

University of the Arts London (UAL): HR Excellence in Research – Action and Implementation Plan – October 2019

Abbreviations

ACP – Academic Career Pathway

ESS – Employee Self Service

LM – researcher’s line manager

RMG – Research Management Group

ADR – Associate Dean of Research

HR – Human Resources

PRA - Planning, Review and Appraisal

TLE – Teaching and Learning Exchange

EB – Executive Board

KE – Knowledge Exchange

RMA – Research Management and Administration

URC – University Research Committee

EDI – equality, diversity and inclusion

Concordat principle	SMART actions (2019-21)	Success measures	Responsibility	Timeline
1.1 All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	1.1.1 Continue to affirm the expectations on researchers to advance research. The Research Oriented ACP has a clear definition and expectations of researchers. All academics at UAL have had their ACP status reviewed and confirmed in May-July 2019 as part of the annual PRA process that runs each summer. Those on the Research Oriented Pathway will review their Personal Research Plan with their College ADR and LM.	PRA completed by all academic staff.	LMs, HR	May-July 2020 and annually thereafter.
	1.1.2 Provide opportunities for academics to move towards research. Academic staff on the other ACPs (Teaching Oriented; Knowledge Exchange Oriented) can request a transfer to the Research Oriented Pathway at the PRA. Such a transfer will be considered by the LM and College ADR according to a process overseen by HR.	PRA completed by all academic staff.	LMs, HR	May-July 2020 and annually thereafter.
	1.1.3 Develop a new UAL Strategy. The Strategy’s values and behaviours will reflect UAL’s commitment to the principles of the Concordat.	Delivery of a new UAL Strategy.	Planning Unit	July 2020
	1.1.4 Develop a new Research Strategy. This will underpin the UAL Strategy by ensuring that it is fit for the purposes of compliance with the Concordat.	Delivery of a new Research Strategy.	URC	July 2021

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	<p>1.1.5 Develop a new Equality, Diversity and Inclusion Strategy. This is will underpin other actions, especially those under related to principles 6.1 to 6.10.</p>	<p>Delivery of a new Equality, Diversity and Inclusion Strategy (see also 6.1.1).</p>	<p>HR (Diversity and Inclusion)</p>	<p>July 2020</p>
	<p>1.1.6 Raise greater awareness of the Concordat and UAL's policies which support it. UAL will raise awareness of the Concordat and UAL's associated policy and guidance documents and decision-making processes through improved information on the staff intranet and the student Moodle pages managed by RMA.</p>	<p>An implemented and consistent communications plan to disseminate knowledge and understanding of the Concordat and policy and guidance documents to staff (including LMs) and PhD students.</p>	<p>RMA; Communications</p>	<p>July 2020</p>
<p>1.2. Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.</p>	<p>1.2.1 Develop learning and action plans from accreditation exercises. UAL is currently seeking Stonewall, Disability Confident, and Race Equality Charter accreditation. Feedback from the accreditation processes will benchmark current policies and procedures, and inform the development of appropriate action plans and implementation timelines. Guidance will be drawn from the Employers Network for Equality and Inclusion (enei). The accreditation processes will be used to interrogate EDI issues more widely and to identify appropriate actions as early as possible.</p> <p>The learning and action plans from the accreditation exercises are referenced extensively in this document to ensure that initiatives are integrated and complementary, and avoid duplication of effort.</p>	<p>Submitted applications for Stonewall, Disability Confident, and Race Equality Charter accreditation.</p> <p>A learning and action plan to address any areas identified in the accreditation action plans.</p>	<p>HR (Diversity and Inclusion)</p>	<p>July 2021</p>
	<p>1.2.2 Review recruitment processes. This will verify that UAL's recruitment processes (including the development of job descriptions and adverts) are aligned with best practice and are suitable for attracting and securing talent in the art and design sector.</p>	<p>An action plan for training and process improvements so that recruitment and selection is fit for purpose.</p>	<p>HR (Recruitment)</p>	<p>July 2020</p>

