

Concordat to Support the Career Development of Research Staff

Update on UCLan's 2013 Action Plan and forward planning 2015-2019

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
	A. Recruitment and Selection						
A1	Members of the research community understand researchers are chosen for their ability to advance research.	UCLan has clear advertisement and recruitment processes to defined job specifications that are position relevant. These are available on the Intranet and widely understood by staff. All selections/shortlisting's/appointments are done on this basis	Maintain current position	HR and Recruitment Managers		UCLan has clear advertisement and recruitment processes to defined job specifications that are position relevant. These are available on the Intranet and widely understood by staff. All selections/shortlisting's/appointments are done on this basis	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016
A2	Recruitment and selection processes are informative, transparent and open to all qualified applicants	Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Any queries can be directed to HR for response	Maintain current position	HR and Recruitment Managers		Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Any queries can be directed to HR for response	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016
A3	Person and vacancy specs must clearly identify the skills for the post, and these must be relevant to the role	Person specification clearly articulate where skills and/or qualifications are essential or desirable, and how these will be tested - Application, Interview or Test.	Maintain current position	HR and Recruitment Managers		Person specification clearly articulate where skills and/or qualifications are essential or desirable, and how these will be tested - Application, Interview or Test.	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016

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A4	Recruitment and progression panels should reflect diversity as well as a range of experience and expertise. Recruitment & selections panels should have received relevant recent training. Unsuccessful candidates should be given appropriate feedback if requested	All staff on recruitment panels must have undergone appropriate training prior to interviewing. Panels are constructed ensuring a balance of gender and experience relevant to the post being interviewed. All members of interview panels submit their written notes (if taken) to the Chair for feedback to candidates. Feedback is offered but not enforced and only given where the candidate prefers it.	Maintain current position	HR and Recruitment Managers		The University has recently submitted for and been awarded the Bronze award for Athena Swan. The submission document generated positive feedback including a strong commendation for the university's focus on diversity in the selection of recruitment panels. Furthermore, 100% of Chairs of recruitment Panels have been trained in Recruitment and Selection techniques which includes Equality and Diversity. Internal candidates now all receive feedback and support to put a development plan in place as part of the Home Grown Talent initiative. This is reviewed annually as part of the impact assessment of the recruitment process.	Next review due August 2016 of impact assessment. Results are not published, however, actions are interpreted into the Athena Swan action plan which is updated every six months by the Athena Swan self assessment group. The next meeting of this group is 30th June 2016. There are assessment groups at both University and College level. Plans are in place for a 2017 Institutional submission for Silver, but this is contingent on achieving Departmental awards of Bronze, two of which are being submitted in the areas of Biomedical and Health and Wellbeing in November of 2016. The measure of success will be the achievement of Bronze status for these, followed by Institutional Silver.
A5	The level of pay or grade for researchers should be determined according to the requirements of the post and be consistent with pay or grading in the organisation as a whole	All job descriptions are assessed using the HERA (Higher Education Role Analysis) system and graded accordingly.	Maintain current position	HR / All		As per previous audit.	

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	B. Recognition and Value						
B1	Value and afford equal treatment to all researchers. In particular, the development of researchers should not be undermined by the instability of employment contracts.	UCLan follows national legislation in regard of all contracts, fixed term and full time. Staff have all the same access to development and training opportunities, E& D issues and appraisal systems. No distinction is drawn between contract types other than end date.	Maintain current position	HR/All		UCLan follows national legislation in regard of all contracts, fixed term and full time. Staff have all the same access to development and training opportunities, E& D issues and appraisal systems. No distinction is drawn between contract types other than end date.	In addition, the University Appraisal Scheme includes a commitment to develop researchers beyond the life of their current contract. Please refer to cells below for detail of the available CPD in a number of different varieties and formats.
B2	Everyone involved should be committed to improving the stability of employment conditions for researchers. Implementing and abiding by the Fixed Term Employee Regulations	As above for B1	Maintain current position	HR/All		The University abides by the Fixed Term Employee Regulations. Furthermore, there is a paper currently being considered by the Executive team, which would make UCLan sector leading in terms of providing maximum stability for researchers.	FTCs for all staff employed in this manner are reviewed annually each summer, with the current review underway. If any opportunities to convert are spotted e.g. the work continuing beyond the period defined by the original fixed term contract, the contract will be converted to indefinite at that time. The University hopes to phase out the majority of FTCs wherever possible, and the percentage of staff on these at the University continues to drop - though acknowledges that these will remain for certain tasks that are of a limited period duration in nature.

