The Concordat to Support the Career Development of Researchers: Action plan template (January 2021 - December 2021)

UNIVERSITY OF LIVERPOOL

hr EXCELLENCE IN RESEARCH

Details		
Institution name:	University of Liverpool	
Cohort number:	4	
Date of submission:		

The institutional audience* for this action plan includes:

Audience	#	Comments
Research staff	1430	At the University of Liverpool, we have 920 staff on research only contracts and 550 PIs who are in receipt of grants. Staff on research-only contracts consist primary of those early in their research career. They play a vital role in the development of creative and life changing research and are considered an important asset to the university's culture and environment. PIs/Research Managers are also key beneficiaries of the RD Concordat. They provide steer and direction for the research activity and are role models to the postdoctoral researchers/associates and research fellows who work with them.
Research and teaching staff	980	**Note:** There are a number of cross-overs between this number of research and teaching staff, and those PIs in receipts of grants.
Technicians	650	The University of Liverpool is a signatory to the Technician Commitment , which segues with the Concordat's support for the diversity of staff roles engaged in delivering or supporting high-quality research.
Clinicians	N/A	
Other (please provide numbers and details):		**Note:** The primary beneficiaries of the Researcher Development Concordat at the University of Liverpool are those employed to conduct research - particularly those early in their career, including postdoctoral researchers, research associates, research assistants, early career research and tenure track fellows. However, as indicated above, we recognise that the benefits of the Researcher Development Concordat activities extend to other groups of individuals who actively engage in research within the University and who are expected to develop their research identity as part of their career progression. These include staff on teaching and research or teaching-only contracts, research-related professional support staff and technicians whom we include in representation on the University's Concordat Steering Group.

Note on the University of Liverpool's Environment and Culture:	**Institutional Context:** In recognition of the University's commitment to the Researcher Development Concordat, it has continuously held the European Commission's HR Excellence in Research (HREinR) Award since September 2011, reviewed biannually. In July 2020, the University also became a signatory to the Revised Researcher Development Concordat for which this Action Plan document has been produced. This document is a reflection of the Universtiy's HREinR Action Plan (2020-2021) and the 2015-2019 review report, which can be found at: https://www.liverpool.ac.uk/researcher/hr-excellence-in-research-badge/
	Cultural Context: The University's Research and Impact Committee (RIC) oversees the development and implementation of strategies, policies and frameworks and the enhancement of the University's research culture and environment. RIC receives regular updates from the Concordat Steering Group (CSG) and, in turn, reports to Senate and Council and to the Planning and Resources Committee. The PVC Research & Impact chairs both RIC and the CSG, ensuring close alignment between the two. The CSG provides the key operational mechanism for driving forward initiatives within our institutional Action Plan and is constituted to enable real, on the ground activity to happen, whilst ensuring support from the University's senior leaders. Critically, the CSG includes significant representation from the researcher community at all levels, ensuring a consistent reflection on the realities of the researcher experience at Liverpool. Terms of reference and membership of the CSG are reviewed on an annual cycle and the work of the Group is fully embedded within the operation of the University. Both the RIC and the CSG membership includes research staff representatives from across the University's three faculties and the UoL Research Staff Association Steering Group. The CSG meets every 6-8 weeks. Additional are coordinated by The Academy to take forward specific development focused actions within the Action Plan.
	RISE Project: The Research in an Inclusive and Sustainable Environment (RISE) project is one of the responses being undertaken by the University of Liverpool to the COVID-19 pandemic. Not only has the pandemic necessitated a rapid pivot in research to tackle the crisis, it has simultaneously created new challenges in the research environment, whilst turning a spotlight on issues that already exist. Reporting for RISE will feed into subsequent Concordat documentation.

Note: A list of abbreviations is available at the bottom of this document.

