

## **UCLan HR Excellence in Research Reflective Document submission (2018-2020)**

### **Principle Information**

**Principle 1** - Recruitment and Selection

**Principle 2** - Recognition and Value

**Principle 3** - Support and Career Development

**Principle 4** - The importance of researchers personal & career development & lifelong learning

**Principle 5** - Researchers Responsibility

**Principle 6** - Diversity and Equality

**Principle 7** - Implementation and Review

## **Key to HR Excellence in Research Reflective Action Plan 2018-2020**

ADRE - Academic Development for Research & Enterprise (Formally RDU)

APA - Academic Professional Apprenticeship

AWERB - Animal Welfare and Ethical Review Body

BAME - Black, Asian, and Minority Ethnicity

CCL – Centre for Collaborative Learning

CELT - Centre for Excellence in Learning and Teaching

CPD - Continual Professional Development

CEDARS - Culture, Employment & Development for Academic Researchers Survey

CLOK - Institutional Repository

CPR - College of Professors & Readers

ECRs - Early Career Researchers

EDEG - Equality & Diversity Executive Group

EDI - Equality , Diversity & Inclusion

FDORs - Faculty Directors of Research

FHEA - Fellow - Higher Education Academy

FRIEC - Faculty Research, Innovation and Ethics Committees

GFU - Grants and Funding Unit

HEA - Higher Education Academy

HERA - Higher Education Role Analysis

HOS - Head of School

HR - Human Resources

IP - Intellectual Property

JD - Job Description

MCR - Mid Career Researcher

ORCID - Open Researcher and Contributor ID

PS - Person Specification

PG CERT - Post Graduate Certificate

PGT - Post Graduate Taught

PVC - Pro-Vice Chancellor Research Strategy Group

RD - Researcher Development

RDF - Researcher Development Framework

REF - Research Excellence Framework

RDSG - Researcher Development Steering Group

RDU - Researcher Development Unit

REU - Research Excellence Unit

RGU - Research Governance Unit

RS - Research Services

SCU - Scholarly Communications Unit

SRfR - Significant Responsibility for Research

SRLs - School Research Leads

UCLan - University of Central Lancashire

# **Principle 1**

## **A1. Members of the research community understand researchers are chosen for their ability to advance research**

### **What we do already (2016 - 2018)**

The University is committed to home-grown talent and a key feature of this initiative is to advertise vacancies internally in the first instance unless exceptional circumstances apply. All research positions have a job description and person specification detailing the experience, skills and abilities required for the role. The University continues to have transparent processes and shortlisting and selection is undertaken in accordance with published guidance. The newly agreed Research Strategy sets out the themes and structures to further research at UCLan, and researchers will be selected to contribute and achieve these aims. This ensures we have maximum research activity, outputs and impact in our key research areas and that individuals have the right infrastructure to grow at UCLan. The Career Researcher Pathway will support the strategy, ensuring development and career planning and support and reflect the aims for UCLan. The newly formed Researcher Development Steering Group (RDSG) will review and develop provision.

### **Progress during 2018-2020**

There is continued use of the SRfR definition (Significant Responsibility for Research) and as such SRfRs have a minimum of 0.2FTE on their workload for research. Approximately 442 (FTE) academics have been assigned as having SRfR and the University is in the process of providing clarity on what the expected deliverables for that time are, recognising the importance of non-quantitative metrics and activity such as esteem factors alongside the recently published university policy of responsible use of research metrics. There are 2 Research Institutes and 11 Research Centres (<https://www.uclan.ac.uk/research/index.php>) to help support and grow researchers within the University and focus the majority of internal funding. When reviewing academics who have SRfR, 268 staff are not associated with a Research Institute or Research Centre out of a research population of 572. Time will be spent reviewing the situation and considering how those people outside of the Institute and Centre framework are supported. Their first point of contact for support will be their line manager and/ or the School Research Lead. RDSG was established with representatives from different Faculties. The various career pathways for academics were promoted and a number of people promoted to Professor and Reader through the 3 pathways, 1 of which is research. In 18/19, 9 Professors (6 research focussed) and 10 Readers (4 research focussed) were appointed. No application round was offered during 19/20.

### **What we need to do (2020-2022)**

To have greater emphasis on the support available to enable researchers to deliver their potential.

Resources to be focussed in areas of delivery and development.

The RDSG will be active in the review of provision.

Career pathways are available to support the strengths and interests of the academic, e.g. (i) Teaching and Learning, (ii) Research and (iii) Innovation and Enterprise.

### **Responsibility (Lead role in Bold)**

- Director of Research & Enterprise Service  
Faculty Directors of Research (FDORs)  
**School Research Leads (SRLs)**

## **A2. Recruitment and selection processes are informative, transparent and open to all qualified applicants.**

### **What we do already (2016 - 2018)**

Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Roles are always advertised on our intranet, and if no internal candidates come forward, then vacancies are posted on the external internet page. Any queries can be directed to HR or a named contact on the advert for a response. HR processes were followed for all new appointments. At shortlisting and interview stages, unsuccessful candidates are able to request feedback. All internal candidates are offered feedback.

### **Progress during 2018-2020**

The same job advertising principles remain. Application is now online through iTrent and contains information on how to apply. HR Business Partners regularly review JD/PS to ensure relevance and organisational standards are applied.

### **What we need to do (2020-2022)**

All new posts to follow the agreed HR procedure ensuring no complaints with respect to process not being followed.

In line with the University's Policy on Responsible Use of Research Metrics, all new JDs and PSs will be reviewed in light of the use of discriminatory statements such as, 'high impact factor journals'

Human Resources (Leadership Development Manager)

### **Responsibility (Lead role in Bold)**

- Director of Research & Enterprise Services
- Faculty Directors of Research
- **School Research Leads**

### **A3. Person and vacancy specs must clearly identify the skills for the post, and these must be relevant to the role.**

#### **What we do already (2016 - 2018)**

Content of job descriptions and person specs are reviewed as part of the HERA process prior to advert. Any issues are flagged with the recruiting manager before an advert goes live. Applicants will be shortlisted on the way in which they have evidenced essential and, as appropriate, desirable criteria. UCLan's leadership development encompasses selecting and developing your team. UCLan has established organisational values embedded within each person specification, supported with advice for recruiting managers on how to assess the values. HR Business Partners regularly review JD/PS to ensure relevance and standards are applied. All JD/PS to conform to UCLan standards. By 2020 all appointments will have tested the UCLan values at selection.

#### **Progress during 2018-2020**

Guidance was issued in 2017 to recruiting managers to test the values at interview. 100 academic job descriptions and person specifications were reviewed by 31 July 2020 and 93 of those requested evidence of the UCLan values. As the values are included amongst the essential criteria on person specifications, candidates were expected to reference their understanding of these within their application and recruitment panels have the opportunity to question these further at interview, having been given sample questions. In addition, the application criteria for titles via PRC has academic citizenship as essential which provides an opportunity for candidates to link back to the values. UCLan organises a new starters workshop which includes a discussion of the values. In this period 553 colleagues participated. Values are listed on person specs and managers are advised to ask about the values at interview stage.

#### **What we need to do (2020-2022)**

All new posts continue to be reviewed and assessed via the HERA (Higher Education Role Analysis) initial role analysis process to check role, grade and skills. The values are prominent around the University and are evidenced on JD/PSs. Academic citizenship is becoming more prominent and work will be undertaken to promote the value of all activities which contribute to academic citizenship e.g. committee membership, reviewer activities. This will help to promote their importance and the necessity to test for them at interview and thus through the JD and PS.

#### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
**School Research Leads**

**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.**

**What we do already (2016 - 2018)**

The Athena Swan 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. Recruitment and selection practice is being enhanced through the People Plan projects which ensure decision makers are trained in unconscious bias, assessing UCLan values, and giving feedback. Development in these areas is available through blended learning - in workshops and via online courses. This principle is promoted during every selection activity.

**Progress during 2018-2020**

100% of selection panel members were trained in recruitment and selection, and diversity in the workplace. Not all recruiters have undertaken unconscious bias training. In this review period, 319 have taken Unconscious Bias Mandatory Training and 212 Staff have completed Recruitment and Selection Training since 1st August 2018. A new Equality, Diversity and Inclusion Director was appointed in July 2020 and he has been approached about how to engage people with unconscious bias training. A plan is in progress. All unsuccessful interview candidates are offered feedback, as set out in the recruitment and selection policy.

**What we need to do (2020-2022)**

Recruitment and progression panels will have:

- (a) been trained and be of mixed gender
- (b) completed recruitment and selection training, and
- (c) completed unconscious bias training.
- (d) Additional effort required to promote and engage decision makers in unconscious bias training. This will be undertaken with the newly appointed Director of Equality, Diversity and Inclusion.
- (e) Review the EDI composition of selection panels in comparison to the University EDI composition to determine if the composition varies for research positions.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
**School Research Leads**

## **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.**

### **What we do already (2016 - 2018)**

Content of JDs and PSs are reviewed as part of the HERA process prior to advert. Any issues or inconsistencies are discussed with the recruiting manager and addressed before advertising. Existing posts are all subject to HERA grading and comply with the national pay framework. Research posts graded above the national pay grades are reviewed by one team for the whole university, to ensure consistency of application of the 'Hay' job evaluation system. If the requirements for a post change, the grade is reviewed by the same team. Grade is always determined by the job role and the level of pay within that grade is determined by previous salary level evidenced on appointment. Requests for additional salary beyond this are scrutinised by the HR Business Partner and if the request does meet the objective requirements to attract additional pay, it is approved. The grade of posts is determined using the HERA process.

### **Progress during 2018-2020**

The HERA system continues to determine pay according to responsibilities. There were 3 requests for additional starting salary in 2018/19 and 2 in 2019/20 which were agreed. The panel chairs must complete a form explaining the rationale in line with starting salary guidance, which HR then compare with the external market or check proof of previous earnings. The team in HR has been expanded to ensure timely HERA assessment can take place and the common principles applied.

### **What we need to do (2020-2022)**

Minimum requests for grade review after employees have been appointed will demonstrate that the level and type of work required for a role has matched the grade of role advertised. All requests for higher starting salaries will only be approved once HR have received evidence of prior earnings and this is referenced in starting the salary and market rate supplement guidance. Current practice is maintained which ensures all grades are appropriate for the requirements of the post.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
**School Research Leads**

## **Principle 2**

### **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.**

#### **What we do already (2016 - 2018)**

UCLan follows national legislation in regard of all contracts, fixed term and indefinite. All staff have the same access to development and training opportunities and appraisal processes. UCLan upholds the commitment to develop researchers 'beyond the life of their contract' through appraisal discussions and regular 121 meetings. 86% of responders to the recent staff survey had an appraisal discussion in the past twelve months. No distinction is drawn between contract types other than end date, on any aspect of employment or development. The University Appraisal scheme includes a commitment to develop researchers beyond the life of their current contract. Furthermore, the Career Researcher Pathway will ensure that irrespective of the length of contract, all staff will have the same access to development opportunities to support career mobility. HR continue to systematically review all fixed term contracts to ensure correct application of the regulations.

#### **Progress during 2018-2020**

A new HR Dashboard has been agreed and is being prepared to give data to managers of all their fixed term contracts coming to an end, together with information on starters, leavers, progression, absence and other HR data. This will help managers undertake their responsibilities for all employees in a timely manner. A new resource was developed and is now available to help researchers apply their transferable skills to applying for new positions. The careers service continues to be available, and 78 academic colleagues accessed the careers service in the past 12 months. Those on fixed term contracts, are contacted 3 months before the end of their current contract to discuss next steps and are placed on the redeployment register to ensure they have prior notification of all opportunities within the University, and are given the opportunity to apply. Those on the redeployment list are given priority for all vacancies at the same grade or lower.

#### **What we need to do (2020-2022)**

All fixed term contracts are reviewed and where appropriate transferred to indefinite contracts. Continue with Career development e-learning which is available on the research web pages and continue to signpost researchers to the UCLan Careers Service.

Fixed term contract holders are given access to redeployment opportunities which are announced prior to opportunities going to internal advertising and then external advertising.

#### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership & Development Manager)**

**B2. Everyone involved should be committed to improving the stability of employment conditions for researchers. Implementing and abiding by the Fixed Term Employee Regulations.**

**What we do already (2016 - 2018)**

The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least an annual basis and conversion to indefinite contracts is completed where appropriate / possible. Where a member of staff legitimately remains employed on a fixed term contract, the University ensures that there are appropriate development plans in place to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways, and are monitored by HR Business Partners. The University Appraisal scheme includes a commitment to develop researchers beyond the life of their current contract. Furthermore, the Career Researcher Pathway will ensure that irrespective of the length of contract, all staff will have the same access to development opportunities to support career mobility. HR continue to systematically review all fixed term contracts to ensure correct application of the regulations.

**Progress during 2018-2020**

The security of employment suite of policies agreed in 2020 have been applied in the restructures of 2020, and in all fixed term contract situations during this period. The appraisal scheme explains that longer term career plans should be discussed and supported, for all researchers no matter how long they have been at UCLan. Since 2018 all fixed term contract requests are scrutinised by a senior panel to determine need and most appropriate contract type. Fixed term contracts are now reviewed monthly by HR Business Partners and HoS, using data from iTrent, and will be included in the planned 'HR dashboard' mentioned above. Number of people transferred to indefinite contracts between 1 Aug 2018 and 31 July 2020 is 100.

**What we need to do (2020-2022)**

All fixed-term contracts to be reviewed annually, and all contracts made permanent where possible. All fixed term contract requests to be scrutinised by the finance business partner, the HR business partner and finally by a senior panel to determine need. If the new request meets Fixed Term Contract regulations it can be agreed, after which it will go into the monthly review cycle to ensure they are still compliant.

**Responsibility (Lead role in Bold)**

- **Human Resources (Leadership & Development Manager)**

**B3. Research managers participating in active performance management. This includes career development guidance and supervision. 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.**

### **What we do already (2016 - 2018)**

The appraisal scheme applies to all staff and encourages year-round discussions regarding career development and performance. There is a special form available on the intranet for researchers to record their discussions which tracks more detailed progress, goals, achievements and development. This was designed by researchers, for researchers. HR Business Partners support discussions at School level to identify common areas of development need, and also where under-performance is an issue to address. Research managers are then supported to take action by their HR Business Partner. Career development guidance and support is available to all staff through the university careers service, HR and Research Services. A programme of manager learning is currently being developed to help research managers understand their role and create a positive environment for researchers to thrive. EDI training is mandatory for all staff and this is monitored through regular reports to managers who take responsibility for ensuring completion. Research Faculty Directors take responsibility for overseeing the performance of research managers, along with School Heads. Reviews of appraisal discussions, common development needs and achievements is undertaken at School level involving both Head and Director. As noted in A3, managers of research staff are being supported in development initiatives to ensure their currency in issues affecting researchers; both internally in terms of development and CPD opportunities, and externally, ensuring that researchers maintain career mobility. Furthermore, the re-configured Faculties each now have Faculty Director of Research who can co-appraise researchers with the researcher's line manager, to ensure fullness of support.

### **Progress during 2018-2020**

Additional structures now in place; FDRs feedback via FRIECs in relation to training and development and 10 meetings have taken place in this review period. These highlighted that the faculties had received a number of requests for leadership development training. The response to this request will form part of the action plan for the coming two years.

FDRs feedback development requests to Research Services, where the staff member may require more/different development. Research managers understand and are equipped in their role of active performance management carried out through appraisal and regular one-to-ones.

Staff Survey findings across all academics in January 2019 states;

83% had an appraisal discussion in past 12 months

77% found it useful

77% are happy with the frequency of their 121 meetings

74% get feedback on their performance from their manager

77% say their manager is supportive of their career goals

An Appraisal workflow has been developed to help determine how researchers can be supported in progressing in their career and those who may not wish to pursue a career in research can identify alternative opportunities.

### **What we need to do (2020-2022)**

Feedback through networks/school research leads, to bring them together as a group to link into each school.

Research managers participate in performance management.

Research managers undertake EDI training.

The importance of research to continue as a point of discussion. Work to start ensuring the right people are in the appraisal to support the individual who are research active. This may mean a School Research Lead or Faculty Director of Research or a Director of a Research Institute or Centre that the appraisee is a member of, is present alongside the line manager at appraisal.

To recognise that some Heads of School and other line managers would benefit from discussions and training in the career of a researcher. Written guidance was provided in summer 2020.

The Appraisal workflow for researchers will be finalised and discussed with appraisers, for promotion and implementation in September 2021 round.

Continue to promote submitting training and development requests through the Researcher Development Portal.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
**School Research Leads**  
Training Coordinator (Academic Development for Research & Enterprise)

## **B4. Organisational systems capable of supporting continuity of employment for researchers.**

### **What we do already (2016 - 2018)**

The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least annual basis and conversion to indefinite contracts is completed where appropriate / possible. Where a member of staff remains employed on a fixed term basis, the University seeks to ensure that there are appropriate development plans in place so as to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways. There are organisational systems for re- deployment should alternative employment be appropriate at the end of a fixed term contract.

Aim to agree the security of employment HR policy cluster in 2018 which brings together the policies for fixed term contracts, redeployment, redundancy avoidance and terminations.

### **Progress during 2018-2020**

The Security of Employment policy cluster was in place for December 2019. In terms of the numbers of research staff who have been made permanent in the last 2 years there are 4. Data is not available for the number of researchers who were offered redeployment or secured further employment at UCLan. The method used for reviewing Fixed Term Contracts is a monthly report which is populated by iTrent to the Heads (of department) and the HR Business Partners. HRBP's then discuss with the Heads as part of their regular meeting agenda. It has been recently established the review of the FTCs are monthly previously they were on an adhoc basis. The number of FTC as of 31st July 2020 was 371. Number of people transferred to indefinite contracts between 1 Aug 2018 and 31 July 2020 is 100. This includes all staff not just academic researchers. A Redundancy Avoidance Committee' was established at the start of cost reduction work in 2019, and researchers are represented on this panel by UCU.

### **What we need to do (2020-2022)**

Security of Employment policies agreed and implemented.

### **Responsibility (Lead role in Bold)**

**Human Resources (Leadership & Development Manager)**

## **B5. Transparent pay progression in accordance with agreed procedures.**

### **What we do already (2016 - 2018)**

All researchers progress equally with increments on the salary scale until the top of the grade, national annual pay rises or established promotions processes. Promotions criteria is promoted to all researchers and available on the intranet. Career progression is monitored (anonymously) through the Athena Swan groups. Equal pay audits are conducted annually and the annual gender pay report is on our external website. The national pay spine applies to all research posts up to Reader and Professor. The criteria for Reader and Professor are published on the Intranet. The information demonstrates what is required to progress in the new promotion routes of Teaching and Learning, Innovation and Enterprise as well as Research. UCLan is recognising the 3 strands Research, Innovation and Enterprise and Teaching and Learning for Reader and Professor in the promotion of these opportunities and offer workshops to help staff prepare for application.

### **Progress during 2018-2020**

In total, applications for 14 Professors and 26 Readers were received in the 2018/2019 round. Of which 9 Professors were successful: 6 Professors under the Research Route, 2 Professors from the Innovation & Enterprise route, and 1 Professor from the Teaching & Learning route. In the Reader category, 4 Readers were successful under the Research Route, 2 under the Innovation & Enterprise route, and 4 under the Teaching and Learning route for the 2018-2019 round. Applications are considered against the relevant pathway criteria by the Committee which includes one external professor. Strong applications are sent on for external review by their applicants named referees and an independent chosen by the ED.

Unsuccessful applicants receive clear feedback from the Committee and must meet with their line manager to discuss their development needs against this feedback. There were no promotions round for Professors and Readers in 2020 due to cost reduction work. For grades below Reader/Professor, individuals progress through the pay increments within their grade annually.

### **What we need to do (2020-2022)**

Criteria for progression are published regularly and reviewed and the information available on the HR intranet pages. Applications reflect the composition of staff at UCLan with no bias shown for any particular group. Progression criteria are accessible to all and support is in place to help colleagues demonstrate their evidence. Professor/Reader Committee have all undertaken unconscious bias training.

### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership Development Manager)**

Director of Research & Enterprise Services

Faculty Directors of Research

School Research Leads

Training Coordinator (Academic Development for Research & Enterprise)

### **B6. Researchers offered opportunities to develop their own careers. Clear career frameworks for early stage researchers outlined in organisational HR strategies. Researchers have access to additional pay progression. Transparent promotion procedures.**

### **What we do already (2016 - 2018)**

There are many development opportunities open to research staff, as all staff at UCLan. Researchers in particular are guided by the Vitae Researcher Development Framework to support progression, and can access face-to-face classroom learning, online resources including Lynda.com and Epigeum, as well as informal networks and learning groups across faculties, such as the Early Career Research Network. Additional pay progression is available through the established promotions process, to Professor or Reader positions for either research, teaching and learning or innovation excellence. A diverse, representative panel govern the whole process and the procedure is transparent and fair, with feedback to all applicants. Workshops are held to explain the criteria and to help people consider applications. HR and Research Services initiatives around the promotion of information around career opportunities and pathways significantly increase researcher's autonomy and freedom in terms of self-directed career development. The Career Researcher Pathway will be a mixture of masterclasses, workshops, lectures and be delivered through a range of media. Furthermore, the launch of the Academic Professional Apprenticeship (APA) route (January 2019) will further enhance frameworks for development.

### **Progress during 2018-2020**

The training and workshops offered during 2018 to 2020 were for staff to support them to achieve their research aspirations and expectations. There are a diversity of approaches ranging from the traditional classroom training sessions, masterclasses, workshops, 1-2-1s and 'drop-in' sessions. Where possible UCLan academics have been invited and have accepted offers to deliver sessions.

45% of ECRs undertook Academic Research Induction sessions in 2019-2020.

10% of ECRs undertook Grants and Funding Unit courses between 2018-2020.

7% of ECRs undertook Research Governance Unit courses between 2018-2020.

16% of ECRs undertook Scholarly Communications Unit courses between 2018-2020.

18% of ECRs undertook Career Development for Researcher sessions, One to one sessions, Academic Research Induction Sessions, Faculty and School Away days, engagement with Faculty and Schools in relation to researcher development, Inaugural professorial lectures, and the Research at Uclan Conference.

Please see the training data tab for more detailed information on the numbers of staff and the courses offered for this principle.

### **What we need to do (2020-2022)**

Promotion of APA for gaining of the Fellowship of the HEA is promoted to staff.

Details of how to apply for additional pay progression is outlined on the HR website.

Promotion procedures are clear and available on the internal HR website.

Where possible Schools and Faculties offer increased research time on workloads for new staff, e.g. ECRs to enable them to establish their research activity at UCLan.

To share the new organisational strategy will contain high level 'people' objectives with ECRs/Reseachers.

To review the potential of an APA route for researchers & identify who the route is aimed for. (ECRs/Researchers).

To continue to promote to ECRs/Researchers the method of reviewing current grade position (if required) on the HR website.

To continue to promote to ECRs/Researchers that promotion procedures are available for them to access on the internal HR website. It should be noted that if an employee is funded from external funding then they will be appointed at the agreed grade on a fixed term contract.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **Principle 3**

### **C1. Career Development, which is comparable to and competitive with, other employment sectors.**

#### **What we do already (2016 - 2018)**

Staff are regularly accessing 'career edge' which is our careers platform, and gaining guidance from careers staff alongside. Career development at UCLan is comparable to other sectors as demonstrated by our staff survey question "I have the opportunity for personal growth and development" 74% of responders agree, making it an 'area of strength' according to the survey provider Capita. UCLan no longer reports on 'development days per employee', as the majority of learning is not captured on the HR system due to the informal nature of much of the career development learning undertaken by researchers. Researchers also log their learning in other areas, such as professional body formats. The Researcher Development Unit are working with the team in the Centre for Excellence in Learning and Teaching (CELT)\* to develop content from the Career Researcher Pathway into a level 7 academically credit rated specialist route for the second year of the Academic Professional Apprenticeship (APA) scheme - specialist researcher route. In this way - staff within the institution can either undertake the Apprenticeship programme, depending on their level of experience or take them as standalone courses within the Career Pathway. The Apprenticeship programme was validated on September 20th 2018 for delivery in January 2019 and will also give those who complete the award of PgCert Academic Practice. \* CELT name now changed to Centre for Collaborative Learning (CCL)

#### **Progress during 2018-2020**

Initially it was planned that there would be a 'researcher' route for the APA, but it has been difficult to determine who this route would be aimed at. A consultation took place with research managers and as a result the research route has been suspended currently. However, the standard APA route for new academics does cover research in core modules. By 1 August 2020, 50 academics had undertaken elements of the Academic Professional Apprenticeship. Unfortunately, some were not eligible for apprenticeship funding, so they undertook the PG Certificate in Academic Practice, which has the same content and module assessment. The Careers Service developed a careers resource specifically for researchers in July 2020. This online resource highlights the career development options that a researcher should think about when it comes to their career development. There have been 11 views so far, but this resource will continue to be publicised to researchers via the research networks/training sessions/one to ones.