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<p>1.3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</p>	<p>1.3.1 Approve guidance on fixed-term contracts for researchers. A formal position on the use of fixed-term contracts (both fractional and full-time) for researchers, particularly in relation to externally funded projects and how individuals are named on funding applications. The guidance will provide clarity on areas such as: fixed-term contract length and its impact on attracting diverse candidates; the role of the probation process; the relationship of fixed-term researchers to the ACP (in areas such as induction, development, job profiles, and teaching opportunities); and the management of the transition from fixed-term to permanent. This will be considered by RMG before submission for approval by URC.</p>	<p>Guidance agreed by URC.</p>	<p>RMG</p>	<p>July 2020</p>
	<p>1.3.2 Schedule an annual report on researchers on fixed-term contracts. Monitoring will be improved by a regular report from the iTrent HR system (against protected characteristics data where appropriate or practicably possible) to ensure that staff are on the correct contract and there is a clear justification for this. The guidance set in 1.3.1 will determine the approach for any relevant staff who may be considered for a permanent position.</p>	<p>A section on fixed-term contracts in the Annual Report on Compliance with the Concordat (see 7.5.1).</p>	<p>HR (Systems)</p>	<p>October 2020</p>
<p>1.4. To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.</p>	<p>1.4.1 Develop learning and action plans from accreditation exercises. Feedback from the Stonewall, Disability Confident, and Race Equality Charter accreditation processes as indicated in 1.2.1 above.</p>	<p>A learning and action plan to address any areas identified in the accreditation action plans (as in 1.2.1 above).</p>	<p>HR (Diversity and Inclusion)</p>	<p>July 2021</p>
	<p>1.4.2 Monitor engagement by recruitment and promotion panels with EDI training. Improved monitoring to ensure that recruitment and progression panel members have recent and appropriate training.</p>	<p>All recruitment and progression panel members have recent and appropriate EDI training.</p>	<p>HR (Diversity and Inclusion)</p>	<p>July 2021</p>

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1.5. The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.	1.5.1 Schedule an annual report on consistent grading of researchers. This will address whether researchers are on the same grade for similar roles and identify where pay gaps may exist. The report will also include the number of requests for role reviews and their success rate.	A section on consistent grading in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMA; HR	October 2020
2.1. Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	2.1.1 Develop learning and action plans from accreditation exercises. As with 1.2.1 and 1.4.1 above, feedback from the Stonewall, Disability Confident, and Race Equality Charter accreditation processes will benchmark current policies and procedures, and inform the development of an action plan and implementation timeline. The accreditation processes will investigate researchers on both permanent and fixed-term contracts.	An action plan to address any areas identified in the accreditation action plans (as in 1.2.1 above).	HR (Diversity and Inclusion)	July 2021
2.2. Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.	2.2.1 Approve a guidance on fixed-term contracts for researchers. The formal position on the use of fixed-term contracts will inform 2.1.1 above.	Guidance agreed by URC.	RMG	April 2020
2.3. Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing	2.3.1 Promote PRA training to LMs. UAL has an established training for LMs conducting the PRA process. These are workshops ('Conducting Your Team's PRA'; 'Setting Objectives for Successful Performance') and online learning ('Appraisal: A Guide for Managers'). The development opportunities will be promoted by HR as part of the annual PRA communications before May 2020.	A benchmark for the number of LMs managing researchers taking PRA workshops. The benchmark will be used to compare uptake in future years.	HR; LMs	May-July 2020
		A review of LM training to ensure that it is appropriate for the management of researchers.	HR; LMs	May 2020

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this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.	2.3.2 Monitor PRA and Personal Research Plan completions. A report that analyses the completion of the PRA process by LMs. Participation rates in training could be analysed using a proposed new Learning Management System that UAL is in the process of scoping.	Report to URC and then inclusion in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMA; HR	July 2021
2.4. Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.	2.4.1 Monitor the continuity of employment for researchers on externally funded projects. This will be part of the ongoing management of awards and feed into a review on the position on fixed-term contracts (see 1.3.1 above).	A review on the continuity of employment for consideration by RMG.	RMA	December 2020
2.5. Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.	2.5.1 Verify that researchers are receiving their automatic progression. This will determine whether any withholding of the progression is justified.	A section on automatic progression in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMA	October 2020
2.6. Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.	2.6.1 Monitor the roll-out of the ACP framework. ACPs were fully embedded as a career framework by July 2019.	A framework for promotions to Professor and Reader that incorporates the Research Oriented ACP in full.	HR	July 2020