Clause	Obligation	Action	Cross-reference with Action in HREinR Action Plan	Success measure (SMART)	Relevant hyperlink(s)	Deadline	Responsibility	Progress update (to be completed for submission in December 2021)	Outcome/ result (to be completed for submission in December 2021)	Old Concordat principle and clause
Environment and Culture (EC)										
Institutions must:										
ECI1	Ensure that all relevant staff are aware of the Concordat	Foreground the principles and implications of the Concordat at all levels of staff, through agreed communication and monitoring mechanisms	7.1.1	Concordat effectively aligned with Athena Swan (and associated EDI agendas) and Technician Commitment through all formal reporting mechanisms by having at least one representative of the respective initiative on the relevant steering groups		On-going in line with formal reporting	CSG/ PVC R&I / APVCs R&I/ APVC RE&PR			New
				Synergies and connections with preparations for REF and in particular the Environment Statement, are fully articulated		On-going in line with REF timelines				
		Foreground awareness of support for researchers in all interactions with PIs and research staff (See Section 3.13.2 of the 2015-2019 review report)		Regular briefings for PIs and research staff prepared that update on the opportunities available (See sections EM1, ER3 and PCDR6 of this document)		As per timelines of referenced actions	The Academy / The Prosper Team / RSA			
		Ensure the principles and intent of the Concordat are reflected in the refreshed University Strategy (See also ECR2, ECM3, PDCM3, PCDM2, EM3, PCDM5, ECI5, and PCDR3 of this document)		The new University Strategy will make clear the University's commitment to the effective career development, support and success of all research and related staff		In line with Strategy Development timeline over 2019-20	PVC R&I			
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	All new policy development will incorporate appropriate consideration of equality and diversity concerns, including in relation to contractual status. (See Section 2.2 of the 2015-2019 review report) (See also PCDR3 & ECM4 of this document)	2.2.4	Work towards Equality Impact Assessments (EQIAs) to be conducted by policy owners for 100% new research-related policies, ensuring that all new policies submitted to the University include EQIA summary		July 2021	Policy Authors & Associated Senior Managers / HR / The Academy			P2.1 P6.8
				Work towards members of all relevant committees to engage in bespoke development on EQIA processes		In line with agreed timelines.	PVC R&I /APVCs R&I & APVC RE&PR			
ECI3	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	Project Group to review processes as part of institutional review of Research in an Inclusive and Sustainable Environment (RISE) culture.		Using insights through a 3-pronged approach to identify a range of new approaches and ways of working.		In line with Project RISE timelines	PVC R&I and HSS APVC R&I			
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Clarify expectation that all research staff should complete the online Diversity & Equality module.	1.2.2	Rolling target of 100% completion of training by relevant research staff within their first six months in role		January 2022	HR/ The Academy & APVCs R&I & APVC RE&PR			P2.3
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Enhance the provision of research ethics development and the structures and governance required to ensure effective practice. (See Sections 5.3.1 & 5.3.3 of the 2015-2019 review report) (See also ECM5, PCDM3 EI1 & ECI1 of this document)	5.3.2	Renewed online Ethics and Research Integrity module available and completion monitored by the Committee on Research Ethics and the Research Integrity and Governance Committee.		January 2022	Faculties APVCs R&I / APVC RE&PR/ RPI / The Academy			P6.1
				Launch of a Research Ethics Handbook containing a wide variety of policy, guidance and procedural information following the June 2020 meeting of the University's Committee on Research Ethics		In line with agreed timelines.	RPI			
ECI6	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	Use of institutional data from the 2019 institutional staff survey and the CEDARS survey (which replaced CROS and PIRLS) to inform future support for researchers. (See Sections 3.5.2 & 7.1.2 of the 2015-2019 review report)	7.2.1	Review the data and identify where provision can be enhanced, taking into account by equality characteristics where possible.Include this in feedback to researchers via the RSA.		Ongoing	The Academy			P6.10 P7.5
		The University will continue to engage with the Athena SWAN Charter as a means to distinguish and embed good practice with regard to equality and diversity. Our aim is to progress from our current institutional Silver award to Gold. (See section 6.1 & 6.10 of the 2015-2019 review report)	6.10.1	Align the activity of the Concordat Steering Group with that of the Athena SWAN. An ongoing commitment to the achievement of an institutional gold award.		In line with Athena SWAN planning timelines with applications being made in April and November each year	Athena SWAN Steering & Implementation Group/ HR/ Academic depts.			
				Increased number of institutes and departments receiving Athena SWAN accreditation and aim for 50% of Schools/Institutes to hold a Silver award.		As per agreed timelines				
Funders must:										
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies	Deliver Wellcome Trust Roadshow at UoL with representation from Regional Universities and Funders, focused on the creating a positive Research Culture	3.1.3	100 attendees at the event and forward actions linked to on-going research staff development and career planning		In line with agreed timelines.	The Academy			P6.6