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B3	Research managers participating in active performance management. This includes career development guidance and supervision	Research managers undertake researcher appraisals and have access to the full suite of Research related training provided by the Research and Innovation office via the internal Itrent training Database and regular circulars from relevant staff	Maintain current position	HR/All		The University as part of its recent re-structuring exercise has created College Directors of Research and Innovation for each of the five colleges - and this member of personnel will have a significant role to play in the mentoring and career development of researchers.	Training needs identified from the annual appraisal exercise and the interim appraisal exercise at the six month point are shared annually with training and development staff for researchers. In this way, they can be incorporated into the training programme for the forthcoming academic year. The next sharing of this information will be via the newly appointed Directors of Research and Innovation, with the Research Development and Support team, in October of 2016 and annually thereafter.

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B3	Research managers should be aware of, and understand, their responsibilities for the management of researchers. Training should be provided, including equality and diversity training, to achieve this. Consideration given to how research managers' performance in these areas is developed, assessed and rewarded.	A suite of management training support programmes is made available to Deans and senior members of staff with responsibility for management, including the University's mandatory Equality and Diversity Programme for managers which is provided with on-line access. Additionally, a one day Managers Workshop is being finalised in which E&D in addition to a range of other anticipated managerial activities is covered. A mandatory diversity in the workplace online programme is available for all staff	Maintain current position	HR/All Training providers		A range of provision helps research managers with their responsibilities, including training development programmes for Heads and College Directors of Research and Innovation, and delivery plan development and review activities. College Directors meet regularly with the Leadership and Development Manager and the Executive Director of Research to review their work in supporting research managers within their School - of which there are currently five in the new restructure.	Across the institution, meetings are being currently set up between the Executive Director of Research, HR Leadership and Development Manager and College Directors of Research and Innovation. It is planned that these meetings will be held once per semester as a minimum, and more frequently if required. The meetings will review the college's research workforce, their performance as well as opportunities for their CPD. The last meeting was held on 4th January 2016 and the next is scheduled for July 2016.

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B4	Organisational systems capable of supporting continuity of employment for researchers	The University offers redeployment to staff who have been in contract for the requisite period, with a dedicated redeployment website and priority access for those at risk of redeployment.	Maintain current position	HR		The University abides by the Fixed Term Employee Regulations. Furthermore, there is a paper currently being considered by the Executive team, which would make UCLan sector leading in terms of providing maximum stability for researchers. Additionally, the University continues to offer redeployment to staff who have been in contract for the requisite period, with a dedicated redeployment website and priority access for those at risk of redeployment.	FTCs for all staff employed in this manner are reviewed annually each summer, with the current review underway. If any opportunities to convert are spotted e.g. the work continuing beyond the period defined by the original fixed term contract, the contract will be converted to indefinite at that time. The University hopes to phase out the majority of FTCs wherever possible, and the percentage of staff on these at the University continues to drop - though acknowledges that these will remain for certain tasks that are of a limited period duration in nature.

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B5	Transparent pay progression in accordance with agreed procedures.	The University operates according to the National Pay Spine as per the rest of the HEI sector.	Maintain current position	HR		Pay progression is as per the previous audit detail for 2013. Progression to Reader, Professor, or upgrade from Prof Level 1 to Prof Level 3 is conducted via an open call annually - and criteria are made available via internal mail out to all staff through the university weekly newsletter, and detailed on the University HR website	The responsibility for convening this process has moved as a result of the restructure, and is managed by the Executive Director of Research in conjunction with the VC and HR. A call has recently gone out, and the first round of meetings to review applications and references will be held on June 7th and June 15th, with a second round to finalise the judgements on 27th July 2016. Furthermore, the criteria for progression to either Reader or Professor are being reviewed, to broaden those terms and allow applications from staff with considerable and demonstrable expertise in pedagogy as opposed to the previous restriction of a purely research based portfolio. This review is ongoing currently, and it is anticipated that new criteria will be announced and available for the next call in May/June 2017. Furthermore, equal pay audits are done annually in September of each year, with HR having scheduled the next one to be undertaken in September 2016. Outcomes of this goes to the University Senior Leadership Team and are also reported to the Athena Swan self assessment team.