### **What we need to do (2020-2022)**

To review the suspension of the APA (Research route) to determine if a cohort, likely delegate could be identified. To continue to promote career advice and support for ECRs/researchers. To undertake a review of the potential of an APA route for ECRs/researchers and to identify who the route is aimed at, and the potential to offer such a course.

### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership Development Manager)**

Director of Research & Enterprise Services

Faculty Directors of Research

School Research Leads

Training Coordinator (Academic Development for Research & Enterprise)

## **C2. Development of transferable skills through embedded training.**

### **What we do already (2016 - 2018)**

Transferable skills development is available to all UCLan staff, and promoted to researchers through the existing networks, induction, appraisal and research meetings. The training will make use of mentor sessions for real-research activities involving participants; master classes by facilitators expert in the subject areas relevant to the researchers, and also - a range of soft skills programmes intended to develop and deepen the understanding of application in other scenarios e.g. reflective practice, coaching, mentoring.

### **Progress during 2018-2020**

A buddy is recommended to support new colleagues in their role, as outlined in the academic induction booklet which all new academic colleagues receive upon joining UCLan, and on the new starter check list for managers. New careers resource added to sharepoint to aid researchers to consider their transferable skills when looking for their next position. Link to the video from the Careers Service re: researcher career development. The recently formed UCLan Research Institutes and Research Centres are tasked with developing the 'whole' researcher. As a result, a number of Institutes and Centres offer mentoring for their colleagues. They are also hosting seminars which can involve external visitors who may be from academia or industry.

Two masterclasses covering field such as Developing your research proposal & Deciphering the funding opportunity have been delivered during 2019-2020. These were attended by 46 researchers. The Research @ UCLan event held in January 2020, opened with the PVC for Research and Enterprise interviewing 3 prominent researchers. They discussed their career pathway, the highs and lows, challenges and what they would have told their younger self. This event had an average of 150 researchers/academic colleagues from across the University. Positive comments were received around the discussion with the three prominent professors. A number of quotes from researchers who attended the event stating they felt the session was "Absolutely brilliant! I have not seen it in an equivalent setting before and it was genuine gold. It can be enhanced further, but the initiative purely based on its originality and value were top".

"I really enjoyed hearing about the various routes into academia and the conversations with the professors concerned". Researchers overall felt the event itself was positive. "Altogether a success worth every penny. What a fantastic initiative, and how well developed, to continue building the research environment at UCLan".

### **What we need to do (2020-2022)**

Range of masterclasses to continue to be offered to ECRs/Researchers. To continue training offered by areas of Research Services to support local School or Faculty.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C3. Training, skills and competencies to carry out the funded project. Support to develop the communications and other professional skills to be effective researchers and highly skilled professionals in other fields.**

### **What we do already (2016 - 2018)**

A wide range of development workshops, materials and online resources exist to support all researchers. Courses aimed at research students are now open to all staff too. The Funding Team carry out skills training, knowledge sharing and actively communicate with all researchers to aid competence in this area. Development support includes how to talk about your research work, media training, support to develop an online profile, networking opportunities within and outside of the university which all develop professional skills. The consolidation of support into Research Services has further underlined the cradle to grave support for researchers who seek funding for their work. Developments planned to enhance this service since the restructure include Masterclasses on successful grant capture; hot-house style workshops; and grant writing retreats for staff involved in subject specific or interdisciplinary projects. These will be provided within the Career Researcher Pathway and also the Academic Professional Apprenticeship (APA) route. The new APA is mapped to the Vitae RDF and will ensure a breadth of professional skills.

### **Progress during 2018-2020**

A number of different courses are offered by the central Research Services ranging from Ethics and Integrity, to managing finances and costing a project. Alongside open events, there are also 1:1s provided. The Centre for Collaborative Learning also provides courses for ECRs on how to share their research at conferences, how to present at a conference and design and deliver a conference poster. In 2018-2019 - 3 ECRs undertook training from CCL around developing their presentation styles to aid their research. 10% of ECRs undertook Grants and Funding Unit courses between 2018-2020. 7% of ECRs undertook Research Governance Unit courses between 2018-2020. Please see the training data tab for more detailed information on the

numbers of staff and the courses offered for this principle.

### **What we need to do (2020-2022)**

To continue to develop a range of events and opportunities designed to support the diversity of skills and competencies needed to produce effective researchers. To offer a more overt module on being a Principal Investigator and running an internal and external research project.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C4. Access to professional, independent advice on career management.**

### **What we do already (2016 - 2018)**

The careers service supports all staff and is equipped to help researchers plan their careers. Careers staff operate to professional codes of practice and are independent sources of feedback, advice and support. The Researcher Development Framework is in use across all Faculties. Progression to Reader and Professor guidance is available on the intranet. The mentoring scheme supports researchers wishing to work on any area of their skills development or career progression. Careers staff are now represented on the Researcher Development Steering Group. This group, chaired by the Director of Research Services, meets as a minimum once per semester, and is represented by a broad range of career researchers in addition to Faculty Directors of Research, Researcher Development and HR. With its remit to ensure ongoing provision of the most relevant support to researcher career development, any request for enhanced careers service delivery can be reviewed and implemented. Furthermore, the Research Networks referenced above, will feed into this group, and may report outside of it. In this way it is hoped that all views may be captured and represented and responded to.

### **Progress during 2018-2020**

The RDSG have met eight times during 2019-2020. The Leadership and Development Manager from HR and the HR Manager responsible for promotion and staff changes are members of the RDSG. There have been eight meetings of the RSDG which have taken place in the last two years. The representation of the group is as follows:

- Director of Research Services & Interim Director of Innovation & Enterprise (Chair)
- Researcher Development Unit Training Officer (Minutes)
- Representative of Faculty of Science & Technology
- Representative of Faculty of Health & Wellbeing
- Representative of Faculty of Creative and Cultural Industries

- Representative of Faculty of Clinical and Biomedical Sciences
- Representative of Lancashire School of Business & Enterprise
- Early Career Researcher
- Leadership and Development Manager (Human Resources)
- Human Resources Manager x 2

The Careers Service continues to be available, and 78 colleagues accessed the careers service during the past twelve months. A new resource is available to researchers to help them apply their transferable skills to new roles. Attendance at the RDSG has been limited, but a Teams site was set up to keep all informed. With the University restructure during 2019-2020, there is a need to review the membership for the 2020-2021 work programme.

### **What we need to do (2020-2022)**

To continue to actively engage Career Staff in the RDSG. To continue to promote online careers guidance package to ECRs/Researchers. To continue to promote access to the careers service to ECRs/Researchers.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
School Research Leads

**Training Coordinator (Academic Development for Research & Enterprise)**

### **C5. Clear systems that help researchers to plan their career development. Assist researchers to make informed choices about their career progression by ensuring policies and processes for promotion and reward are transparent and clearly stated.**

#### **What we do already (2016 - 2018)**

Systems which help career planning are found on the HR webpages, which detail expectations, support and requirements of each job level. A guide to holding career conversations is also on the webpage. The appraisal process is key to career planning, and the researchers appraisal record form asks for this information, ensuring the conversation takes place. The HR webpages house information on career pathways, promotion criteria and processes, expectations of each job level and support available for development. Please refer to the APA Scheme, Career Researcher Development Route, Progression routes for researchers details above. Additionally, the Professor and Readers scheme continues annually - with 11 Professors and 15 Readers appointed in 2017, and 51 applications have been received for the current round in 2018.

### **Progress during 2018-2020**

50 colleagues participated in the Academic Professional Apprenticeship since inception. The promotion route to Reader and Professor is detailed on the internal website. In 2018-2019, 9 Professors (6 research focussed) and 10 Readers (4 research focussed) were appointed. No application round was offered during 19/20.

### **What we need to do (2020-2022)**

To continue to promote to ECRs/Researchers the APA scheme. To continue to publicise information on the intranet to support ECRs/Researchers in their career development. To continue to promote access to the careers service which is available to all colleagues (ECRs/Researchers). To ensure that the Researcher development webpages seamlessly connect with careers pages in HR SharePoint.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C6. Research managers provide effective research environments for training and development of researchers, encouraging CPD. Planned induction programme for researchers.**

### **What we do already (2016 - 2018)**

Research management at UCLan has changed significantly in recent months, and the People Plan has a real drive up upskill all managers to ensure the development of their teams is maximised. Directors of Research are key to cascading expectations as do Heads of School, supported by their HR Business Partners. All researchers participate in a welcome meeting with HR on their first day to share all the basic information required. Local induction is the responsibility of their line manager and is supported centrally by online resources and HR guidance through Business Partners. A Research Induction Day is run through Research Services to guide all researchers through everything they need to know about the UCLan environment and how it supports their research. All researchers are invited to a central induction event which runs monthly and includes a welcome from the vice chancellor and an introduction to each support service to help staff navigate the university. All Research managers, Faculty Directors of Research, and those involved in research networks will be appraised of all opportunities for CPD. This will be communicated via the updated website, once the Career Researcher Pathway is launched, and via the Research Newsletter, scheduled for launch January of 2019. Training is ongoing via HR at the current time for all managers, emphasising the importance of developing all staff within their area, and this will be assessed via interim and annual appraisals, and reported up using the appropriate metrics. New Academic Professional Apprenticeship in January 2019.

## **Progress during 2018-2020**

The research networks cover each career stage of researcher. We have our ECR network group with 141 members, MCR network with 62 members, and our CPR group with 146 members. Our CPR group has had 16 events over the period of 2018-2020 with 275 attending. The ECR group has had in 2020, 4 events with 44 people in attendance. The MCR group had its welcome event in August 2020 with 17 people in attendance. Two forums were established during 2019-2020. The First, the ECR forum held four sessions in 2020, and covered topics such as Impact, Responsible Metrics, Project Costings for Research, and Finding Funding. The attendance at these events varied from 5 to 21 people. On the 4th August, the Mid-career forum held its first meeting. 17 people attended. The PVC for Research and Enterprise gave an overview of research and forward strategy and the Director of Research Services talked of the importance of the forum. The floor was then opened for a general Q&A within which what they wanted from the forum was discussed. All networks to have a web presence and include information about the network, dates of future meetings and events, and how to join. There is a Researcher Development blog on the internal intranet pages which provides information about news and events in relation to Researcher Development. The Researcher Development webpages on the internal Research Services intranet site, link into Human Resources and the Researcher Development portal and careers information so researchers can access this information at any time. The Academic Researcher Induction programme went modular for 2019-2020 to encourage greater attendance. 8 modules were offered, and 84 people attended the sessions. The topics included were: Research Services an Introduction, Grants & Funding Unit, The Research Excellence Framework, Research Excellence Unit - Impact, Research Governance Unit, Scholarly Communications Unit, Researcher Development Unit, and Innovation & Enterprise. The modular approach has worked as it has enabled people to attend at their own pace and can pick up new starters at any point. In the 2019 staff survey, academic colleagues reported. - 74% get feedback on their performance from their manager - 77% say their manager is supportive of their career goals

Engagement activities with schools/faculties over 2019-2020 - Engagement activities started in 2019 and have been a successful way to engage the research community. in 2019, 5 events took place with a total of 32 participants. In 2020, 6 events took place with 10 people. School/Faculty Away Days - Attendance at school/faculty away days has been limited in 2019-2020 with only 2 events taking place with approximately 50 people. The RDU Portal - Unfortunately, the portal currently does not have software installed to monitor usage. However, this is something that is to be rectified later this year. Google analytics is due to be installed onto our careers portal so that we can monitor usage. Please see the training data tab for data and metrics on the numbers of staff who have attended these sessions.