1

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ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers	N/A	N/A	N/A		N/A	N/A			New
ECF3	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	N/A	N/A	N/A		N/A	N/A			P6.6
Managers of researchers must:										
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Ensure that those responsible for institutional and faculty research leadership are appropriately informed to lead equitable policy development. (See Section 3.13.2 of 2015-2019 review report)	2.2.5	Initial survey and focus group with RSA members to ascertain awareness of existing policies linked to research careers to inform a benchmark. Targets for increases in awareness and engagement agreed following benchmarking.		According to agreed timelines	The Academy & RSA			New
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Open Research foregrounded as a key agenda for UoL and effectively engage research staff in developing this area of their practice. (See Section 5.3.5 of the 2015-2019 review report)	5.3.1	Completion of project to examine how to embed use of responsible metrics and open research practices in the university. - Evidence of Open Research practice agreed (selection criterion i.e. engagement with Open Research & FAIR data) - Workshops on the Open Research agenda, beyond publications, communicated effectively – including sessions on Open Data, public engagement, platforms, tools and services -Introduction of online training and information sessions -Setting a benchmark and then monitoring year-on-year percentage increases in the number of records being created in the Data Catalogue.		April 2021 Timescale is the duration of 2020 to 2022, with annual checks on the figures	Open Research Support Team			New
ECM3	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	Design and launch new obligatory role-related training module that explains the Researcher Development Concordat Principles and resulting responsibilities for staff (See also PCDM3, EI1, ECI5 & ECI1 of this document)	1.2.5	Launch of the online Researcher Development Concordat module for all relevant staff groups (via targeted comms) Completion of obligatory role-related module by at least 20% new grant holders within six months of beginning grant.		May 2021 Rolling monitoring after launch with assessment point May 2021	The Academy The Academy/RPI			P6.9
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Ensure that all research staff and research leaders are fully aware of the legal and policy requirements and the University's stated position on flexible working. (See 6.1.1 of 2015-2019 review report). (See also EM2, PCDI1, EI1 & PCDR3 of this document)	6.4.1	Rolling target of 100% completion of training by relevant research staff in place and actively monitored 5% increase in number of researcher mentors (See Section PCDR3 of this document) The Academy and RSA to launch dedicated case studies (at least 4 per year) focused on research staff and PIs discussing their experience of related employment issues (See sections ER3 and ER5 of this document) Embed a focus on Wellbeing as a mechanism for retention of research talent by ensuring a representative of the RSA on the Wellbeing Board Provide a dedicated online 'living' resource for research staff to access advice regarding maternity, paternity, adoption or parental leave, and return from parental leave. Cascade information via RSA and local ECR networks to 100% research staff Advertising the UKRSA guidance via our volunteer Family Friendly Advisers, ensuring that Advisers are briefed on signposting research staff to suitable resources and contacts.	UKRSA guidance	January 2022 As per agreed timelines. For academic year 2020-21 April 2021 January 2021 Ongoing	Faculties APVCs R&I / APVC RE&PR / HR / The Academy Faculties APVCs R&I / APVC RE&PR / HR / The Academy RSA / The Academy RSA / The Academy The Academy RSA / The Academy			New
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Review and, where necessary, refresh Recruitment and Selection Training to ensure consistent and equitable practice from all mandated roles	1.2.1	Effective Recruitment and Selection Training available and actively engaged in by Research Leaders and parallel roles, with a 20% increase on current baseline.		January 2021	HR/ The Academy / APVCs R&I & APVC RE&PR			New
Researchers must:										
ECR1	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	Review and, where necessary, refresh the Unconscious Bias Training offer to ensure consistent and equitable practice from all relevant roles. (See Section 6.1.1 of the 2015-2019 review report)	1.2.3	Unconscious Bias Training available and actively engaged in by 10% of research staff (building on currently low engagement)		January 2021	The Academy & APVCs R&I & APVC RE&PR			New
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	Research, design and publish 'effective practice' guidance on all aspects of Postdoc recruitment and employment (Inc. cultural transition, return to work, extended leave, parental rights) (See also PCDM2, PCDR2, PCDR1, EM3, PCDM5, PCDR3 & ECI1 of this document)	1.2.4	Guidance disseminated to all research managers / PIs and related roles through targeted communications. 100% research staff made aware of guidance via UoL RSA and associated channels, including Athena Swan Faculty Groups. Ensure effective feedback loops from ECR Networks and Reps to monitor impact on practice.	Prosper Project UoL RSA	June 2021	Co-creation led by HR the Prosper Project Team and HR with cross-faculty input			P5.3
ECR3	Take positive action towards maintaining their wellbeing and mental health	Project Group to review processes as part of institutional review of Research in an Inclusive and Sustainable Environment (RISE) culture.		Using insights through a 3-pronged approach to identify a range of new approaches and ways of working.		In line with Project RISE timelines	PVC R&I and HSS APVC R&I			New
ECR4	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	Project SHAPE will ensure that Equality and Diversity is embedded within the fabric of the HLS Faculty restructure.	6.4.2	New appointments in HLS to include: - APVC Environment and Infrastructure (portfolio to contain EDI and wellbeing) - EDI and Wellbeing Director in each Institute (Chair level appointment to ensure senior PIs are held accountable) - EDI faculty co-ordinator to elevate best practice; and dedicated professional staff support in each Institute.		2020-2022 In line with Project SHAPE timeline	HLS Research & Impact Directorate			P6.9
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Maximise opportunities for research staff to engage in formal and informal working groups, committees and organisational meetings, including those focused on policy development. (See Section 3.13.2 of the 2015-2019 review report) (See also EM5, ER4 & PCDR1 of this document)	3.13.1	Numbers of research staff engaging in the below activities will be audited on an annual basis to monitor engagement and enhance participation: - RSA and local research staff networks actively engaged in policy development through representation on at least two pan-University policy-making committees - At least one representative of the UoL RSA or local research networks directly represented at organisational meetings, as appropriate with each Faculty		Ongoing January 2021	APVCs R&I / APVC RE&PR / HR / Faculty Leadership Teams			P3.13
Employment (E)										
Institutions must:										