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B6	Researchers offered opportunities to develop their own careers.	A range of training is available within UCLan from early to eminent career researcher, that enables progressive skill acquisition. Mentorship from experienced researchers is available on request also. UCLan also runs a scheme of competitive sabbaticals for which researchers can apply.	Maintain current position - and additionally, consider the expansion of the Grad Cert in Career Skills to include Staff as well as Doctoral Research Students	HR/Research Development Manager		The Grad Cert in Research Skills has been offered to researchers and indeed, all training offered to PGRs has now been expanded to allow attendance by Research Staff. Furthermore, the University have developed a unique tool - The RIO Development Framework - to profile opportunities for research staff at each stage of their career	The RIO development framework (rioframework.org.uk) is currently off line and being reviewed by a focus group of College Directors of Research and Innovation, in addition to all contributors of the programme. This is in advance of the Appraisal review, and is to establish the ongoing appropriateness of each course, develop new courses - and determine dates for the 17/18 schedule. Scheduled events for 16/17 continue to run, and have been advertised via the University ITrent staff development web pages.

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B6	Researchers have access to additional pay progression. Transparent promotion procedures	The University operates according to the National Pay Spine as per the rest of the HEI sector. All posts are advertised and all promotional opportunities processed via the normal recruitment and selection procedures.	Maintain current position	HR		The University has established a three-stage professorial grade with clear criteria for progression, and an annual opportunity to progress. The stages also enable the University to match the training to the criteria for each stage which is being implemented at the current time.	The responsibility for convening this process has moved as a result of the restructure, and is managed by the Executive Director of Research in conjunction with the VC and HR. A call has recently gone out, and the first round of meetings to review applications and references will be held on June 7th and June 15th, with a second round to finalise the judgements on 27th July 2016. Furthermore, the criteria for progression to either Reader or Professor are being reviewed, to broaden those terms and allow applications from staff with considerable and demonstrable expertise in pedagogy as opposed to the previous restriction of a purely research based portfolio. This review is ongoing currently, and it is anticipated that new criteria will be announced and available for the next call in May/June 2017. Furthermore, equal pay audits are done annually in September of each year, with HR having scheduled the next one to be undertaken in September 2016. Outcomes of this goes to the University Senior Leadership Team and are also reported to the Athena Swan self assessment team.

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B6	Clear career frameworks for early stage researchers outlined in organisational HR strategies	UCLan's HR strategy makes clear within its objectives its commitment to providing staff with a diverse range of staff development to ensure UCLan remains a sustainable and high performing institution through effective organisational development and resource allocation. This is supported by the research specific training which is connected to each stage of the researcher's developing profile.	Maintain current position	HR		The RIO Development Framework (see above) details the range of opportunities for Researchers at each stage of their career and is mapped to the Vitae RDF. Furthermore, ILM Development accreditation is being pursued for this during academic year 2015/16	As per B6 (1) above, the RIO framework is currently under review with the intention of developing identified pathways for each research route e.g. Research Assistant, Associate, Fellow etc. The launch date for these new routes is planned for January 2017

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	C. Support and Career Development						
C1	Career Development which is comparable to, and competitive with, other employment sectors	UCLan has a programme of research staff training from drop in sessions on bespoke topics to New Supervisor Training (4 days); Supervisor Refresher Training (1 day); the Researcher Toolkit (6 days); Research Leadership Training (6 days) and is in the process of developing a training programme for its Professoriate. This is in addition to a range of comprehensive training events run by HR and advertised via the ITrent central training Database.	Update the UCLan website with all details of staff training. These have been removed during the website overhaul and need re-instating. Develop and advertise the Professorial Programme in consultation with focus groups of members of the current professoriate and management/Deans	Research Development Manager/HR/Deans/Focus Groups (Professoriate)		The HR Itrent system has been updated, and details of all staff training are included within this facility. Furthermore the RIO Development Framework has been launched, a bespoke website offering a full range of practical training for researchers at each stage of their career. The university is currently enhancing career conversations/mentoring opportunities for individuals on a confidential basis, with qualified career staff to support them further in their professional development. This is in addition to attending the pre-existing range of career focussed group-workshop opportunities that are convened for both PGR students as well as staff. See rioframework.org.uk	The research development and support team, through their involvement with ARMA, UKCGE, Vitae, AfRE, UKRIO and other bodies, continually benchmark provision to ensure that what is current in the sector is reflected in University briefings and/or training. In terms of take up, the University reports on Learning Development days per employee, where HR measure the learning recorded on ITrent. This information would be shared with College Directors of Research and Innovation in order that they could inform the preparation of line manager appraisals for researchers, ensuring meaningful dialogues were held on the development undertaken by each. This will be re-introduced for the appraisal timetable 16/17