## **What we need to do (2020-2022)**

To continue with the establishment of supportive forums for the different career stages of a researchers/ academic. To provide continued support of the CPR (College of Professors and Readers) group. To continue with promotion of CPD offers to research managers. To continue to promote attendance at the Academic Researcher Induction programme to ECRs/Researchers. To focus on building membership and reaching a balance between providing what they want to know and providing updates on items of relevance to them for the ECR Network. To continue to focus on building membership and engagement for the MCR Network group. To provide greater emphasis and effort focussing on developing the right research environment at UCLan. Much of this work will focus on ECRs/Researchers, Research Institutes and Centres, and generally promoting the great work achieved by UCLan academics and students. To continue to monitor usage of the Researcher Development Portal. To create a new webpage on the RS intranet site, which can link into HR and the RD portal and careers information. This webpage is currently under construction. Feedback has been received from the College of Professors and Readers regarding content. This feedback will be looked at and the web pages amended accordingly.

The web pages are due to be completed by the end of September 2020. Link to Human Resources Staff Development pages where the new resource for researchers will sit.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C6. Research managers provide effective research environments for training and development of researchers, encouraging CPD. Planned induction programme for researchers.**

### **What we do already (2016 - 2018)**

Research management at UCLan has changed significantly in recent months, and the People Plan has a real drive up upskill all managers to ensure the development of their teams is maximised. Directors of Research are key to cascading expectations as do Heads of School, supported by their HR Business Partners. All researchers participate in a welcome meeting with HR on their first day to share all the basic information required. Local induction is the responsibility of their line manager and is supported centrally by online resources and HR guidance through Business Partners. A Research Induction Day is run through Research Services to guide all researchers through everything they need to know about the UCLan environment and how it supports their research. All researchers are invited to a central induction event which runs monthly and includes a welcome from the vice chancellor and an introduction to each support service to help staff navigate the university. All Research managers, Faculty Directors of Research, and those involved in research networks will be appraised of all opportunities for CPD. This will be communicated via the updated website, once the Career Researcher Pathway is launched, and via the Research Newsletter, scheduled for launch January of 2019. Training is ongoing via HR at the current time for all managers, emphasising the importance of developing all staff within their area, and this will be assessed via interim and annual appraisals, and reported up using the appropriate metrics. New Academic Professional Apprenticeship in January 2019.

### **Progress during 2018-2020**

The research networks cover each career stage of researcher. We have our ECR network group with 141 members, MCR network with 62 members, and our CPR group with 146 members. Our CPR group has had 16 events over the period of 2018-2020 with 275 attending. The ECR group has had in 2020, 4 events with 44 people in attendance. The MCR group had its welcome event in August 2020 with 17 people in attendance. Two forums were established during 2019-2020. The first, the ECR forum held four sessions in 2020, and covered topics such as Impact, Responsible Metrics, Project Costings for Research, and Finding Funding. The attendance at these events varied from 5 to 21 people. On the 4th August, the Mid-career forum held its first meeting. 17 people attended. The PVC for Research and Enterprise gave an overview of research and forward strategy and the Director of Research Services talked of the importance of the forum. The floor was then opened for a general Q&A within which what they wanted from the forum was discussed. All networks to have a web presence and include information about the network, dates of future meetings and events, and how to join.

There is a Researcher Development blog on the internal intranet pages which provides information about news and events in relation to Researcher Development. The Researcher Development webpages on the internal Research Services intranet site, link into Human Resources and the Researcher Development portal and careers information so researchers can access this information at any time. The Academic Researcher Induction programme went modular for 2019-2020 to encourage greater attendance. 8 modules were offered, and 84 people attended the sessions. The topics included were: Research Services an Introduction, Grants & Funding Unit, The Research Excellence Framework, Research Excellence Unit - Impact, Research Governance Unit, Scholarly Communications Unit, Researcher Development Unit, and Innovation & Enterprise. The modular approach has worked as it has enabled people to attend at their own pace and can pick up new starters at any point. In the 2019 staff survey, academic colleagues reported. - 74% get feedback on their performance from their manager - 77% say their manager is supportive of their career goals

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### **What we need to do (2020-2022)**

To continue with the establishment of supportive forums for the different career stages of a researchers/ academic. To provide continued support of the CPR (College of Professors and Readers) group. To continue with promotion of CPD offers to research managers. To continue to promote attendance at the Academic Researcher Induction programme to ECRs/Researchers. To focus on building membership and reaching a balance between providing what they want to know and providing updates on items of relevance to them for the ECR Network. To continue to focus on building membership and engagement for the MCR Network group. To provide greater emphasis and effort focussing on developing the right research environment at UCLan. Much of this work will focus on ECRs/Researchers, Research Institutes and Centres, and generally promoting the great work achieved by UCLan academics and students. To continue to monitor usage of the Researcher Development Portal. To create a new webpage on the RS intranet site, which can link into HR and the RD portal and careers information. This webpage is currently under construction. Feedback has been received from the College of Professors and Readers regarding content. This feedback will be looked at and the web pages amended accordingly. The web pages are due to be completed by the end of September 2020. Link to Human Resources Staff Development pages where the new resource for researchers will sit.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services
- Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C7. Articulation of skills that should be developed to support career progression.**

### **What we do already (2016 - 2018)**

The Researcher Development Framework articulates skill required at each level, and is promoted, discussed and used to guide development in each faculty. All CPD is being mapped not only to the RDF, but also to the Academic Professional Apprenticeship standards, so that staff not only know and recognise the standards for performance but can also use the training they have done to accumulate professional credit/recognition/accreditation.

### **Progress during 2018-2020**

The RDU is involved and engaged in a number of initiatives that allows the promotion of the Researcher Development Framework to ECRs/Researchers in Schools/Faculties and our Research Institutes and Centres. Some examples of these are listed below, for more detailed information on the numbers of ECRs who have attended these sessions/initiatives, please see the training data tab. Future Leaders information events, 30 ECRs have attended sessions between 2018-2020. 4 ECRs have attended one to one development sessions around their Future Leader applications with the RDU.

Researcher Development Engagement activities with schools/faculties around Researcher Development. Researcher Development Unit, Academic Research Induction Sessions.

### **What we need to do (2020-2022)**

To continue to promote careers development to ECRs/Researchers. To continue to promote relevant opportunities and information to ECRs/Researchers. To ensure appropriate internal webpages are maintained with information. To continue to promote changes in local and national career development strategies. E.g. promotion during 2020-2021 the requirements of the Concordat for Research Development. Ensure new Research strategy for beyond 2020 refers to career development of researchers and the strategy to support it.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
**School Research Leads**  
Training Coordinator (Academic Development for Research & Enterprise)

## **C8. Researchers are aware of local and national career development strategies.**

### **What we do already (2016 - 2018)**

The Researcher Development Framework articulates skill required at each level, and is promoted, discussed and used to guide development in each faculty. Local strategies are outlined on the HR website. The development planned for the Research Newsletter will have a section dedicated to 'Events' and opportunities from a broad range of professional organisations, comprehensively representing and covering academic areas within the University.

This will also be added to the online calendar of external events that is under development for research staff and will hopefully augment and enhance existing systems.

### **Progress during 2018-2020**

As stated above, the Researcher Development Framework is discussed and promoted at a number of events and initiatives with ECRs/Researchers at School/Faculty levels, but also with our Research Institutes and Centres. The RDU publicise all local and national career development strategies through a variety of mechanisms, such as the RDU Portal, Teams sites for our ECRs/Researchers, RDU Blog, Twitter etc. Please see the training data tab for data and metrics for further information on the types of local and national career development strategies.

### **What we need to do (2020-2022)**

To continue to promote careers development to ECRs/Researchers. To continue to promote relevant opportunities and information to ECRs/Researchers. To ensure appropriate internal webpages are maintained with information. To continue to promote changes in local and national career development strategies. E.g. promotion during 2020-2021 the requirements of the Concordat for Research Development. Ensure new Research strategy for beyond 2020 refers to career development of researchers and the strategy to support it.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
School Research Leads

#### **Training Coordinator (Academic Development for Research & Enterprise)**

## **C9. Research Managers should actively encourage researchers to undertake CPD activity so far as is possible during the project.**

### **What we do already (2016 - 2018)**

All UCLan managers are being developed to enhance the experience of all team members in accordance with the UCLan values and inclusive leadership. Active development of each team member of part of this and the systems in place to support this include induction, appraisal and regular 121 meetings. Directors of Research are in place in each faculty. In addition to existing systems and protocols as recorded in years 2013 and 2015 - the addition of the Career Researcher Pathway and Academic Professional Apprenticeship scheme - as well as the research networks - will not only provide additional opportunities for managers to direct staff to but will also provide peer to peer support and learning. Staff will be able to participate in any of the research focussed modules, even if they are not registered for the APA programme.

### **Progress during 2018-2020**

Staff have engaged in Research Services CPD offerings 2,952 times during 2018-2020.

### **What we need to do (2020-2022)**

To promote active engagement in all CPD offerings within the University and support for participation in external engagement opportunities for ECRs/Researchers. To continue to offer CPD internally and to promote external opportunities to ECRs/Researchers. To produce during 2020-2021 a series of case studies explaining what CPD ECRs/Researchers have engaged with, internal or external and how it has helped them with career development.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **Principle 4**

### **C10. Appraisal systems for researchers.**

#### **What we do already (2016 - 2018)**

86% of staff survey responders had an appraisal in the past twelve months, and of that number, 75% said it was useful to them. This needs improvement and so appraisal briefing sessions have been and continue to be rolled out across UCLan to guide managers to ensure a better experience. The recording form designed by researchers is updated each year and freely available on the intranet. Maintenance of the existing Appraisal system. HR annually ask managers for feedback which can then be addressed for the future appraisal schemes and improvements made.

#### **Progress during 2018-2020**

Staff Survey findings across all academics in January 2019 states.

83% had an appraisal discussion in past 12 months

77% found it useful

77% are happy with the frequency of their 121 meetings

74% get feedback on their performance from their manager

77% say their manager is supportive of their career goals

Consultation taken place to refresh appraisal to align with emerging strategy in autumn 2020

Guidance was issued to HoS and appraisers of researchers to help conduct more proactive discussions to help drive support and attainment of targets and deliverables.

### **What we need to do (2020-2022)**

All ECRs/Researchers have an appraisal discussion annually and regular one-to-one meetings. Researcher appraisal record form available as an alternative to the generic appraisal form. To assess impact of appraisal for researchers from staff survey 2021. Appraisal scheme to be refreshed to tie more strongly to organisational strategy and enable team level objectives. ECRs/Researchers who are not reaching appraisal targets are supported proactively to achieve. Those staff who have started on a research route but have had difficulty in delivering the required outputs are supported to develop strengths in other areas of the University's remit.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads

## **C11. Preparation for academic practice i.e. teaching and administration.**

### **What we do already (2016 - 2018)**

The Centre for Excellence in Learning and Teaching runs a one- day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching. Please refer to the detail around the development of the UCLan APA Scheme, Career Researcher Development Route, Progression routes for researchers details above. This in particular, with its core mapped to the APA standard for pedagogy and administration, will enhance the already existing support for new members of teaching/research staff.

### **Progress during 2018-2020**

Centre for Excellence in Learning and Teaching offered development programmes to all academics during this period.

68 attended the Associates Programme/ D1

60 attended a one-day introduction to teaching practice

150 attended the one-day Teaching and Learning Conference

50 participated in the Academic Professional Apprenticeship Programme.

New appointees are guided to one of the pathways to gain Fellowship depending on experience. Holders of Assoc FHEA, and FHEA are shared with School Heads annually and plans made at School level to ensure the correct category of membership is held by each post holder.

### **What we need to do (2020-2022)**

To ensure the appropriate numbers enrolling and completing either the APA route or the PgCert Academic Practice. To ensure the hours needed to complete the PGT and APA equivalent are provided on staff workloads. All researchers with contracted teaching hours are working towards, or hold, Associate Fellowship or Fellowship of HEA.

### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership Development Manager)**  
Director of Research & Enterprise Services  
Faculty Directors of Research  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C12. Training when researchers are engaged in supporting learning and teaching.**

### **What we do already (2016 - 2018)**

The Centre for Excellence in Learning and Teaching runs a one- day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching. If researchers are responsible for teaching regularly they are supported to gain Fellowship of HEA through the taught provision of experienced evidence routes. Please refer to the detail around the development of the UCLan APA Scheme, Career Researcher Development Route, Progression routes for researchers details above. This in particular, with its core mapped to the APA standard for pedagogy and administration, will enhance the already existing support for new members of teaching/research staff

### **Progress during 2018-2020**

Centre for Excellence in Learning and Teaching offered development programmes to all academics during this period.