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EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Institutes and Schools encouraged to embed the principles of the Concordat in everyday operations and practices and reflect ensure the Concordat is reflected in Institute strategies. (See also ECM3, PCDM3, EM2, PCDI1, PCDR5, EI1, ECI5, & ECM4 of this document)	3.10.2	As per section EM5 of this document, pilot new approaches to embedding the Concordat in local practices. Measures will potentially include: - At least one Concordat related meeting per semester, with an aim to benchmark the number of participants - Local training of at least 50% PDR reviewers on the impact of the Concordat on Faculty practices (see section EM3 of this document) - Concordat embedded in local inductions and 100% of new staff / grant winners being introduced to the Concordat and its implications (see sections ECM3 and EI2 of this document) - Include Faculty commitment to the Concordat in externally facing websites and on staff intranet pages - Assess local impact of focus on Concordat via measures including number of fellowship applications, success rate, increase in number of applicants that participate in mentoring		2020-2022 In line with Concordat Action Plan deliverables	APVCs R&I with Deans Cascade of learning via Education / Research Directorates and The Academy			P1.2 P6.2 P6.7
EI2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Review renewed induction process (launched 2018) in terms of effectiveness for research staff (See Sections 2.2, 3.6.1 & 3.13.2 of the 2015-2019 review report): -Ensure induction processes and resources effectively inform research staff and research leads of organisational structures and the UoL research environment -Ensure effective role-specific obligatory training is in place -Ensure all relevant organisational policies and processes are effectively communicated to research staff and research leads (including Concordat, EDI and Flexible Working) -Ensure induction at institutional and local level effectively informs research staff of the multiple professional and career development options available, including accredited teaching programmes -Utilise induction as a way of supporting research staff to form professional and personal networks - Pilot HLS Faculty Research Induction sessions to reflect local research and research support roles (See section PCDR5 of this document)	3.6.2	Work towards 100% of Research staff and research leads engaged in the agreed central and local induction processes and procedures, as appropriate 2 RSA coordinated focus groups conducted to review the induction experience of researchers and inform future practice 'Effective Induction' concerns embedded with PI development (see section EM1 of this document) All new contracts come with a new, updated induction handbook and link to support and development, including where staff have already been within the university on previous contracts HLS research induction pilot offered to 100% of research related staff including those professional services who support research		January 2021 Ongoing and May 2021 On-going in line with Senior Induction cycle Ongoing July 2021	The Academy / APVCS R&I & APVC RE&PR RSA/ The Academy The Academy / APVCS R&I & APVC RE&PR APVCS R&I / HR HLS R& I Directorate			P3.6
EI3	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	Undertake a review of good practice in academic Schools, departments and institutes regarding availability and method of distribution of bridging funds (between grants) and disseminate across the University.	2.4.1	HR to collate information and create guidance for Depts. around the use of bridging funds Dissemination of this guidance via committee structures and appropriate online portals, with access and engagement monitored in order to establish a benchmark for ongoing effective practice		Ongoing	HR in liaison with Faculty APVCs R&I & APVC RE&PR			P2.6 P6.3 P6.4 P6.7
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Ensure that the implications of the University's renewed Promotion Criteria are made clear to research staff, supporting their ability to effectively build their professional profiles and career planning. (See Section 3.13.2 of the 2015-2019 review report) (See also ER4 of this document)	3.5.1	Bespoke guidance on new Promotion Criteria for researchers disseminated via liaison with Faculty teams and Researcher Hub and RSA. Number of applications for promotion from relevant staff groups monitored by gender following launch to establish a benchmark for ongoing effective practice.	Researcher Hub	In line with 2020-2022 Promotion Project timescales	PVCs R&I and Education / HR / APVCS R&I & APVC RE&PR Faculty Leadership Teams			P2.3
EI5	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	Provide advice and guidance to research staff on 'gaining research independence' within the disciplines (See link with PI development in sections EM1, PCDM4 and PCDM5 of this document)	2.6.3	Publication of 2 Researcher Newsletters annually (in the style of our current Technically Speaking [intranet link] magazine) to further foreground research staff opportunities and success Once established, researchers will be asked to report on the role played by these resources in their success.	Technically Speaking [intranet link]	January 2021	APVCs R&I / APVC RE&PR / RPI / The Academy			P2.6 P6.3 P6.4
EI6	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	-	-	-		-	-			P1.3 P2.1 P2.2
EI7	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	-	-	-		-	-			P3.13
Funders must:										
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies	N/A	N/A	N/A		N/A	N/A			P2.4
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security	N/A	N/A	N/A		N/A	N/A			New
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression	As part of the N8 consortium secure support from N8 Strategic Executive Group (SEG) to develop a northern Technical Network, hosting a conference for N8 technical staff in partnerships with Newcastle University	3.3.3	20-50 UoLTechnicians attending conference		In time with agreed timelines	Technician Steering Committee			P2.4
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels	N/A	N/A	N/A		N/A	N/A			New
Managers of researchers must:										
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	Review and enhance research leadership development offer as key strand of wider L&M development review (Phase2). (See Sections 2.3.3., 2.3.4 & 2.6.2 of the 2015-2019 review report) (See also PCDM4, EM3 & PCDM5 of this document)	2.3.1	A clear Research Leadership development pathway is articulated within the renewed Phase 2 L&M Portfolio. This explicitly links to the Statement of Expectations Role-Specific obligatory module on the Concordat principles embedded into induction process for 100% research leaders and related staff 10 Research Leaders identified within the Senior Leadership Induction and bespoke mentoring, planning and support made available Focus on the leadership of research practice embedded within the design of the Heilbron Executive Leadership Programme [intranet link]	Statement of Expectations Heilbron Leadership Programme [intranet link]	In line with agreed timelines. May 2021 forwards (see Action ECM3 of this document) On-going in line with Senior Induction cycle Ongoing	The Academy			P2.3
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding	Ensure Researcher Hub web pages provide access to all relevant information, guidance and policy. (See Section 3.6.1 of the 2015-2019 review report)	2.4.2	1200 unique visitors accessing the online resources and information relevant to research staff between 2020-2022	Researcher Hub	January 2022	The Academy			P2.2