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C2	Development of transferable skills through embedded training	As C1				As C1. Additionally, it has been found that not all staff realise their potential "transferability". Consequently - a series of workshops is due for launch in 2015/16 which will be called "The Mobile Researcher" - and focus on helping staff to articulate what skills they a) have that are portable and b) what further skills development they may require	The University is also maximising on a tool developed by a member of staff called "Career Edge" which enables staff to engage in meaningful evaluations of their career development and in particular, transferrable skills. This is currently being rolled out through Colleges, and the roll out will continue into 2017/2018.
C3	Training, skills and competencies to carry out the funded project	Researcher Toolkit currently being revised to ensure content reflects Hothouse staff development for research bidders; how to prepare bids; how to manage a research project budget; how to manage a research project team; impact and open access - all linked to funded projects and potential outcomes	Revisions on-going with deadline end September for feedback. New programme intended for delivery as of Semester 2 - January 2014	Research Development Manager/HR/ Head of FDS/ Public Engagement Officer		The Researcher Toolkit has been replaced by the RIO Development framework. This framework contains training on a vast array of subjects relevant to the researcher's professional development - including Funding (rioframework.org.uk)	The Head of Funding Development and Support and their team are proactive in the advertisement, via the University weekly newsletter, fliers, bespoke emails to research groups, and posters - of both the grant finder facilities e.g. Research Research (and more) - and lists weekly the calls for funding, and the results of calls responded to in terms of bid success. This actively educates and incentivises researchers, and has been found to work well in supporting the achievement of University targets which are measured at each meeting of the University Research and Innovation Committee. Weekly circulation to continue throughout 17/18 via AULookout, the staff internal news bulletin.

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C3	Support to develop the communications and other professional skills to be effective researchers and highly-skilled professionals in other fields	New Supervisor Training provides full day on Effective communication techniques and full day on Coaching skills for communication. Both events available and accessible to other staff not currently performing at supervisory level, but aspiring to at some future point.	Maintain current position	Research Development Manager/HR		The New Supervisor Training Programme continues in high demand, and 6 cohorts are booked for completion during 2015/16. Communication skills continues to be a popular third day - and whilst Coaching has been removed as a compulsory day, it continues to be offered within the University and colleagues may elect, or not, to pursue it. In addition to this, a bespoke programme for Women in Science on communicating work to a public audience was held with extremely positive feedback and will likely be repeated. Please also refer to the detail in B6 above	The third day of the New Supervisor programme is to be extracted, and run in parallel with that programme, but delivered to researchers who may not as yet be looking to supervise. This will commence with the new training for researchers programme in September 2016, and evaluated with all training in June of 2017 to measure impact and effectiveness.
C4	Access to professional, independent advice on career management	Opportunities for personal development at the University are varied, providing a range of options to help staff plan, develop and progress their careers. Career Development Workshops and Secondment/Sabbaticals are examples of this in practice	Maintain current position	HR/Careers Advisors/Deans/RIO Training		Please refer to C1, C2 and C3 above - and C5 below	Please refer to C1, C2 and C3 above

