatment of fixed-term employees"		Review and make recommendations on how best to enable researchers to maintain their University links and network contacts after contracts have ceased.	Joe Thornberry (HR) David Owen (HR)	Dec 2011

2.3 Research Managers should be required to participate in active performance management - including 3.6, 3.9) Managing probation, arranging local induction,	SP	Take active steps to increase PDR uptake by the Researcher population to 90%.	Joe Thornberry (HR)	By July 2012	
	undertaking PDR discussions - supervision of research activities, offering informal career guidance and allowing/encouraging their staff to attend appropriate training events/pursue development opportunities within the project (so far as is possible).		 Promote the use the Researcher Development Framework (RDF) as a development planning tool in the Performance and Development Review (PDR) process. 	Joe Thornberry (HR)	Ongoing
			Provide link to RDF from PDR web page.	Joe Thornberry (HR)	May 2011
		 Provide PDR training workshops specifically for PIs, incorporating the use of the RDF. 	Joe Thornberry (HR)	Oct 2011	
			Revise probationary arrangements for Researchers to ensure development needs and activities are addressed early.	Jo Willmott, Joe Thornberry & Colin Clements (all HR)	July 2011
2.3	Employers should ensure that Research Managers are aware of, and understand their responsibilities toward	SP	Disseminate information on Concordat within faculties.	Faculty Associate Deans for Research	Ongoing
	Researchers.		Include reference to Concordat as a standing item in induction of new academic staff.	HR (OED delivery team) Individual departments	Ongoing
			Include Concordat compliance in forthcoming REF 'practice' exercise.	PVC for Research Yvonne Fox (RSO)	Oct 2011
2.3	Employers should provide equality & diversity training to support Research Managers.	SP	Introduce requirement for PIs and HoDs to have received such training within a specified maximum period, as part of the Single Equality Strategy Action Plan.	Rob Kemp (HR)	July 2011

2.3	Employers should review how Research Managers' ability to discharge their responsibilities are developed, assessed & rewarded.	IP	Ensure that PIs are asked to give an account of their management of researchers within their PDR.	Managers of PIs	Ongoing
			 Review promotion criteria to establish whether effective management of researchers is one of the elements for inclusion in a promotion case. 	Catherine Hadwin (HR)	July 2011
2.4	Organisational systems must be capable of supporting continuity of employment for researchers - such as funding between grants/other schemes (though non-specific) for supporting time between grant funding/systems for redeployment.	IP	Explore and make recommendations on how Faculties can be enabled to maintain bridging funds within their current resource constraints.	Yvonne Fox (RSO) Joe Thornberry (HR)	Dec 2011
2.5	Pay progression for researchers should be transparent and in accordance with the procedures agreed between the relevant trade unions& employers locally/nationally. In HEIs pay progression will be in accordance with the Framework agreed.	SP	Review access to promotion opportunities for research staff in order to make clear the route(s) available (i.e. by the academic route or by HERA reclassification).	Catherine Hadwin (HR)	Dec 2011
2.6	Promotion opportunities should be transparent, open to all staff, and effectively communicated.	SP	As for 2.5 above		
2.6	It is helpful if career frameworks for early stage researchers are articulated in organisational HR strategies.	SP	Actively promote the importance of the Researcher Development Statement and the Researcher Development Framework to researchers and research managers.	Joe Thornberry (HR)	Ongoing
			Monitor use of Framework in PDR via PDR Experiences Survey.	Joe Thornberry (HR)	March 2012

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 REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress	ACTION TO ACHIEVE/MAINTAIN COMPLIANCE	WHO RESPONSIBLE	TIMESCALE
3.1	It is imperative that researcher positions in the UK are attractive in themselves (and not solely as potential stepping stones to permanent academic positions).	(IP) SP	 Consider and make recommendations how the 'Lancaster Experience' and the opportunities for development can be incorporated into the new employer branding. 	David Owen (HR) Christine Parry (MEL)	Dec 2011
3.2	Employers should help create a culture that gives researchers the ability to move between different career paths (a broad-minded approach should be adopted by those recruiting researchers to take into account varied career paths).	SP	 Continue to emphasise in training provision for researchers the need to be aware of, and consider, the full range career options both within and outside academia. Continue to advocate giving due weight to the varied employment paths of candidates via 'Recruiting the Best'. 	Joe Thornberry (HR) Fiona McPhail (via HR)	Ongoing Ongoing
3.3	Researchers need to be enabled to develop transferable skills in order to stay competitive in both internal and external job markets. In addition to the Research skills & competencies required to undertake Research, Researchers also need support to develop communication, & other professional skills that will give them transferability.	SP	Training for researchers to be broadly aligned with Researcher Development Framework in order to enhance transferable skills in areas of personal effectiveness, engagement, communication, and impact.	Jo Willmott (HR) Joe Thornberry (HR)	Oct 2011