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EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Prosper Project Career planning resources and opportunities directly targeted at researchers via PDR process. (See Sections 2.6.4 & 3.2.4 of the 2015-2019 review report) (See also ECR2, EM1, PCDR2, PCDR1, PCDM5, PCDR3 & ECI1 of this document)	3.5.2	Commence the development process for draft effective practice guidance for PIs / Research Leads on conducting PDRs with research staff to maximise career planning and success Commence parallel development process for draft guidance for research staff on how to maximise the impact of PDR for career planning and success Above resources rolled into refreshed PDR training and development model, f2f and online, inclusive of a minimum of 3 interactive case-study resources	Prosper Project.	January 2022 January 2022 As per Prosper timelines	The Prosper Team / HR / The Academy / APVCS R&I & APVC RE&PR			P6.3
EM4	Actively engage in regular constructive performance management with their researchers	Continue to foreground the importance of effective PDR conversations for the on-going development of research staff. (See Sections 2.6.4 and 3.2.4 of the 2015-2019 review report)	2.3.2	95% of research staff reporting a completed PDR (based on baseline data from 2015-2019 review report). Monitor PDR completions increase per faculty Launch of new guidance on effective PDRs for Research Leaders and PIs Ensure Concordat Principles and Statement of Expectations are linked to via the PDR system and prompted for research leaders	Statement of Expectations	Baseline identified from 2018-19 PDR cycle and targets agreed with Faculty leadership for 2020-21 and 2021-22	The Academy / HR / Faculty APVCs R&I & & APVC RE&PR			P2.3
EM5	Engage with opportunities to contribute to relevant policy development within their institution	Utilise the outcomes of Project SHAPE (the restructure of the Health & Life Sciences Faculty) to pilot further key activities linked to Concordat principles. Proposed initiatives include: -Instigate new Faculty and Institute research strategies - ECR from the leadership group to sit on Faculty Research Strategy Group and relevant appointment Committees -Investigate a third career pathway for research scientists and technologists - A Faculty-wide Wellbeing template and overarching principles, with room for local modification depending on the composition of each Institute - Appointment of EDI and Wellbeing Champion to each Institute Leadership Team - Staff trained in Mental Health Awareness/First Aid in each Institute particularly those who are student facing or peer led (See also ER4, PCDR1 & ECR5 of this document)	2.2.6	Staff forums instigated in each of the new institutes (and / or at Faculty level) as a live forum to discuss Concordat-related issues - Launch of new Faculty and Institute research strategies - ECRs directly represented on all relevant Institute management teams and steering groups. Representatives actively liaising with relevant constituencies. - Representation numbers and membership by researchers actively monitored by Faculty and Institute Leadership Teams to develop a benchmark for ongoing effective practice. - Re-launch of the TTF Programme with greater Faculty oversight to ensure consistency and equality of opportunity (See section 1.2 of the 2017-2019 progress on Action Plan) - Monitor number of staff trained in Mental Health Awareness / First Aid to establish a benchmark		In line with agreed timelines. 2020-2021 in line with Project SHAPE timeline, as new governance structures developed	EPVC HLS and Project SHAPE Leadership Team Cascade of institutional learning from pilots and new activities led by Faculty Research & Impact Directorate and Academy			New
Researchers must:										
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	HLS to pilot the development of ECR Handbooks for each of the faculty institutes, linking to the on-going refinement of PDR processes and feedback	2.6.5	- Additional resources available, linked to disciplinary context and greater awareness of structures and opportunities reported by Faculty ECRs - Learn lessons from pilot to inform cross-institutional practices		Piloted from Spring 2021	HLS Faculty Research & Impact Directorate with support from HR			New
ER2	Understand their reporting obligations and responsibilities									New
ER3	Positively engage with performance management discussions and reviews with their managers	Demonstrate the real-world benefit of engaging in institutional activities that support researchers' increased employability and provide mechanisms that demonstrate leadership via 'live' case-studies and ECR Career Champions	2.6.2	Inclusion of one case study of a research staff member within the University's monthly Research and Impact newsletter, reflecting the diversity of staff Engagement between the RSA and local ECR Networks seen as a key mechanism for developing transferable leadership skills, with at least one active representative from each Institute/School on the RSA steering committee		On-going On-going with annual monitoring of engagement	The Academy APVCs R&I / APVC RE&PR / The Academy			P5.6
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Further promote opportunities for research staff to engage in institutional activities that support their increased employability and provide mechanisms to demonstrate leadership (See also EM5, PCDR1. EI4 & ECR5 of this document)	2.6.1	Faculties providing opportunities for research staff to participate in committees, working groups, leadership activities and appointment panels in order to set a benchmark for such activity. Launch of guidance on the benefits for all parties and participation / best practice captured from that point forward on an annual basis.		Ongoing with annual monitoring of engagement Ongoing	APVCs R&I / APVC RE&PR / Faculty leadership teams / HR / The Academy APVCs R&I / APVC RE&PR / The Academy			P5.2
Professional and Career Development (PCD)										
Institutions must:										
PCDI1	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	Processes in place to monitor dissemination and implementation of the agreed ten days of development time for research staff (See also EM2, EI1, PCDR3 & ECM4 of this document)	3.6.1	Faculty Research & Impact Committees will actively monitor the dissemination and implementation of the Statement of Expectations, reporting annually to RIC on time allocated to development and impact on local contexts Develop an online 'living' resource that research staff can access to explore what the ten days of development activities could include		From October 2020 with agreed improvement via annual reporting Ongoing	APVCs R&I / APVC RE&PR / Faculty Leadership Teams / The Academy The Academy			P3.1 P3.3 P5.5
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Maintain the University's Statement of Expectations for Research Staff as a live document, reflective of current best practice	2.2.1	Continue to review and update Statement of Expectations for Research Staff in light of national Concordat updates and effective practice. UoL Statement recognised within N8 and wider sector as good practice	Statement of Expectations	On-going	CSG & The Academy			P3.10
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	Actively promote opportunities for career progression, including academic fellowships, tenure-track positions and non-academic career pathways, within disciplinary contexts (See section 1.2 of the 2017-2019 progress on Action Plan)	2.6.4	Rolling publication of Researcher Success Case Studies on the Researcher Hub Web pages (at least 4 per year)	Researcher Case Studies Researcher Hub	On-going	APVCs R&I / APVC RE&PR / The Academy			P3.1
		Scope the provision of access to the University Employability Service and / or related resources for all PDRAs	3.1.2	Publish options paper including cost implications and synergies with the Prosper Project		In line with agreed timelines.	Head of Employability and The Academy			
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	Continue to effectively communicate opportunities for Academic Practice Development to research staff via formal accredited and informal non-accredited provision and report these on an annual basis to Education Committee. (See Sections 3.2.5 and 3.2.6 of the 2015-2019 review report) (See also PCDR1 and EI2 of this document)	3.11.1	At least 30 research staff researchers engaging annually in the specifically designed Foundations of Learning and Teaching in Higher Education (FLTHE) Programme which leads to Associate Fellowship of the HEA At least 30 research staff engaging with the ULTRA CPD Scheme to gain professional recognition New guidance on RPL and associated training launched Refined educational leadership role descriptors to include guidance on supporting research staff to broaden and enhance their academic practice		As per agreed timelines Ongoing As per agreed timelines January 2021	The Academy / Faculty Education Leads The Academy / Faculty Education Leads The Academy APVCs R&I / APVC RE&PR / HR / Faculty Leadership Teams			P3.11 P3.14
PCDI5	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	Develop a new Statement of Expectations for Technical Staff and their managers, which ensures parity with research staff, as appropriate	2.2.3	The new Statement of Expectations for Technical Staff to clarify equality of expectations in relation to access to development time / opportunities and in terms of recognition (for instance, in paper authorship) between research and technical staff. This will be underpinned by guidance provided to PIs to articulate the value the institution places on team science and the expectation on them to recognise contributions		July 2021	Technician Commitment Steering Group			P3.2 P3.4