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C5	Clear systems that help researchers to plan their career development	See C4 above	Maintain current position	HR/Careers Advisors/Deans/RIO Training		Please refer C1 above. Furthermore the Research Development and Support Team offers sessions delivered to large subject groups, or one to one with individuals, on mapping their experience against the RDF and highlighting where there may be gaps and opportunities. The RIO Development Framework also enables and supports this evaluation. The annual Appraisal scheme with a participation rate of c.98.2% is available to all staff.	In terms of "how" to record research career development, the Vitae Planner was piloted, but was evaluated as unpopular with staff as considered labour intensive. Consequently, the Itrent system for CPD internally was adapted to allow staff to not only record pre-arranged session attendance i.e. sessions booked and advertised by the University - but also record conference attendance/personal CPD/other - as they wished. This now provides an invaluable tool for purposes of appraisal and development dialogues with line managers.
C5	Assist researchers to make informed choices about their career progression by ensuring policies and processes for promotion and reward are transparent and clearly stated.	See C4 above	Maintain current position	HR/Careers Advisors/Deans/RIO Training		Please refer C1-4 above	Please refer C1-4 above

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C6	Research managers provide effective research environments for training and development of researchers, encouraging CPD	The appraisal process provides the opportunity for researchers to flag to managers the skill development required for their current role. The research staff training programme is advertised via the staffing database ITrent, and includes the option to mark attendance as being required in response to appraisal requirements	Maintain current position	Research Managers/Deans/HR		The University Intranet notes and encourages staff and their managers to have 1:1s regularly, not just at the point of annual appraisal - and there is guidance on the same intranet on best practices for productively achieving this. Many options are always available for development, such as job shadowing, mentoring and coaching. Bespoke training rooms have now been developed for the training of research staff, and investment has been made in qualified researcher developers, trainers, and a focus on the value for researchers of networking opportunities and peer-to-peer learning and development.	The focus group looking at the RIO framework includes active researchers and Directors of Research and Innovation, amongst other colleagues and it is hoped that the development of identified pathways for research careers will further facilitate access , and further enhance take up. This will be reviewed during the period January -June 2017 - refer above for detail.(B6 - 3)
C6	Planned induction programme for researchers	Currently, all academic staff attend a generic induction at which research is represented. Consultation undertaken with recommendation that a research specific induction event should be developed and offered for all academic incoming staff - as is currently done for all research students. Content to be negotiated in the forthcoming period for delivery and implementation by June 14	Development of Researcher Specific Induction Programme for new academic staff - with Research focus and content - to commence after June 14	Research Development Manager/HR/ Director of Research/Deans		Academic Induction for Researchers was introduced as planned, and is still running - offered once per semester for new and incoming staff. This covers the whole range of training that is available for researchers - and has presentations by representatives of all the key areas with which they are likely to engage e.g. Funding, REF, Open Access, Data Management, Entrepreneurial schemes, Training etc.	Feedback for this has been recently evaluated, and it is clear that certain content is more fitting for Research Assistants and Associates than Professoriate. Consequently, an amended version will be launched in October 2017, with split sessions for targeted audiences. This will be reviewed throughout the year, and format considered again in June/July 2017.

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C7	Articulation of skills that should be developed to support career progression	The Concordat and RDF are distributed via the website, and also in hard copy - complete with lenses as and when they are developed and available for distribution. These are then interpreted through the course of appraisal sessions with staff, and development events targeted accordingly	Ensure continued distribution of all materials and training, pertinent to the career development of researchers from appropriate sources e.g. Vitae, RCUK, HEFCE etc.	Emma Sandon-Hesketh; Kath Houston (Careers);		As per previous audit and refer to C1-5 Careers Conversations for Researchers.	Please refer C1-5
C8	Researchers are aware of local and national career development strategies	See C4 above	Maintain current position	HR/Careers Advisors/Deans/RIO Training		The University subscribes to Vitae, ARMA, UKCGE - various other national bodies and a range of subject specific councils and agencies to ensure that there is an opportunity to receive and distribute details pertinent to researchers across the spectrum. It is envisaged that this will continue. Furthermore, the Career Conversations focus on specificity of area, and the careers training that is undertaken is an opportunity to share generic, as opposed subject specific, career development news, strategies and events.	Continue to provide meaningful and advised opportunities for career guidance for staff, by virtue of scheduled events in the training programme; appraisals with line managers; 1:1 mentoring and coaching - and review attendance annually to ensure take up. Continue to share publications from Government, RCUK and Professional Bodies and encourage Directors of Research and Innovation to support this cultural awareness also.