3.4	Research staff should be able to access professional, independent advice on career management - particularly the prospect of employment beyond their	А	Maintain current training provision for career development.	Jo Willmott (HR) Tom Finnigan (SBS)	Ongoing
	immediate discipline base. Or should be given training & placements to broaden awareness of other fields & sectors.		Maintain a researcher- dedicated 1:1 independent careers guidance support provision.	Jo Willmott (HR) HR Director	Ongoing
3.5	Employers should assist researchers in making informed choices about their career progression by ensuring policies and processes for promotion & reward are transparent & clearly stated.	SP	• As for 2.5		
3.5	Employers should ensure that researchers are aware of local and national career development strategies.	SP	 Actively promote the importance of the Researcher Development Statement and the Researcher Development Framework to researchers and research managers. 	Joe Thornberry (HR)	Ongoing
3.6	Employers should provide a planned induction for research staff on appointment.	SP	 Include induction planning in framework for initial PDR discussions. 	Jo Willmott (HR)	July 2011
			 Include training on design and delivery of local induction in PI development programmes. 	Joe Thornberry (HR)	Oct 2011
			Monitor researcher attendance at central induction events.	HR (OED admin team)	Ongoing
3.7	Employers should articulate the skills that should be developed at each stage of a career, and encourage researchers to acquire & practice these skills.	SP	• As for 3.5		

3.7	Employers should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation.	SP	• As for 2.3		
3.8	Career development strategies should include the availability of mentors (all researchers should be familiar with provisions & arrangements).	SP	Continue to promote the Lancaster approach to Mentoring.	HR (OED team)	Ongoing
3.9	Research managers should actively encourage researchers to undertake CPD activity.	SP	• As for 2.3		
4.10	Employers should introduce appraisal systems for all researchers - ensuring performance is reviewed on a regular basis.	А	• As for 2.3		
4.11	Employers should ensure that researchers can access opportunities that will help them prepare for academic practice.	Review Policies & practices within Faculties & Depts. to ensure consistency of approach.	Joe Thornberry (HR) Susan Armitage (HR)	July 2011	
			Review Academic Contact Policy.	Joe Thornberry (HR) Susan Armitage (HR)	July 2011
4.11	Employers should recognise the CPD schemes from other employing organisations to ensure researchers are not disadvantaged when moving between employers.	А	Maintain current practice of recognising equivalent schemes from other employers in accreditation of CPD in academic practice.	HR (OED team)	Ongoing

4.12	Where researchers are provided with teaching and demonstrating opportunities, they should be provided with suitable training & support.	А	 Monitor and report annually on number of Researchers participating in OED DAP/CAP Programmes & CPD events. 	HR (OED admin team)	Report Sept. 2011
			Promote actively the support provision available.	HR (OED admin team)	Ongoing
4.13	Researchers should have appropriate representation at staff meetings & on organisational/mgt committees.	SP	Produce a Model Charter based on the Concordat that Faculties can refine to local circumstances.	Joe Thornberry (HR)	July 2011
			Current HR Excellence in Research Steering Group to become a Concordat Monitoring Group and include researcher representatives.	Dean of Graduate Studies Jo Willmott (HR)	July 2011
			Bring to senate a proposal to amend the Research Committee's membership to include researcher representation.	PVC for Research	July 2011
4.14	Employers should support mentoring arrangements.	SP	• As for 3.8		

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 REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress (IP)		ACTION TO ACHIEVE/MAINTAIN COMPLIANCE	WHO RESPONSIBLE	TIMESCALE
5.1	Researchers should develop increased capacity for independent thought throughout their career.	SP	•	As for 2.6		
5.2	Researchers should develop their ability to transfer and exploit knowledge & facilitate its use in policy making and the commercialisation of research.	SP	•	As for 2.6		
5.3	Researchers should disseminate research results in an honest & ethical manner.	А	•	Continue to disseminate information regarding the university's revised ethics requirements and procedures.	Debbie Knight (RSO)	Ongoing
			•	Run pilot course on research ethics.	John Foster (Dept. of PPR)	Dec 2011
5.4	Researchers should be aware that the skills and achievements required to move on, may not be the same as the skills and achievements they displayed to reach their current position.	SP	•	As for 2.5 and 2.6		

5.5	Employers have a responsibility to provide appropriate structures to help researchers manage their careers.	SP	• As for 2.6
5.5	Researchers should actively seek out opportunities for development & take personal responsibility for their choices.	SP	Include as a key point in the 'Model Charter'. Joe Thornberry (HR) July 2011
5.5	Researchers should be aware that primary responsibility for managing and pursuing their career is theirs.	А	Continue to provide PDR training workshops aimed at encouraging researchers to make the most of their reviews to help further their career aspirations. Joe Thornberry (HR)
5.5	Researchers should have access to honest advice on their prospects for success in their preferred career.	SP	Communicate to PIs the need to manage the expectations of researchers. Joe Thornberry (HR)
	career.		Ensure that related skills are included in PI development programmes. Jo Willmott (HR)
5.6	Researchers should ensure that their career development requirements and activities are regularly discussed throughout the year with their Research Manager & mentor.	SP	Drive to increase PDR uptake amongst researcher population to 90%. By July 2012
5.7	Researchers are encouraged to record the development activities they have undertaken by keeping a CPD log.	SP	 AS for 2.6 Include in development for researchers the importance of keeping a record of development activities throughout their career. Joe Thornberry (HR) Oct 2011