68 attended the Associates Programme/ D1  
60 attended a one- day introduction to teaching practice  
150 attended the one- day Teaching and Learning Conference  
50 participated in the Academic Professional Apprenticeship Programme.

At 31 July 2020 652 colleagues hold Fellowship and 130 colleagues hold Associate Fellowship of the HEA.

### **What we need to do (2020-2022)**

To ensure the appropriate numbers enrolling and completing either the APA route or the PgCert Academic Practice. To ensure the hours needed to complete the PGT and APA equivalent are provided on staff workloads. All researchers with contracted teaching hours are working towards, or hold, Associate Fellowship or Fellowship of HEA.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
Faculty Directors of Research  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

### **C13. Researchers should have input to policy and practice through appropriate representation at staff meetings and management committees.**

#### **What we do already (2016 - 2018)**

Researchers are represented on the University Committees at every level, and in faculties and schools as appropriate. Researchers are represented by the trade union UCU which works in partnership with management to enhance the culture at UCLan. Maintenance of the existing system plus the introduction of the PVC Research Strategy Group which will in time have representation from the ECRs, Mid-career and the Profs and Readers Group. The Research strategy was available for consultation via the Intranet and all encouraged to complete a feedback survey. The University already has a full complement of democratic and deliberative decision-making committees e.g. Faculty Research and Innovation Committees, as well as University Level Research and Innovation. Elections to all committees of the Academic Board are held, and teaching and research and professional staff encouraged to stand. Full details are available in the University's Governance Manual.

#### **Progress during 2018-2020**

Representation on an ongoing basis through the university governance system via local committees & networks. On the Faculty Research Innovation Committees, we currently have 27 researchers (18 Professors, 7 Readers, 2 Research Fellows). The Pro Vice Chancellor Research Strategy Group have representation from 5 Faculty Directors of Research, 1 representative from the College of Professors & Readers, 1 representative from the Early Career Research Network, and approximately 13 nominated faculty significant researchers. Academic Board have representation from 2 Professors and the University Research & Innovations Committees have representation from 6 Faculty Directors of Research, and 6 School Research Leads. Employment policies and practice is influenced via well-established formal committees and researchers have the option to be represented by UCU or Unison.

### **What we need to do (2020-2022)**

To continue to have representatives of ECRs/Researchers at various career stages in appropriate Committees and Groupings. When relevant, university wide surveys conducted to enable all staff to contribute enabling input from their perspective. Continue to ensure effective representation on committees, groups and on strategy and policy development by continuing dialogue and support for the ECR, Mid-career and CPR networks.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
**Director of Research & Enterprise Services**  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **C14. Availability of mentors in providing support and guidance for CPD.**

### **What we do already (2016 - 2018)**

The UCLan mentoring scheme is open to all staff, and has 100% success rate in finding suitable mentors for all mentee applicants. In addition to the University's longstanding Mentor scheme, a recent initiative requested by Researchers is nearing completion after the use of focus groups between April and August and will be launched in November of 2019. This is the Mentoring for Researchers by Researchers, initiative. Training for Mentors and Mentees will be offered for those without prior experience, and a database of Mentors, with areas of interest, preferred mentee topics etc., will be developed alongside the new system. This will be evaluated after the first twelve months.

### **Progress during 2018-2020**

Initially work was completed to use the already established central mentor programme offered by HR and adapt it for researchers. This was operated on a flexible basis and if anyone asked for a mentor through HR then their requirements and needs were identified, and an appropriate individual found. This was operated at a very low-key level. This approach has been progressed further, where people were invited to offer themselves as mentors. This availability was recorded on UCLan Knowledge which is the internal portal which houses the interests and expertise and professional roles of academics and professional staff. This was promoted across the academic staffing body. Through the promotion of the opportunity to act as a mentor, 38 people came forward to volunteer for this role. We are in the process of linking 2 people with mentors. Progress has been slow with this initiative as there was a personnel change (twice) with the Head of Researcher Development. In addition to the Central Mentoring scheme, Faculties, School, Institutes and Centres provide their own mentor scheme, some on a formal basis and others more informally. Research Institute & Centre Information on Mentoring The Centre for Digital Life has encouraged ECRs to apply for funding through the small grants scheme. To date there have been five ECRs who have applied and there are three applications pending approval. The process requires that ECRs work with another researcher and in this way the Centre is supporting ECRs by mentoring both in research design but also in research reporting.

The Centre for Global Development have been providing ongoing support and mentorship for ECRs who are writing papers/developing bids/applications. For instance, senior members have been assisting an ECR in the Medical School preparing a bid for the MRC. Two ECRs have been supported to apply for GCRF-QR funding for the 2020-21 round. One senior member is supporting an ECR in his bid to become a UKRI potential future leader fellow. The Centre for Engineering have research mentors working with them on a part-time basis. They will support our "Moving-up" programme which is directed towards: improving the success of grant applications through mentorship and connection with Russell Group universities. Increasing the average REF star rating of output again through mentorship of staff who will benefit through the feedback from a "critical friend". The HR scheme has matched 100% of mentees with mentors during this period, although the number of researchers included in this was very small, less than 10.

### **What we need to do (2020-2022)**

To continue an operational scheme which provides mentors for mentees which has good feedback from users. To promote further the mentor scheme to potential mentors and mentees. Actively use case studies to promote the availability of the central scheme.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **Principle 5**

### **D1 & D2 Researchers should develop increased capacity for independent, honest and critical thought. Researchers should develop their ability to transfer and exploit knowledge.**

### **What we do already (2016 - 2018)**

The addition of mandatory researcher training in Intellectual Property Rights and ways in which to exploit research e.g. commercial application/patent creation. This is provided by the Innovation and Enterprise Service. All research staff must undertake this training, and attendance is monitored and reported on by HR to line managers. Researchers are required to upload outputs e.g. publications on the institutional repository, CLoK and to also engage with the UCLan Data Repository and also gain and use an ORCID identifier. The Scholarly Communications Unit within Research Services supports this through training and 1:1 sessions.

### **Progress during 2018-2020**

Through the Academic Research Induction programme staff are advised of UCLan expectations plus the support and systems available to support Open research and IPR development and protection. Last year 6 modules were offered to staff, and 53 people attended. The IP & Commercialisation team provide an institutional wide service to identify, protect, Exploit, commercialise and defend research developed by UCLan by encouraging continuous professional development for research active and early career research staff in the areas of Intellectual property and Commercialisation. Programmes are delivered in line with the roadmap via a comprehensive intranet platform through a blend of online, interactive, one to one training sessions. Researchers are required to upload outputs e.g. publications on the institutional repository, CLoK and to also engage with the UCLan Data Repository and also gain and use an ORCID identifier. The Scholarly Communications Unit within Research Services supports this through training and 1:1 session. For further information on the numbers of ECRs/Researchers who have attended these training sessions, please see the training data tab.

### **What we need to do (2020-2022)**

To provide opportunities for ECRs/Researchers to engage in and develop independent and critical thought. To continue to offer training and support to aid researchers in transferring and exploiting knowledge. To increase the number of ECRs/Researchers accessing the IPR training and registering disclosures with the IP team. To increase attendance at various seminar series and also increased number of ECRs/Researchers providing seminars both internally and externally around their research work.

### **Responsibility (Lead role in Bold)**

- **Director, Research & Enterprise Service**  
Head of Intellectual Property & Commercialisation

### **D3. Researchers should conduct and disseminate research in an honest and ethical manner.**

#### **What we do already (2016 - 2018)**

The University subscribes to the principles of the Concordat for 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. The University has fully implemented the Concordat for Research Integrity, and maintains an annual reporting system as required, and published on their Ethics website. Full training is in place both face to face and online; and each of the three Ethics Review Panels, and the University Committee, are responsible for implementing and leading with best practice. Furthermore, Faculty Ethics Committees are being reintroduced in September of 2018, to ensure that best practice already evidenced at doctoral student and research staff level, is cascaded down to UG and PGT student practice. Additionally, the Ethics and Integrity Unit has recently secured funding for a further three posts, to ensure that all aspects of integrity e.g. ethics, GDPR, NHS/GSCC/BPS compliance are complied with and demonstrated at every level.

#### **Progress during 2018-2020**

The Research Governance Unit (RGU) provides a comprehensive training programme for all researchers at all levels. They provide both face to face and an online training provision. The RGU use Epigeum as an online training programme (reporting from this system has only been available from October

2019) which covers Becoming an Ethical researcher (4 modules within it, which are: Ethical Research, Underpinning Values for Ethical Research, Ethical Concerns associated with different forms of research, Ethical Concerns associated with different research methods and activities) There is also an online Research Ethics in practice (4 modules within it, which are: Working with Human Participants, Understanding Ethical Approval, Working with Ethically challenging circumstances, Working ethically in a global environment. The RGU also co-ordinate Ethics Chairs Forums, Ethics panel meetings, Animal Welfare and Ethical Review Body (AWERB), Human Tissue and Bio Medical Steering Groups for all schools and faculties within the institution. 7% of ECRs undertook Research Governance Unit courses between 2018-2020. For further information on the numbers of ECRs/Researchers who have attended these training sessions, please see the training data tab.

### **What we need to do (2020-2022)**

To continue to promote mandatory Research Integrity and Ethics training to ECRs/Researchers. To publicise appropriate information is for ECRs/Researchers to help determine the ethics of their research activity. To ensure the process for reporting research misconduct is easily accessible and confidential. To continue to provide support and training to Members of ethics committees and review panels. To ensure attendance at the mandatory training has been good with excellent engagement. To publicise the mentoring system which has been put in place for new ethics reviewers to support them in the process.

### **Responsibility (Lead role in Bold)**

- Director, Research & Enterprise Service  
Head of Research Governance & Ethics

### **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.**

### **What we do already (2016 - 2018)**

Expectations, skills and knowledge required at each job level is stated on the HR webpages. Maintenance and continued evaluation of current practice plus the publication of the career pathways which will clearly articulate the expectations for developing through the career levels. Furthermore, the Career Research Pathway "Portal" allows staff to search for CPD via RDF domain, Job Role or particular topic. By using Job Role - they can then determine what skills set is indicated as being required at each level, and thus better understand the requirements for career progression - evidenced in a transparent way.

### **Progress during 2018-2020**

The RDU Portal helps researchers plan their development and career progression in a number of ways, by capturing all development opportunities and events that the RDU are aware of from the various services and faculties across the university, and presents them in one easy to find, accessible location. The portal provides links with the Vitae Researcher Development Framework as a benchmark for professional practice, expertise and excellence. The

portal also provides researchers with links, resources and references to help our researchers be the best they can be in their current role and those in the future. The portal is set out into 4 areas: Personal Development Planning, Development Activity & Events, Getting the most out of your development and career, and UCLan Research Forums. For further information on the areas of the portal please see the training data tab.

### **What we need to do (2020-2022)**

To ensure information regarding requirements of roles with respect to skills and knowledge is available to ECRs/Researchers through documentation or by networking opportunities. To ensure ECRs/Researchers are confident to plan their next steps with respect to achieving their next role. To promote to ECRs/Researchers the Researcher Development Portal, alongside the Vitae Researcher Development Framework.

### **Responsibility (Lead role in Bold)**

- Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **D5. Researchers should recognise that their primary responsibility for managing and pursuing their career is theirs. Seek out opportunities for learning and development.**

### **What we do already (2016 - 2018)**

The UCLan CPD policy states that career development is the individuals' responsibility, supported by managers and central services. Learning hours are no longer reported centrally, but discussed locally through appraisal, and recorded using an appropriate system for that researcher. All learning centrally administered is managed through the HR system and therefore recorded on their development record. The expanded Pathways scheme and newly formed Research Services will yield further opportunities for staff; and the expanded network by virtue of the new researcher networks - will increase the opportunities for dialogue.

### **Progress during 2018-2020**

78 colleagues accessed the careers service during 2019/2020. Academic staff have accessed 3882 HR provided learning events/activities between 01/08/2018 and 31/07/2020. 2,952 colleagues accessed portfolio of training delivered by Research Services in relation to development training over the last 2 years.