Clause	Obligation	Action	Cross-reference with Action in HREinR Action Plan	Success measure (SMART)	Relevant hyperlink(s)	Deadline	Responsibility	Progress update (to be completed for submission in December 2021)	Outcome/ result (to be completed for submission in December 2021)	Old Concordat principle and clause
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Directly link focused work on developing a coaching culture within Schools and Institutes to the support of research staff career development (See also EI1 of this document)	3.8.2	Existing coaching approaches and models, including pilots in specific departments, coordinated, to enable wider roll out. Establish a benchmark for colleagues engaged in coaching (either developing practice or receiving coaching) for ongoing effective practice		June 2021 and then ongoing	The Academy / APVCS R&I / APVC RE&PR / Faculty Leadership Teams			New
Funders must:										
PCDF1	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	N/A	N/A	N/A		N/A	N/A			P3.7 P3.9
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes	Continue to lead the N8 PDRA Careers working group and participate in the Researchers 14 Network, to identify opportunities for collaboration in order to further the aims of the Concordat. (See	2.6.6	Host a meeting for the N8 partners in 2020 and / or associated networks		In line with agree timelines	The Academy			New
PCDF3	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	N/A	N/A	N/A		N/A	N/A			New
Managers of researchers must:										
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	Launch OD Dashboards enabling real-time monitoring of PDR completion rates and engagement in relevant training and development, sickness, absence and all other relevant employment data	2.3.3	Research leaders and all other managers within the institution able to actively monitor staff data at point of need and in line with local and institutional timelines (linked to Action EM4 in this document)		In line with agreed project timelines.	HR			P2.3
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	Prosper Project will be co-created with a broad range of employers will gather inputs on best practice in staff development from a range of sectors which will inform the development of the Prosper model and associated resources. (See also ECR2, PCDR2, PCDR1, EM3, PCDM5, PCDR3 & ECI1 of this document)	3.1.1	Prosper resources made available to 100% research staff within UoL and project partner institutions, with gradual roll out through N8 and wider sector 45 employers engaged in co-creation of career development activities as part of Prosper Project Focus Group with IBM in which former Postdocs to inform and co-create advice for current Postdocs. Outputs to be published online as part of Prosper resources.	Prosper Project	As per Prosper Project timelines June 2021 As per Prosper Project timelines	The Prosper Team			P3.4 P3.8 P5.5
PCDM3	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	Ensure increased awareness and implementation of the Statement of Expectations for Research Staff across all research staff groups (See also ECM3, EI1, ECI5 & ECI1 of this document)	2.2.2	Include the Statement with all new offer letters to research staff Include a live link to the Statement and to Prosper Project opportunities in the monthly 'Welcome Emails' to all new research contract holders		Ongoing Ongoing	The Academy/ APVCs R&I & APVC RE&PR The Academy			New
PCDM4	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	Prosper Project will develop a bespoke model of development for PIs to help them be better placed to support PDRAs in thinking about future career options. (See Sections 2.3.3., 2.3.4 & 2.6.2 of the 2015-2019 review report) (See also ECR2, PCDM2, EM3, PCDR1, PCDM5, PCDR3 and ECI1 of this document)	3.2.4	30 PIs engaged in initial community of practice and associated development during Phase 1 of the Prosper Project	Prosper Project	January 2021	The Prosper Team / The Academy			P3.6 P3.9 P5.5
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	On-going development of Principal Investigators and other Research Leaders to foreground their role in supporting researchers' longer terms career planning and development. (See Sections 2.3.3., 2.3.4 & 2.6.2 of the 2015-2019 review report) (See also ECR2, EM1, EM4, PCDR5, EM3, PCDR3 & ECI1 of this document)	3.10.1	Focus groups with 30 PIs will help understand the challenges PIs face in offering careers development/advice on careers beyond academia, and these discussions will inform the Prosper model PI community of Practice established as part of Prosper Project will be used as a vehicle to collate and cascade best-practice in supporting research staff to think about their career prospects and options. Target of 30 PIs in initial Launch phase of Community of Practice. Framework for PDR discussions with postdocs developed as part of Prosper Project and available via portal by March 2023. (Draft by June 2022) (See PCDM4 and EM3 of this document)	Prosper Project	In line with project timelines. In line with project timelines. Work commences in January 2022	The Academy / The Prosper Team / APVCs R&I / APVC RE&PR / Faculty Leadership Teams			New
Researchers must:										
PCDR1	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	Annual RSA Conference will be continued, with a focus on the skills, abilities and mindsets required to succeed in multiple fields (See also ER4, EM5 & ECR5 of this document)	3.3.2	RSA Conference delivered with minimum 100 registrations and strong evaluation of benefits, including continued ongoing collaboration with UKRSA	UKRSA	November / December 2021	RSA Steering Group / The Academy			P5.5
		Prosper Project Phase One will publish a set of diagnostic tools and resources available to all UoL PDRAs which will allow reflection on: a) their career motivations b) they skills they have acquired and how they can be applied in a range of careers. (See also ECR2, PCDM2, PCDR2+C76, EM3, EI1, PCDR3, PCDR4 & ECI1 of this document)	3.3.1	Phase 1 of portal delivered by June 2020. Numbers of users engaging with portal will be evaluated and feedback gathered to refine and improve its effectiveness before roll out: (a) across project partners at University of Manchester and Lancaster University by June 2021; and (b) across the sector as an open access resource in March 2023.	Prosper Project	June 2021; June 2023	The Prosper Team			
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Prosper Project will provide a development model, portal and associated suite of resources to allow postdocs to recognise and maximise career opportunities across multiple career pathways. (See also ECR2, PCDM2, PCDR1, EM3, EI1, PCDR3, PCDR4 & ECI1 of this document)	3.2.1	Phase 2 of Prosper will produce an evaluated set of resources including a set of career clusters co-created with employer partners that reflect the broad range of career options open to PDRAs As part of the development of Prosper a pilot cohort of 100 PDRAs across the 3 partner institutions will participate in an intensive series of development activities associated with different 'career clusters' co-designed with employers.	Prosper Project	Piloting of phase 2 resources in UoL begins January 2021 Refined second stage piloting across three partners January begins 2022	The Prosper Team / The Academy			P3.8
		Active employer engagement in Prosper will aim to enhance employers understanding of the benefits of employing PDRAs. (See also ECR2, PCDM2, PCDR1, EM3, EI1, PCDR3, PCDR4 & ECI1 of this document)	3.2.3	45 employers engaged in the co-creation of Prosper	Prosper Project	June 2021	The Prosper Team / The Academy			