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C9	Research Managers should actively encourage researchers to undertake CPD activity so far as is possible during the project.					All researchers are covered by the UCLan induction, probation and appraisal process, which encourages CPD plans to be in place for each individual.	As noted elsewhere, the appointment of School based Directors of Research and Innovation provides another conduit through which the centre can liaise effectively, ensuring information on CPD opportunities reaches all appropriate staff.
C10	Appraisal systems for researchers	As B3	As B3			See B3 - Additionally, a specific Appraisal form for researchers has been introduced for 2015/16 and will be disseminated as part of the appraisal process.	HR will be evaluating the benefit of the specifically designed forms with Directors of Research and Innovation, following the appraisal cycle for 2015/16.
C11	Preparation for academic practice i.e. teaching and administration	The University offers the Teaching Toolkit which is accredited to HEA level SD1 or SD2 if the member of staff continues to the Diploma. This offers training in pedagogy for staff who are new to or inexperienced in the delivery of teaching and is readily available to all staff via four cohorts per annum. It is compulsory for all staff who have no previous teaching experience	Maintain current position	Principal Lecturer in Academic Development; HR; ADE		As per previous audit. The Certificate offers an access route to professional accreditation, and provides structured opportunities to develop, acquire confidence and skills, pedagogical tools and concepts, in order to effectively support learning for a diverse body of both staff and students. Within the context of this certificate, PDP is about planning and implementing professional and practice development in order to address personal and professional objectives around teaching and learning support. This preparation is thorough and includes peer observations, feedback, reflection and theoretical underpinning.	Furthermore, the University has implemented in full consultation and appropriately advertised, criteria for the appointment of academic staff which require them to possess or be near completion of a PhD on appointment.
C12	Training when researchers are engaged in supporting learning and teaching	As above				All researchers involved in teaching and learning must progress to D1 or D2 of the Professional Standards Framework, monitored via appraisal	Continued monitoring through appraisal - though note point in C11 above.

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C13	Researchers should have input to policy and practice through appropriate representation at staff meetings and management committees					Researchers at all levels participate in decision making committees and policy formation at UCLan through formal and informal representation. These staff groups, meetings and committees are held at every level, and new Research and Innovation Committees at College and University level have been set up to capture these dialogues, as part of the recent restructure.	
C14	Availability of mentors in providing support and guidance for CPD	The University operates a centralised mentorship scheme, and mentors can be allocated on request and subject to the availability of a suitable mentor.	Maintain current position	HR/All		Mentoring guidance is accessible to all potential mentors and mentees. Matching can take place informally or via HR and can meet all purposes if clearly defined at the outset. Mentors have been found in 100% of cases to date under the central scheme. Coaching is also available to all staff on request. The university has strong Coaching Network of colleagues who have completed their Coaching training, and meet - to discuss continuing CPD requirements, or conduct group supervision.	Continue to advertise mentoring and coaching opportunities to staff via the circulation of regular information through the staff development bulletin sent weekly as part of AULookout.
	D. Researchers Responsibilities						

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D1&2	Researchers should develop increased capacity for independent, honest and critical thought. Researchers should develop their ability to transfer and exploit knowledge	A range of opportunities are provided for researchers - to engage in training, peer review, mentoring, coaching, external conferencing and other research activities including Knowledge Transfer and Public engagement. From these, it is anticipated that the researcher will develop in supported independence.	Maintain current position	All		The University workload model allocates time to researchers at all levels to undertake their research. Such work may include income generation through external grant capture; conference attendance; journal articles; book publications; sabbaticals; or other opportunities to enable the sharing and transfer of knowledge	Measures include REF, the achievement of Funding Targets, the release of publications to the University open access repository; the production of journal or conference papers, and the hosting of internal seminars across the University.
D3	Researchers should conduct and disseminate research in an honest and ethical manner	The University subscribes to the principles of the Concordat on Research Integrity and is in the process of demonstrating this compliance through detailed web pages. Five modules on Research Integrity have been purchased from the Epigeum suite - and all training includes reference to Data Protection, Freedom of Information, Insurance, IPR, Malpractice and Maleficence	Maintain current position	Research Development Manager; SDS; Safety and Health Executive		The University has recently discussed the interpretation of "integrity" at it's University Ethics committee, a discussion which will be interpreted into a revised Code of Conduct for Research and Integrity for Researchers. I has also participated in conferences on this topic, most recently the UKRIO conference, which UCLan is now a member of. A Research Integrity Sub Committee has been developed which is being held once per semester, to look at any instances of allegations of research malpractice, and a Code for the Investigation of Allegations of Research Malpractice has been developed in consultation with staff, circulated, and is now fully operational.	To update the Code of Conduct to the Code of Conduct for Research and Integrity to reflect the recent discussions. To have this new Code approved and in circulation by September 2016, and to maintain the calendar of RISC meetings to ensure the development and monitoring of best practice.