### **What we need to do (2020-2022)**

To ensure greater engagement in training and development opportunities offered both internally and externally to UCLan.  
To ensure good evaluations of the training and development opportunities offered to ECRs/Researchers.  
To ensure training and development opportunities match the current issues of the day.

To promote the recording of all CPD by ECRs/Researchers in order to demonstrate the 10 days per year we are working towards. HR/ADRE to work colleagues and with the itrent developments to achieve this.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services  
**Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **D6. Research managers should encourage CPD. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated. Researchers encouraged to record their CPD for presentation to future employers.**

### **What we do already (2016 - 2018)**

UCLan's leadership development work supports managers to actively encourage career conversations and regular CPD. Each appraisal discussion contains CPD and development plans are in place for each individual. Researchers have been attending the appraisee briefings and are prepared for their career development discussions with their appraiser. Career development activities are monitored and reviewed locally with their line manager, and Director of Research as appropriate. Researchers are encouraged to use iTrent HR system to record their CPD, unless they have a preferred format or professional body requirements. The iTrent record can be cut and pasted into their appraisal form or any other document for ease of use. The University is currently looking to purchase Vitae's Planner programme, which will be made available to all researchers to record their activities. This will enable them to produce reports of experience matched to the RDF domains, and thereby prioritise areas that require further development. It will also yield evidence of their practice to support career mobility.

### **Progress during 2018-2020**

The RDU portal has an option for staff within it for getting the most out of your development. This section of the portal allows staff to identify, plan, and drive their personal research & career progression. A guide to adding personal learning to iTrent has been developed and promoted via the Staff Development webpages; - How to add personal learning to Itrent.

### **What we need to do (2020-2022)**

To ensure ECRs/Researchers record their CPD activity on itrent, with the possibility that in the future this information can automatically be added to an electronic appraisal form. To promote the recording of all CPD by ECRs/researchers in order to demonstrate the 10 days per year we are working towards.

- **Responsibility (Lead role in Bold)**
- Human Resources (Leadership Development Manager)  
Director of Research & Enterprise Services
- **Faculty Directors of Research**  
School Research Leads  
Training Coordinator (Academic Development for Research & Enterprise)

## **Principle 6**

### **E1. & E2 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.**

#### **What we do already (2016 - 2018)**

The Race Equality Charter Mark submission is now planned for July 2018. The Athena Swan institutional Bronze Award is being resubmitted in November 2017, along with a Silver submission from the Faculty of Health & Wellbeing. Institutional Self Assessment Teams for both Athena Swan and RECM have been convened and meet bi-monthly. A university level group (EDEG) is chaired by the Deputy Vice Chancellor to oversee all equality and diversity initiatives. The recent appointment of an Equality, Diversity, Inclusion and Communities Manager enhances the University's commitment to Equality issues, and work is ongoing to develop an E&D Team. The University has achieved re- accreditation as a Disability Confident Employer, and as a Mindful Employer, cementing our commitment to support staff with disabilities, and with mental health issues. Staff survey equality data from January 2018 survey shared with Equality and Diversity Executive Group. New governance arrangements for Athena Swan, Race Equality, Stonewall and other charter marks.

#### **Progress during 2018-2020**

Equality and Diversity Executive Group consider survey outcomes - Latest EDI staff survey report is here: The Staff Survey results in January 2019 were split by gender, race, age, contract type, and shared with the Equality, Diversity and Inclusion Manager. Key equality issues for the University: Colleagues who are Part Time and Fixed Term are less likely to say they have had an individual appraisal / review / probation discussion in the last 12 months. Colleagues who say they have a disability are more likely to say they have felt discriminated against at work in the last 12 months. Colleagues who are Black / African / Caribbean / Black British are less likely to say they believe UCLan is committed to equality of opportunity for all staff. The governance of the charter marks changed again during this period due to restructures. A new EDI Director was appointed in July 2020. Athena Swan Bronze Award was regained in April 2020 and continues to be held in the Faculty of Health and Wellbeing.

### **What we need to do (2020-2022)**

To regain the Athena Swan Bronze Award. Opportunities seen to be open to all staff. (ECR/Researchers/Academic/Professional Services etc) where appropriate. Collate the actions from Athena Swan, staff surveys and HR Excellence in Research to ensure co-ordination.

- **Responsibility (Lead role in Bold)**
- Human Resources (Leadership & Development Manager)  
Director of Equality & Diversity  
**Faculty Directors of Research**  
School Research Leads

### **E3. Address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately affect some groups**

#### **What we do already (2016 - 2018)**

As part of the Race Equality Charter Mark, race and ethnicity data is being examined and action plans will follow. Gender is being managed via the Athena Swan work and closer links are being made within the University between the teams with responsibilities in these areas. Research undertaken as part of the Race Equality work identified barriers to progress at certain levels for black and minority ethnic staff. A response is being planned to target support, encouragement and development for staff in this group. Also, the theory is being tested that women are not getting the equivalent research time as men, which anecdotal evidence supports.

#### **Progress during 2018-2020**

Identify any improvements or suggestions by research staff around obstacles to progression in relation to equality & diversity for the last 2 years. What actions came out of the investigation for research time for men and women? In preparation for REF 2021, we have peer reviewed research outputs internally and externally for originality, significance and rigour since 2015/16. Gender disparity favours men (10-16% difference), while the eligible population remains gender-balanced. 2019 staff survey found 75% of male responders 'have the opportunity for personal growth and development' and 77% of female responders agreed.

#### **What we need to do (2020-2022)**

Athena Swan Bronze submission and action plan to be shared and work started. Analyse workload allocation/distribution of allocated time for research, teaching, pastoral care, and management by gender and job role to create a more transparent and equitable environment (Athena Swan Action 5.1.8). Working to be conducted around BAME population and their likelihood to start and complete a postgraduate research programme.

- **Responsibility (Lead role in Bold)**
- **Human Resources (Leadership & Development Manager)**  
Director of Equality & Diversity

**E4. & E5 - Respond flexibly to requests for changes to working patterns and resist instant refusals based on 'we don't do it this way here'. E5 Account taken of researcher's personal circumstances. Change policies or practices that directly or indirectly disadvantage such groups.**

**What we do already (2016 - 2018)**

The vast majority of flexible working requests are resolved locally. Any which require a formal process are supported by HR and 100% of requests are dealt with within published timescales. HR Business Partners challenge managers in the event that they believe a request has been wrongfully denied, thus retaining objectivity. Current data shows that 95% of requests are granted when HR become involved. 100% of requests for flexible working or changes to working patterns decided within the published timescales. Numbers for formal process in past 12 months dealt with by HR was 16. Of this number, 16 accepted and 0 declined. Staff have access to shared parental leave, flexitime, flexible working requests, leave for compassionate reasons and many other options. Posters promoting the benefits of employment at UCLan circulated.

**Progress during 2018-2020**

The HR Department was unable to state the number of flexible working requests received this year. In the 2019 Staff Survey, 92% of women and 93% of men responded positively to the statement "Flexible working is supported in my School/Service". Two pulse surveys were carried out between March and July 2020, each had over 1000 responders and to the question 'How are you finding the current ways of working' (at home and online) most people responded positively and there was no marked gender difference. Academics highest score was 5 out of 7 (1 = struggling, 7 = great).

**What we need to do (2020-2022)**

All flexible working requests are accommodated or resolved within published timescales. Set flexible working principles to apply in all areas to aid consistency. HR to systematically record flexible working requests.

**Responsibility (Lead role in Bold)**

- Human Resources (Leadership & Development Manager)  
Faculty Directors of Research  
School Research Leads

**E6. & E8. Transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity reflected in selection and evaluation committees. E8. Measures exist for discrimination, bullying or harassment to be reported without adversely affecting careers of innocent parties.**

**What we do already (2016 - 2018)**

Managers do take account of researchers personal circumstances and respond flexibly where possible. Policy or practice changes required are managed by the existing channels of trade union partnership, HR Business Partnering or via the main university group Equality and Diversity Executive Group. Equality Impact Assessments are no longer undertaken when a policy is ready for implementation but is embedded during the development stage. This is a positive step forward and ensures all HR policies respect people in all personal circumstances. Appraisers are encouraged to hold regular one-to-one discussions to better understand each member of staff to treat each according to their needs. 83% of staff survey responders had an appraisal discussion in past twelve months. Research shows an increase in appraisal participation is needed for part time and fixed term staff.

**Progress during 2018-2020**

The 2019 staff survey reported no responses which were statistically significantly lower for full time fixed term responders, however there was one question which did show a more negative response for part time fixed term responders; Q3-1 Have you had an individual appraisal / review / probation discussion in the last 12 months. 79% of full-time fixed term responders had had an appraisal in the past twelve months 66% of part time fixed term responders had had an appraisal in the past twelve months. Whilst only the part time responders show statistical significance, when compared to full time indefinite contract holders where 88% reported that they had had an appraisal, there is still worked to do for all fixed term contract holders. Report and Support platform launched in April 2019 and 6 colleagues have used this to report concerns around bullying/harassment or discrimination.

**What we need to do (2020-2022)**

Staff are aware of the relevant University policies. Alternative platform for reporting bullying/harassment or discrimination concerns is launched. As the success measure was not achieved, improving the experience of fixed term contract holders and appraisal remains an objective. In the staff survey 2022 there will be no statistically significant differences in appraisal experience between full time and part time fixed term contract holders. Report and Support platform exists for reporting concerns.

**Responsibility (Lead role in Bold)**

- Human Resources (Leadership & Development Manager)  
Director of Equality & Diversity  
Director of Research & Enterprise Service  
**Faculty Directors of Research**  
School Research Leads

**E7. Transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity reflected in selection and evaluation committees.**

### **What we do already (2016 - 2018)**

A robust equal opportunity policy is in place for all appointments and all recruiting managers are trained in equality and diversity as well as recruitment good practice. The UCLan gender diversity profile is reflected in the make-up of selection panels and evaluation committees. This was commended in our institutional Athena Swan submission. Building on existing good practice, unconscious bias training is available for all recruiting managers.

### **Progress during 2018-2020**

Some good progress made towards all decision makers being trained. 319 colleagues have taken Unconscious Bias Mandatory Training since 01/08/2018. 212 colleagues have taken Recruitment and Selection Training since 01/08/2018. 792 have taken Diversity in the Workplace Mandatory Training since 01/08/2018.

### **What we need to do (2020-2022)**

To ensure selection decision makers have completed unconscious bias training. To promote active engagement of decision makers in unconscious bias training. All staff (ECRs/Researchers/Academic/Professional Services) to complete the Diversity in the Workplace Mandatory Training.

### **Responsibility (Lead role in Bold)**

- Human Resources (Leadership & Development Manager)  
Director of Equality & Diversity  
Director of Research & Enterprise Service  
Faculty Directors of Research  
**School Research Leads**

## **E9. Measures exist for discrimination, bullying or harassment to be reported without adversely affecting careers of innocent parties.**

### **What we do already (2016 - 2018)**

Well established process underpin the policy which applies to all staff. Mediation is available and alternative 'early dispute' methods are being trialled. Trade Union reps have undertaken an introduction to mediation. Routes for reporting are advised in the policy. Early dispute resolution schemes are in development to support allegations and investigations.

### **Progress during 2018-2020**

Two colleagues have undertaken mediation training in the last 2 years, adding to the pool of trained mediators. Report and Support was introduced in April 2019 for all students and colleagues to report bullying/harassment or discrimination. By 31 July 2020 there had been 6 colleagues making a total of 10 reports of concerns. HR committed to adopting 'early dispute resolution' and devised a plan, which was then placed on hold whilst the Service concentrated on the cost reduction activity. It is planned to restart in Autumn 2020. In the 2019 staff survey 5% of responders said they were currently

experiencing bullying/harassment, which is 1% above the sector norm. 8% of responders had felt discriminated against in the past 12 months, 2% better than the sector norm.

### **What we need to do (2020-2022)**

To ensure early dispute resolution scheme in place. To ensure ECRs/Researchers (also academic/professional services staff) are aware of the bullying and harassment policy and how to report issues. To continue to implement the early dispute resolution scheme. To raise manager awareness of the scheme options.

### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership & Development Manager)**  
Director of Equality & Diversity  
Director of Research & Enterprise Service  
Faculty Directors of Research  
School Research Leads

## **E10. Consideration of participation in schemes such as Athena Swan Charter, the Juno project, and other initiatives.**

### **What we do already (2016 - 2018)**

Existing awards are maintained and more submitted in line with UCLan plan.