Clause	Obligation	Action	Cross-reference with Action in HREinR Action Plan	Success measure (SMART)	Relevant hyperlink(s)	Deadline	Responsibility	Progress update (to be completed for submission in December 2021)	Outcome/ result (to be completed for submission in December 2021)	Old Concordat principle and clause
PCDR3	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	Build on phase one of the Prosper Project to ensure that PDP mechanisms and support are effectively disseminated to research staff. (See Sections 2.6.4, 3.2.4 and 5.6.1 of the 2015-2019 review report) (See also ECR2, PCDM2, PCDR2, PCDR1, PCDR3, EM3, EI1, & ECI1 of this document)	5.5.1	Establish a benchmark of the number of users actively engaging with PDP resources via the Prosper Project. Tools and mechanisms for career planning disseminated via local induction and PDR process.	Prosper Project	January 2021 June 2021	The Prosper Team / The Academy			P5.5
PCDR4	Positively engage in career development reviews with their managers	An associated set of communications including case studies, blogs and opinion pieces from the broad range of stakeholders involved in the Prosper Project will aim to level parity of esteem between academic careers and careers beyond academia by exploring available evidence, opening channels and connections to those that have left academia and creating links between different sectors (See also ECR2, PCDM2, PCDR2, PCDR1, PCDR3, EM3, EI1, & ECI1 of this document)	3.2.2	Prosper will include longitudinal tracking of the career destinations of this pilot cohort and include starting and completion surveys to assess the change in career aspirations of these participating PDRAs to establish benchmarks Commence development of an evaluation framework to benchmark and monitor change in employer and Postdoc perceptions regarding the esteem of each career path and the benefits of employing PDRAs (annually).	Prosper Project	February 2021 January 2022	The Prosper Team / The Academy			P3.10
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	Further develop and enhance centrally coordinated and locally embedded mentoring schemes and opportunities, to support the personal and professional development of researchers. (See Section 2.6.3 and 3.5.1 of the 2015-2019 review report)	3.8.1	Evaluate the take up of University-wide and local coaching and mentoring schemes and aim to increase researcher engagement with the mentoring schemes by 5% (currently there is a 25% engagement of the University-wide scheme). Use university wide communication through The Academy / HR / RSA/ Faculty channels to promote the schemes		Ongoing	APVCs R&I / APVC RE&PR / The Academy / RSA			P5.5
		Junior Group Leaders Programme will be piloted in partnership with IIB to inform lab-based researcher development (See Section 2.3.3 and 2.3.4 of the 2015-2019 review report)	2.3.4	Pilot programme of 20-25 participants successfully recruited and feedback evaluated to inform forward planning for lab-based researcher development		February 2021	IIB / APVC H&LS / The Academy			
PCDR6	Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation	Build on the successful 'Making an Impact Series held in 2017-18 and 2018-19 to offer further high-quality development to all research and related staff (See Sections 2.3 and 3.2 of the 2015-2019 review report)	3.1.4	Multiple development opportunities with at least 800 registrations focused on research and career impact offered to research staff through a dedicated series of intensive workshops, keynotes, masterclasses, seminars, 1:1 surgeries, research facilities tours, networking events and panel sessions.	Making an Impact	June 2021	The Academy / RPI			P5.2