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D4	Researchers should be aware that the skills and achievements required to move on from research position may not be the same as the skills and achievements which they displayed to reach that position					The staff development webpages show skills required at each level of research position, so staff can plan their CPD towards their next position. The 'mobile researcher' workshops help staff understand their transferable skills, which may differ from one post to another.	
D5	Researchers should recognise that their primary responsibility for managing and pursuing their career is theirs. Seek out opportunities for learning and development	Researchers are provided with a range of opportunities to undertake the research training available in house, and encouraged to publish and conference externally. Statistics provided by the internal training team enable Deans to measure the level of activity of their staff and address via appraisal.	Maintain current position	Directorate; Deans; Professoriate Group members		As above, Researchers are well furnished with a range of activities to develop their research portfolio. The re introduction of the measurement of individual learning days (see above) will measure the extent to which this is being operationalised effectively, and where there are deficits, these will be addressed via appraisal.	Measurement of individual learning days - and reports made available to Directors of Research and Innovation for the appraisal cycle 2016/17 and beyond
D6	Research managers should encourage CPD	As D1,2,3 and 5 above	Maintain current position	Directorate; Deans; Professoriate Group members		As per previous audit - enhanced by the introduction of bespoke appraisal documents for research related staff.	

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
D6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated.	As B3 Appraisal - above	Maintain current position	All		University Intranet notes and encourages staff and their managers to have 1:1s regularly, not just at the point of annual appraisal - and there is guidance on the same intranet on best practices for productively achieving this.	
D6	Researchers encouraged to record their CPD for presentation to future employers	All research staff maintain records of training and other research activities via updated CVs and by entry into the centralised staff development Database - Itrent	Maintain current position	All		As noted previously, the Itrent system has been modified to allow researchers to both record the events that are hosted internally to UCLan, and also, any other events or research related activity that they undertake in the course of their professional development	To allow Directors of Research access to the Itrent records for their researchers, to ensure that CPD and other activity can be monitored and reflected upon at the time of annual appraisal, and in any other dialogue with the researcher.

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
	5. Diversity and Equality						
E1&2	Organisation takes positive steps to promote equality and to develop specific schemes and action plans to address specific issues of under-representation or lack of progression. Recruitment and retention of researchers from the widest pool	UCLan has clear advertisement and recruitment processes to defined job specifications that are position relevant. These are available on the Intranet and widely understood by staff. All selections/shortlisting's/appointments are done on this basis Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Any queries can be directed to HR for response	Maintain current position	All		As per previous audit. Also, the University, in September 2014, received the Bronze Award for Athena Swan; and in April 2014, received Gold for Investors in People. There is also an action plan in place for the Race Equality Charter Mark, and resubmission planned	Gold for IIP was successfully reviewed in November 2015 and resubmission for the Race Equality Charter Mark is planned for 2017. As noted above in relation to Athena Swan, the university aspires to submission for Silver, subject to the satisfactory achievement of Bronze at two departmental levels, currently being prepared for submission. Furthermore, the Equality and Diversity group meet at executive level to strategically review issues of under-representation, and this group meets four times per annum. The University abides by all advertising requirements stipulated by government and other bodies, and specifically targets, on occasion, female staff, disabled people and ethnic minorities by noting that applications from these categories are particularly welcomed. A research project has also been undertaken on the language of job advertisement, and how this language might affect or influence applications from different minority/under-represented groups.