### **Progress during 2018-2020**

Institutional award of Bronze was regained in April 2020, and the Faculty of Health and Wellbeing retain their Bronze Award also. The University continued its Stonewall Champion status and is a committed supporter of the Race Equality Charter Mark. A new Director of EDI was appointed in July 2020 to bring together award action plans and provide director level resource for the first time

### **What we need to do (2020-2022)**

Athena Swan Award regained. Action plan on track for Athena Swan Bronze at Faculty Level. Athena Swan action plan is on track.

### **Responsibility (Lead role in Bold)**

- **Human Resources (Leadership & Development Manager)**  
Director of Equality & Diversity  
Director of Research & Enterprise Service  
Faculty Directors of Research  
School Research Leads

## **Principle 7**

### **F1. Undertake regular review of progress in implementing the principles of the Concordat via a Steering Group.**

#### **What we do already (2016 - 2018)**

A new Concordat Steering Group is being established as Research governance at UCLan is transformed. The first meeting is planned for Spring 2018. A Research Development Steering Group (RDSG) has been re-established for 2018 onward, comprising Head of Research Services, HR, Researcher Development, Faculty Directors of Research, and representatives of research across the board from each Faculty (3). The role of this group is to agree the action plans, monitor progress, ensure communication of the work and connecting the many activities across UCLan which contribute to the concordat. This group will also benefit from insight from the Profs and Readers Network, as well as the other networks (ECR, Mid terms researchers) that are being brought about at the time of the creation of this document.

#### **Progress during 2018-2020**

A Researcher Development Steering Group has been established to look at action plans, monitor progress, ensure communication of the work & connecting many of the activities across UCLan which contribute to the Concordat. The RDSG have met eight times during 2019-2020. The Leadership and Development Manager from HR and the HR Manager responsible for promotion and staff changes are members of the RDSG. There have been eight meetings of the RSDG which have taken place in the last two years. The representation of the group is as follows: • Director of Research Services & Interim Director of Innovation & Enterprise (Chair) • Researcher Development Unit Training Officer (Minutes) • Representative of Faculty of Science & Technology • Representative of Faculty of Health & Wellbeing • Representative of Faculty of Creative and Cultural Industries • Representative of Faculty of Clinical and Biomedical Sciences • Representative of Lancashire School of Business & Enterprise • Early Career Researcher • Leadership and Development Manager (Human Resources) • Human Resources Manager x 2 Publicity/Events around the Concordat The Researcher Development Unit run three times a year a session on career development for researchers. Within this session, the Concordat to support the Career Development of Researchers is spoken about alongside the Researcher Development Framework. Researchers are also aware of the Concordat through the RDU Portal, Blog, one to one development discussions. Future concordat specific events for researchers are planned for 2020/2021 to ensure that all researchers/managers are aware of this document.

#### **What we need to do (2020-2022)**

To ensure the steering group meets regularly, and objectives are progressed to successful solutions. To ensure the activities of the Steering group are reported and discussed at relevant University Committees. To introduce for 20/21 that the revised concordat is taken to all relevant research committees at School and Faculty levels. Researcher representatives on those committee's feedback information about the new concordat, or the RDU attends Faculty and School meetings to inform researchers of updates relating to the concordat. To host events specifically around the revised concordat for all researchers at all levels. This will raise the profile of the new Concordat and highlight the responsibilities of all stakeholder and enable participants to hear how the University can help them, but also listen to their needs and requirements. The 3 Research Networks will be targeted: ECR, Mid-Career and CPR, as will the Research Institutes and Centres To run a survey for researchers about the concordat, so that information can be obtained on how many

researchers are aware of the concordat and their responsibilities as researchers but also the institutions responsibilities, plus what their needs are and their ideas to help embed the Concordat into day to day working. Potentially use the CEDAR's (Culture, Employment and Development in Academic Research) Survey.

### **Responsibility (Lead role in Bold)**

- **Director Research & Enterprise Service**  
Human Resources - Leadership Development Manager  
Training Coordinator (Academic Development for Research & Enterprise)  
Faculty Directors of Research  
School Research Leads

## **Appendix 1 - Training information**

### **B6. Researchers offered opportunities to develop their own careers. Clear career frameworks for early stage researchers outlined in organisational HR strategies. Researchers have access to additional pay progression. Transparent promotion procedures.**

#### **Progress during 2018-2020**

**Academic Research Induction** - In response to feedback, the 'Academic Induction for Researchers' event for 2019/2020 has been delivered as a set of 1-hour modules between February 2020 and June 2020. Previously the material was delivered in a full 1-day session. The modules cover the work undertaken and support offered by the 5 Units within Research Services, plus a session delivered by Innovation & Enterprise on Intellectual Property Rights. The first module was a session by the Director of Research Services, who briefly introduced the work of the Service and how research is funded by the University and by UKRI referring to the dual support system. Over the 2019-2020 period there have been 8 modules run with an attendance of 84 people (out of those 84, 38 (45%) of them were ECRs.) By contrast in 2018, only three sessions took place with a total attendance of 29 people.

**Grants and Funding Unit (GFU)** - During 2018-2020, 67 courses/events were offered with a total attendance of 171 (out of that total attendance figure, 17 of them were ECRs (10%) . The courses that are offered are around Deciphering the funding opportunity, Project Costings, How to submit an external bid, and How the Grants and Funding Unit can support researchers etc. These events focus on 'How to' questions but also respond to external Calls to support those developing proposals e.g. EPSRC: New Horizon Information Events. In addition to fixed training and workshop sessions, GFU offer 1-2-1 meetings to support staff in setting up and using their access to the Funding Opportunities portals: GrantFinder and ResearchProfessional and Training Gateway. During 2018-2020, 83 1:1's took place from the Grants and Funding Unit relating to accessing funding portals.

**Masterclass information** - The Grants and Funding Unit delivered two Masterclass sessions in 2019-2020. Developing your research proposal took place in December 2019 and had 25 people attend. In March 2020, a session on Deciphering the funding opportunity took place with 21 people attending. Unfortunately we have not been able to produce any data on ECR attendance for these sessions for this time period. Moving forward all information will be recorded on I-Trent to provide robust data for the 2022 submission.

**Research Governance Unit (RGU)** - The Research Governance Unit provides a comprehensive training programme for all researchers at all levels in relation to Ethics and Integrity training. They provide both face to face and an online training provision. In 2018-2020, there has been 4 sessions of Research Ethics & Integrity Training with a total attendance of 100. There were 12 sessions of Obtaining Ethical Approval training with an attendance of 122. There have been 30 sessions of Reviewer training with a total attendance of 86 people and Chairs Training with 4 sessions and 13 people attending. The RGU use Epigeum as an online training programme (reporting from this system has only been available from October 2019) which covers Becoming an Ethical researcher (4 modules within it, which are: Ethical Research, Underpinning Values for Ethical Research, Ethical Concerns associated with different forms of research, Ethical Concerns associated with different research methods and activities). There have been 98 people who have completed the Ethical Decision making modules, 74 people completed the Underpinning Values for Ethical Research, 73 people who have completed the Ethical Concerns associated with different forms of research, and 70 people who have completed Ethical Concerns associated with different research methods and activities. There is also an online Research Ethics in practice (4 modules within it, which are: Working with Human Participants, Understanding Ethical Approval, Working with Ethically challenging circumstances, Working ethically in a global environment). There have been 60 people who have completed the Working with Human Participants module, 49 people completed the Understanding Ethical Approval, 45 people completed Working with Ethically challenging circumstances, and 46 people completing Working Ethically in a global environment.

The total attendance for the face to face and online training provision is 843 over the period 2018-2020 (out of that total attendance figure 60 of them were ECRs (7%). There have been 15 Ethics Panel Meetings which cover all faculties, with a total attendance of 216. 2 Joint Ethics Panel Meetings, with an attendance of 59, 6 sessions of the Chairs Forum with an attendance of 57. The RGU is also involved in AWERB with 11 sessions taking place and 147 attendance, The Human Tissue Working Group with 9 sessions and 88 attendance and the Bio Medical Steering Group with 9 sessions taking place with a total attendance of 82 people.

**Scholarly Communications Unit (SCU)** During 2018-2020, 26 courses/events were offered with a total attendance of 86 (out of that total attendance figure, 14 of them were ECRs (16%). The courses that are offered are around Where to publish, Research Data Management, Open Research Essentials, How to Publish and Academic Research Induction Sessions.

**Research Excellence Unit (REU)** - The Research Excellence Unit has run monthly REF Open sessions to keep people up to date with progress towards the REF submission. The Impact team has also provided drop-ins and 1-2-1 training for individuals or small groups. During 2018-2020, 64 courses/events were offered with a total attendance of 554. The courses that are offered are around REF open sessions, Impact Tracker, Making an Impact and Academic Research Induction Sessions. Unfortunately we have not been able to produce any data on ECR attendance for these sessions for this time period. Moving forward all information will be recorded on I-Trent to provide robust data for the 2022 submission.

**Researcher Development Unit (RDU)** - During 2018-2020, 36 sessions have taken place around Career Development for Researchers, One to one sessions, Academic Research Induction Sessions, Faculty and School Away days, engagement with Faculty and Schools in relation to researcher development, Inaugural professorial lectures, and the Research at Uclan Conference with a total attendance of 527 (out of the total attendance figure, 97 were ECRs (18%).

The new Academic Professional Apprenticeship scheme was launched in Jan 2019. All 50 participants are Lecturers or Senior Lecturers with less than two years HE teaching experience. Both the research and the teaching route of the APA were approved for delivery at UCLan in 2018. As it is contractual that all academics involved in teaching gain Fellowship of the HEA, all staff complete the teaching and learning APA route and not the researcher route. Initially it was anticipated that there would be a 'researcher' route for the APA, but it has been difficult to determine who this route would be aimed at. A consequence of this is that the research route has been suspended currently. However, the standard APA route for new academics does cover research in core modules.

### **C3. Training, skills and competencies to carry out the funded project. Support to develop the communications and other professional skills to be effective researchers and highly skilled professionals in other fields.**

#### **Progress during 2018-2020**

**Grants and Funding Unit (GFU)** - During 2018-2020, 34 courses/events were offered with a total attendance of 171. Out of that total attendance figure, 17 of them were ECRs (10%). The courses that are offered are around Deciphering the funding opportunity, Project Costings, how to submit an external bid, and How the Grants and Funding Unit can support researchers etc. These events focus on 'How to' questions but also respond to external Calls to support those developing proposals e.g. EPSRC: New Horizon Information Events. In addition to fixed training and workshop sessions, GFU offer 1-2-1 meetings to support staff in setting up and using their access to the Funding Opportunities portals: GrantFinder and ResearchProfessional and Training Gateway. During 2018-2020, 83 1:1's took place from the Grants and Funding Unit relating to accessing funding portals.

**Masterclass information** - The Grants and Funding Unit delivered two Masterclass sessions in 2019-2020. Developing your research proposal took place in December 2019 and had 25 people attend. In March 2020, a session on Deciphering the funding opportunity took place with 21 people attending. Unfortunately we have not been able to produce any data on ECR attendance for these sessions for this time period. Moving forward all information will be recorded on I-Trent to provide robust data for the 2022 submission.

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**Research Governance Unit** - The Research Governance Unit provides a comprehensive training programme in relation to Ethics and Integrity training for all researchers at all levels. They provide both face to face and an online training provision. In 2018-2020, there has been 4 sessions of Research Ethics & Integrity Training with a total attendance of 100. There were 12 sessions of Obtaining Ethical Approval training with an attendance of 122. There have been 30 sessions of Reviewer training with a total attendance of 86 people and Chairs Training with 4 sessions and 13 people attending. The RGU use Epigeum as an online training programme (reporting from this system has only been available from October 2019) which covers Becoming an Ethical researcher (4 modules within it, which are: Ethical Research, Underpinning Values for Ethical Research, Ethical Concerns associated with different forms of research, Ethical Concerns associated with different research methods and activities). There have been 98 people who have completed the Ethical Decision making modules, 74 people completed the Underpinning Values for Ethical Research, 73 people who have completed the Ethical Concerns associated with different forms of research, and 70 people who have completed Ethical Concerns associated with different research methods and activities. There is also an online Research Ethics in practice (4 modules within it, which are: Working with Human Participants, Understanding Ethical Approval, Working with Ethically challenging circumstances, Working ethically in a global environment). There have been 60 people who have completed the Working with Human Participants module, 49 people completed the Understanding Ethical Approval, 45 people completed Working with Ethically challenging circumstances, and 46 people completing Working Ethically in a global environment.