* The Concordat defines researchers 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. The primary audience is research staff, e.g. postdoctoral researchers, research fellows, research assistants. The Concordat encourages institutions to include other groups who actively engage in research as beneficiaries of their Concordat action plan. These could be postgraduate researchers; staff on teaching and research, or teaching contracts; clinicians; professional suport staff; technicians.

List of Abbreviations:	
APVCs R&I	Associate Pro-Vice Chancellors for Research and Impact from each Faculty
APVC RE&PR	Associate Pro-Vice Chancellor for the Research Environment and Postgraduate Research
CROS	Careers in Research Online Survey
CSG	Concordat Steering Group
EDI	Equality, Diversity and Inclusion
EQIA	Equality Impact Assessments
FLTHE	Foundations of Learning and Teaching in Higher Education
FSE	Faculty of Science and Engineering
HE	Higher Education
HR	Human Resources
HEIF	Higher Education Industrial Fund
HSS	Faculty of Humanities and Social Sciences
IIB	Institute of Integrative Biology
L&M	Leadership and Management
N8	A Research Partnership collaboration of the eight most research intensive Universities in the North of England, including Liverpool
OD	Organisational Development
PCGAP	Postgraduate Certificate Academic Practice
PDP	Personal Development Plan
PDR	Professional Development Review (UoL staff appraisal review)
PDRA	Post Doctoral Research Associate
PIRLS	Principal Investigators and Research Leaders Survey
PIs	Principal Investigators
Project SHAPE	the restructure of the Health & Life Sciences Faculty
Prosper Project	a £4.4million Research England-funded project to enhance first-time postdoctoral career development and success
PVC R&I	Pro Vice Chancellor for Research and Impact
RDF	Researcher Development Framework
RIC	Research and Impact Committee
RPI	Research Partnerships and Innovation Directorate
RPL	Recognition of Prior Learning
RSA	Research Staff Association
The Academy	The Leadership, Organisational, Professional & Academic Development Academy
TTF	Tenure Track Fellowships
ULTRA	The University of Liverpool Teaching Recognition and Accreditation (ULTRA) Framework through which those who teach at the University have the opportunity to gain recognition for high quality teaching.