E: DIVERSITY AND EQUALITY

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

	CONCORDAT REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress (IP)	ACTION TO ACHIEVE/MAINTAIN COMPLIANCE WHO RESPONSIBLE	TIMESCALE
6.1	Public bodies must take positive steps to promote equality and to develop schemes and plans to address imbalance and underrepresentation.	А	• Continue to promote the University's Single Rob Kemp (HR) Equality Strategy Action Plan.	Ongoing
6.2	Researchers should be recruited and retained from the widest pool available.	А	Monitor annually the diversity profile of researchers recruited to the University. Incorporate monitoring as part of the Single Equality Strategy Action Plan.	Ongoing from July 2011
6.3	Address actively the disincentives and indirect obstacles that may impact disproportionately on some groups.	А	• As for 6.1	
6.4	Employers should ensure that working conditions for researchers offer flexibility (parental leave, part-time working, etc). Working conditions should allow male & female researchers to combine family & work.	А	• As for 6.1	
6.5	Employers (Research Managers) should respond positively to requests for flexible working - rethinking traditional ways of working to allow requests to be accommodated.	А	 Continue to apply the University's flexible working request process. Promote flexible working request process to researchers/PIs & investigate the means of capturing records of such requests and outcomes. 	Ongoing

6.7	Recruitment and evaluation panels should be diverse (drawing on ethnicity, age, gender, background, experience, disability etc). Institutions should aim to ensure that the percentage of applicants/appointments should reflect the percentage in the available pool.	SP	• As for 6.1
6.7	Employers should aim for a representative balance of gender, disability, ethnicity & age at all levels of staff - including supervisory & managerial level.	SP	Institutional equality report to include diversity breakdown of researcher population. Rob Kemp (HR) Oct 2011
6.8	Employers should actively address the disincentives and indirect obstacles to the retention & progression of excellent researchers - recognising the nature of research careers has a disproportionate effect on certain groups.	SP	• As for 6.5
			Continue to provide free ESOL training for staff for whom English is not their first language. HR (OED) Ongoing
			Continue to provide discounts on childcare costs through Flexible Benefits programme. Catherine Hadwin (HR)
6.9	Employers should ensure that measures exist at every level of an institution through which discrimination, bullying & harassment can be reported & addressed.	А	Continue to provide access to the Harassment Rob Kemp (HR) Ongoing Network.
			Address, through the actions of the Solutions Group, the issues identified in the 2010 Staff Wellbeing Survey. Rob Kemp (HR) Dec 2011
6.10	Employers should participate in schemes such as Athena SWAN and Juno initiatives aimed at promoting diversity.	Α	Continue Lancaster's participation in Athena SWAN + Juno initiatives. Rob Kemp (HR) Faculties Ongoing

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.

	REQUIREMENT	STATUS Achieved (A) Substantial progress (SP) In progress (IP)		ACTION TO ACHIEVE/MAINTAIN COMPLIANCE	WHO RESPONSIBLE	TIMESCALE
7.1	Institutions agree to review progress against the requirements of the Concordat.	А	•	The University Research Committee will act as the high level reviewing body.	PVC (Research)	Ongoing
7.2	Institutions are required to draw up an implementation plan for the Concordat.	А	•	Current draft and subsequent updates to be ratified by the Research Committee.	PVC (Research)	April 2011
7.2	The signatories (collectively) of the Concordat agree to undertake and publish a major review of the implementation of the Concordat after 3 years.	SP	•	Ensure that Lancaster's internal monitoring review arrangements are capable of producing the data for external reporting req.	PVC (Research)	Ongoing
7.3	Institutions are encouraged to use appropriate tools (such as Careers in Research Online Survey – CROS) to help monitor progress.	А	•	Undertake CROS in 2011.	Joe Thornberry (HR)	May 2011
7.4	Institutions agree to share practice.	А	•	Continue support for VITAE and involvement in VITAE events and activities.	Dean of Graduate Studies Joe Thornberry (HR)	Ongoing
7.5	Employers are required - under public sector equality schemes - to monitor equality & diversity indicators for their researchers.	SP	•	Report annually to HR Committee on diversity make up of researcher staff group.	HR Director	Ongoing

Action Plan to fulfil the principles of the Concordat to Support the Career Development of Researchers

Glossary

HoD: Head of Department, normally used to describe the head of an academic department.

HR: Human Resources, the administrative department that deals with all aspects of employment at Lancaster University.

MEL: Marketing and External Linkages, the main marketing, publicity and external liaison service of the University.

OED: Organisation and Educational Development is a section of HR and deals with all the key aspects of individual, organisational and educational development at the University through workshops and accredited programmes, facilitated events and developmental projects.

PPR: Department of Politics, Philosophy and Religion

PVC: Pro-Vice-Chancellor. Lancaster University has four PVCs, senior academic officers who assist the Vice-Chancellor.

RSO: Research Support Office, provides an advice and guidance service in support of externally-funded research grants and projects.