The total attendance for the face to face and online training provision is 843 over the period 2018-2020. (out of that total attendance figure 60 of them were ECRs (7%). There have been 15 Ethics Panel Meetings which cover all faculties, with a total attendance of 216. 2 Joint Ethics Panel Meetings, with an attendance of 59, 6 sessions of the Chairs Forum with an attendance of 57. The RGU is also involved in AWERB with 11 sessions taking place and 147 attendance, The Human Tissue Working Group with 9 sessions and 88 attendance and the Bio Medical Steering Group with 9 sessions taking place with a total attendance of 82 people.

**The Centre for Collaborative Learning** also provides courses for ECRs on how to share their research at conferences, how to present at a conference and design and deliver a conference poster. In 2018-2019 - 3 ECRs undertook training from CCL around developing their presentation styles to aid their research. Unfortunately we do not have any further data on this area for this time period.

## **C7. Articulation of skills that should be developed to support career progression.**

### **Progress during 2018-2020**

**Future Leaders** - The RDU presented at Future Leaders specific applicant events three times within 2019-2020. These events took place in November and December 2019, and July 2020. At these events the RDU talks about the importance of the concordat to support the career development of researchers, how integrating the RDF framework into their career development plans can help with mapping skill sets or areas they need support with. They also discuss the RDU Portal/Blog/ development activities that can enhance their current skill set and how these resources can aid their Future Leader applications. At the November event there were 8 people who attended, 5 were lecturers, 2 senior lecturers, and 1 a post-doctoral research assistant. At the December event there were 4 people who attended, 1 was a Lecturer, 1 a Senior Research Fellow, 1 Senior Lecturer, and 1 a Research Fellow. The July event had 4 people in attendance, 2 were Senior Lecturers, and 2 were of a Lecturer grade. The RDU also provides written support about the resources and development opportunities available to researchers that maybe beneficial to include in their applications. The RDU has provided written

support to 11 researchers from November 2019 – July 2019. November 2019 (1 – Innovation & Enterprise), March 2020 (1 – Physical Sciences & Computing), April 2020 (1 – School of Pharmacy), May ( 1 – School of Pharmacy, and 1 from School of Forensics), June 2020 (1 – School of Journalism, 1 – Physical Sciences and Computing), July 2020 (2 – Community Health & Midwifery and 1 – Physical Sciences & Computing).

**One to one development sessions with Future Leader applicants** - This one to one session focus on the importance of the concordat to support the career development of researchers, how integrating the RDF framework into their career development plans can help with mapping skill sets or areas they need support with. Discussions take place around the RDU Portal/Blog/ research networks and what development activities they require or what is available at the university which may enhance their Future Leader applications. Four sessions have taken place in 2020. June 2020 – 1 Forensics, 1 Physical Sciences & Computing, 1 Journalism. July 2020 – 1 Stroke Research Team.

**Researcher Development Engagement activities** with schools/faculties around Researcher Development. April – May 2019 - 4 x 1 Session with FETs (Approximately 10 people in attendance) in the Faculties of Health & Wellbeing, Science and Technology and Lancashire School of Business and Enterprise to explore researcher development and showcase the RDU portal. May – October 2019 - 5 Meetings held with individual Heads of School and their Research Leads to discuss career development for researchers in their school. Schools involved were: Engineering, Physical sciences and Computing, Psychology, Nursing and Forensic Sciences. September 2020 - Meeting with ICSC lead members (2 people in attendance) re: linking researcher development activity with their Institute.

**School/Faculty Away Days** - June 2019 – Attendance at the School of Engineering Away day to discuss career development for researchers and the concordat. (Approximately 30 people) October 2020 - Attendance at the ICSC to discuss career development for researchers and the concordat. (Approximately 20 people)

Working in Faculties/Schools - September 2020 – RDU working in the Faculty of LSBE operating a development support drop-in session. November 2020 - RDU working in the School of Pharmacy operating a development support drop-in session.

**Academic Research Induction Sessions** - The Academic Researcher Induction programme went modular for 2019-2020 to encourage greater attendance. The RDU have delivered two sessions in 2020 (March – 5 people attended all of which were ECR's, and June 8 people attended of which 7 were ECR's and 1 was MCR) This session focussed on the researchers understanding their responsibilities within the Concordat to Support the Career Development of Researchers. Understanding what the HR Excellence in Research Award is and the importance for researchers and institutions. Identify ways of driving their own development and career, how to access the Researcher Development Portal, and recognise how the RDU can help researchers in their role. The modular approach has worked as it has enabled people to attend at their own pace and can pick up new starters at any point.

50 colleagues have participated in the Academic Professional Apprenticeship.

## **C8. Researchers are aware of local and national career development strategies.**

### **Progress during 2018-2020**

The launch of the research newsletter did not take place as planned for January 2019. However the RDU publicises regularly (via e-mail) to the research community (all level researchers) information around development opportunities that are taking place both internally and externally to the organisation (Such as REF, Open access, Impact, Professorial lectures, Sense about Science, any Vitae information). Below are examples of material and opportunities promoted to researchers around career development strategies.

April 2020 - External - Coding demonstrations for Social Science Research, External - Online international research conference, Internal - Article -n Researchers striking the balance between Teaching & Research.

May 2020, External - UKRI survey - Impact of COVID 19 on researchers and the UK research base., External - Open book publisher sessions, Internal - UCLan research data survey for researchers.

June 2020 - Internal - The changing research picture at UCLan for BAMME colleagues, Internal - Webinar - COVID 19 - Public Health insights and perspectives.

July 2020 - External - Resources around Journal Publishing, External - UK Research & Development Roadmap survey, Internal - Impact Training, Internal - Responsible Metrics, Internal - Vitae - Concordat to support the career development of researchers. Internal - Academic Induction Programme 2020/2021, Internal - Ideas and suggestions for ECR programme 2020/2021, Internal - Ideas and suggestions for MCR programme 2020/2021, Internal - Mentoring Programme for Researchers, Internal - Schedule of CPR meetings 2020/2021.

August 2020 - Internal - Resource - Writing for Publication, External - Vitae 3MT & Vitae Researcher Development Conference.

**Blog Publicity** - April 2020, External - Webinar - best practice research.

May 2020 - Vitae chat on mental health of researchers, Live - Vitae chat on Twitter, Wellbeing & mental health resources.

June 2020 - Impact of COVID 19 researchers and the UK research base. Responsible metrics training session. Academic Induction sessions.

July 2020 - External - Guide to publishing

August 2020 - External - webinar warming up respondents for response rates. External - Vitae 3MT & Vitae Researcher Development Conference

Microsoft Teams Publicity - June 2020 - Mentoring programme for researchers, Welcome Event for Mid-Career Researchers.

July 2020 - Presentations from the MCR Welcome event, Academic Research Induction Sessions 2020/2021, Ideas and suggestions for ECR programme 2020/2021, Ideas and suggestions for MCR programme 2020/2021, UK Research & Development Roadmap survey.

**RDU Portal News** - July 2020, Vitae – Researcher Development Conference, Vitae chat on Mental Health of researchers.

## **D1 & D2 Researchers should develop increased capacity for independent, honest and critical thought. Researchers should develop their ability to transfer and exploit knowledge.**

### **Progress during 2018-2020**

**Flexible comprehensive on-line materials:** - During this period 359 staff members have accessed the intranet site (unable to tell you who these people are as it does not provide this data). Interactive IP learning resource: During this period 60 research staff members have completed the training. Video recordings of workshops and access to presentation materials: - During this period 43 research staff members have attended workshops. Unfortunately we have not been able to produce any data on ECR attendance for these sessions for this time period. Moving forward all information will be recorded on I-Trent to provide robust data for the 2022 submission.

**1:1 Training** - During this period 91 research staff members have attended 1:1 meetings to receive advice, guidance and training.

**Research2Market Programme** - This programme includes: - Research2Market Commercialisation Bootcamp. To date the team have delivered 1 cohort on the 2-day programme comprising 47 research staff members. This also includes 7 medical/clinical research staff from Lancashire health NHS Trust (UCLAN Partner trust)

- Research2Market Commercialisation Fund
- Of the 47 attendees on the programme, 26 applications were received for the R2M innovation fund (a competitive application process)
- Research2Market IP Etiquette Programme

**Group Workshops and events:** - The programme of events and workshops are delivered by both the internal team and external specialists on focused areas of IP and commercialisation. To date 56 members of staff have attended workshops.

**New starter Group IP training workshops:** To date the team have delivered these sessions to 70 members of staff.

**SCU Information** - The number of researchers that have uploaded CLoK deposits between 1/1/2018 and 18/8/20 is 5077. This is total number of deposits irrespective of who did them. The number of researchers that have engaged with the UCLan Data Repository and the deposits during 2018–2020 is 41. There are currently 942 staff members that have gained use of an ORCID identifier in the last two years. Unfortunately we have not been able to produce any data on ECR attendance for these sessions for this time period. Moving forward all information will be recorded on I-Trent to provide robust data for the 2022 submission.

**Research Institute & Centre Information** - In addition to the central events, research groups and the UCLan Research Institutes and Research Centres offer a seminars series and writing retreats to support staff development, engagement and critical thought.. During 2019-2020, 84 seminars were offered across the main Research institutes and Research Centres with 10 writing retreats taking place.

### **D3. Researchers should conduct and disseminate research in an honest and ethical manner.**

#### **Progress during 2018-2020**

In 2018-2020, there has been 4 sessions of Research Ethics & Integrity Training with a total attendance of 100. There were 12 sessions of Obtaining Ethical Approval training with an attendance of 122. There have been 30 sessions of Reviewer training with a total attendance of 86 people and Chairs Training with 4 sessions and 13 people attending. The RGU use Epigeum as an online training programme (reporting from this system has only been available from October 2019) which covers Becoming an Ethical researcher (4 modules within it, which are: Ethical Research, Underpinning Values for Ethical Research, Ethical Concerns associated with different forms of research, Ethical Concerns associated with different research methods and activities). There have been 98 people who have completed the Ethical Decision making modules, 74 people completed the Underpinning Values for Ethical Research, 73 people who have completed the Ethical Concerns associated with different forms of research, and 70 people who have completed Ethical Concerns associated with different research methods and activities.

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The university was one of the first adopters of the Global Code of Conduct for Research in Resource-Poor Settings which aims to stop the export of unethical research practices to low- and middle-income countries. <https://www.globalcodeofconduct.org/> The Research Centre for Global Development delivered training to all their 53 members in December 2019 in the use of the GCC to ensure equitable research collaborations.

**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.**

**Progress during 2018-2020**

**The Personal Development Planning section** is linked directly with the Vitae Researcher Development Framework and acts as a search engine for all development activity. Each of the academic descriptors on the framework has been mapped to the training and development activity and events available to researchers. This allows researchers to search by the individual domains of the framework and development activity linked to these is presented.

**Development Activity & Events** - provides the researcher with a comprehensive list of the activity and events available across the University. It has a basic search engine that will allow you to search for events by key words - e.g. writing - which will pull up all the various training events with a writing theme, with details of when and where these are taking place, where and how you should book, and other vital details. The activities are those provided by Services as well as Faculty Based events, where researchers can look specifically at those hosted by their own area or browse what is going on within other faculties of the University. It also includes professional external events and this listing will grow as people advise us of their professional interests.

**Getting the most out of your development** is designed to help researchers identify, plan and drive their own personal Research development and career progression. By working through each of the sections, researchers can consider what development means to them and what activity would be the most beneficial to them. It also directs researchers to tips, techniques and further resources to help researchers plan and manage their career development and progression.

**UCLan Research Forums provide** researchers with the necessary information about what research forums are available, the current programme of events, and contact information.

In September 2020, the RDU are developing with Human Resources, intranet web pages which are specifically designed for the research community to access in relation to researcher development. These intranet web pages would be for all levels of researchers and research managers to access. The web pages would include all information on policies, procedures, and resources available to the research community. Researchers would be able to access grade criteria and role profiles to enable their own CPD.