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
E3	Address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately affect some groups	UCLan is committed to enabling all individuals irrespective of age, disability, gender, race, religion and belief and sexual orientation. UCLan aims to be an integrated community based on mutual respect and tolerance where all staff and students can feel safe, valued and supported.	Maintain current position	All		As per previous audit. Also, the University is undertaking focus groups and surveys to understand individual experiences more effectively	Focus groups to continue and an Equality Impact Assessment activity scheduled for September 2016.
E4&5	Respond flexibly to requests for changes to working patterns and resist instant refusals based on 'we don't do it this way here'	All members of staff, in accordance with the Staffing Handbook, are entitled to request variations to contract in response to circumstance - and where these can be accommodated without compromise to business process, they will be implemented.	Maintain current position	All		The vast majority of flexible working requests are agreed locally, some involve changes to contract, but most are incorporated into local working practices	The University scheme meets current legislation around the Right to Request flexible working, and 100% of requests are responded to within timescale. HR will challenge managers in the event that they believe a request has been wrongfully denied, thus retaining objectivity.
E7	Transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity reflected in selection and evaluation committees	As above for Recruitment and Selection	Maintain current position	All		Regular audits of the Recruitment and Selection Data - looking at number of applications, numbers shortlisted and appointed - for every group - to ascertain whether any discriminatory practice is in evidence. The University is also looking into the provision of training into Unconscious Bias and hopes to bring that on-stream. The priority will be recruiting managers before roll-out to other staff.	Unconscious bias training is now in place, implemented since the date of audit, and has received positive attendance and feedback. The roll out to those staff involved in recruitment and selection panels continues to be the current priority, with a broader roll out to all staff envisaged in 2016/17 and beyond.

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
E6&8	Account taken of researchers personal circumstances. Change policies or practices that directly or indirectly disadvantage such groups	As above for E4	Maintain current position	All		The appraisal process includes questions on Wellbeing, and a new staff resource "Soul - Shaping our Uclan Lives" has been introduced, that also supports this. There are also policies for carers, parents, foster carers, maternity and paternity leave, special leave - and all have been discussed with Trade Unions. Policies are regularly reviewed to ensure that all groups are represented, and those with particular needs accommodated. All legislative changes are reflected in policy, and incorporated as required. Furthermore, UCLan was sector leading in introducing a shared parental leave scheme, which it continues to offer	Ongoing review with Trade Unions. The HR Leadership and Development Manager regularly liaises, and annually reviews policies to ensure ongoing appropriateness. This will continue, and amendments will be made as required.
E9	Measures exist for discrimination, bullying or harassment to be reported without adversely affecting careers of innocent parties	Such procedures to deal with any form of discrimination, bullying or harassment are clearly articulated, transparent and accessible in the University Staffing Handbook. These are well established. In addition, mediation services are available.	Maintain current position	All		As per previous audit. Additionally, the mediation service is now in its 6th year of operation and has been positively evaluated despite small numbers over the past two years.	Continued use of policies and mediation facilities, as documented in the current Staff Handbook.
E10	Consideration of participation in schemes such as Athena Swan Charter, the Juno project, and other initiatives.	The University is a Charter Member of Athena Swann and is progressing its application for Bronze member status.	Application to be submitted for Bronze Status	HR		Athena Bronze received (see above) . Two Colleges are in the processes of preparing Athena Swan submissions which would include the Juno award.	Submission of two Departmental submissions and, subject to success, submission for Institutional Silver in 2017.
	6. Implementation and Review						

	Concordat Area and Issue	Current Position (written for 2013 Audit)	Proposed Action at 2013	Responsible		Current position (written for 2015 Audit)	Forward Plan/Measure of Success - 2015-2019
	Undertake regular review of progress in implementing the principles of the Concordat via a Steering Group	The CIG (Concordat Implementation Group) continues, though its original membership has altered to reflect the retirement of original members of staff where applicable. Membership is representative of all offices with responsibility for the on-going and forward thinking development of researchers.	Maintain current position	CIG/All		The review and evaluation of training throughout each year is carried out in a significant variety of ways. Individual evaluations post-each training event; focus groups with staff and students on a regular basis; evaluations via the PGR forum; evaluations via Research Degree Tutors via the Annual Monitoring process; contributions from PGR students via the PhD society; feedback from the Athena Swan SAT; reports to the University Academic Board; and in addition to these formal mechanisms, a readiness to accept individual or group feedback at any point throughout the year.	Since the introduction of College Directors of Research and Innovation, and College Research Integrity Committees, reporting has now been expanded to include these. Independent evaluations by the DRIO will also be undertaken, using access to Itrent staff records as mentioned previously in this update report.