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<p>3.1. It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.</p>	<p>3.1.1 Review the career development offer. A review of the development offer for those on the Research Oriented ACP (including mentoring, coaching, communication and professional skills) to ensure that is appropriate to the art and design sector. The review will be part of wider work by HR in embedding the ACPs but draw on input from RMA and RMG. The review will incorporate the guidance on fixed-term contracts (see 1.3.1 above) to ensure that all researchers have an appropriate development route. The review will also incorporate principles 3.3, 3.4, 3.5, 3.7, 3.9, 4.12, and 4.14 (which will have monitoring actions to support the review).</p>	<p>A revised Development Plan for Researchers.</p>	<p>RMA; RMG; HR</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>
<p>3.2. A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</p>	<p>3.2.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1).</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>RMA; RMG; HR</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>
<p>3.3. Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.</p>	<p>3.3.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1).</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>RMA; RMG; HR</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>

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3.4. All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.	3.4.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1).	A revised Development Plan for Researchers (as in 3.1.1 above).	RMA; RMG; HR	Plan to be completed by April 2021 with recommendations approved by July 2021.
	3.4.2 Review how researchers and LMs engage with the development offer, including the role of communications. This will be undertaken via an online survey in order to underpin the career development review (3.1.1) and provide context for its recommendations.	A report on the level of awareness and engagement with the development offer amongst UAL's researchers.	RMA; HR	July 2020
3.5. Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	3.5.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1 above) and the way policies and processes for promotion and reward are communicated (see 3.4.2 above).	A revised Development Plan for Researchers (as in 3.1.1 above).	RMA; RMG; HR	Plan to be completed by April 2021 with recommendations approved by July 2021.
3.6. Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.	3.6.1 Review the induction programme. UAL will review its induction programme for researchers in light of the Research Oriented ACP and the inputs from the Stonewall, Disability Confident, and Race Equality Charter accreditation processes. HR will have oversight of the differing timelines for the accreditation processes and develop institution-wide responses that phase in improvements in a resolved manner. The induction programme will also complement the action to increase awareness of policy and guidance documents (see 1.1.5 above).	Revised induction programme that meets the ambitions of the Research Oriented ACP.	HR; RMA	July 2021 in light of the career development review (see 3.1.1 above)

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<p>3.7. Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.</p>	<p>3.7.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1). This could include a menu of skills that researchers should acquire and practice.</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>HR; RMA; RMG</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>
<p>3.8. Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.</p>	<p>3.8.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1). The Research Oriented ACP job profiles lay out the career development strategy and expectations of each step in a career trajectory. All researchers (including those on fixed-term contracts) will be able to draw on them. This will be tied to the annual PRA process for all researchers and influence the development plan for the Research Oriented ACP.</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>HR; RMA; RMG</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>
<p>3.9. Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.</p>	<p>3.9.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1).</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>HR; RMA; RMG</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>

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<p>4.10. Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.</p>	<p>4.10.1 Schedule an annual report on PRA completions. The annual PRA process will be monitored by HR to ensure that they are being undertaken and managers have the right guidance to conduct them effectively with staff.</p>	<p>A benchmark on the number of PRA completions recorded in iTrent.</p> <p>A section on completions data in the Annual Report on Compliance with the Concordat (see 7.5.1).</p>	<p>HR</p>	<p>May-July 2020 and annually thereafter.</p>
<p>4.11. Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.</p>	<p>4.11.1 Benchmark and monitor participation in the PGCert and MA in Academic Practice in Art, Design and Communication. This will ensure that its content and participation rates reflect the requirements of individual researchers.</p>	<p>A benchmark for the number of researchers taking the PGCert and MA in Academic Practice in Art, Design and Communication. The benchmark will be used to compare uptake in future years (and included in the Annual Report on Compliance with the Concordat (see 7.5.1)).</p>	<p>RMA; TLE</p>	<p>October 2020 Report to RMG.</p>
<p>4.12. Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.</p>	<p>4.12.1 Monitor the provision of career management development and training. This will be part of the Development Plan for Researchers (see 3.1.1).</p>	<p>A revised Development Plan for Researchers (as in 3.1.1 above).</p>	<p>RMA; RMG; HR</p>	<p>Plan to be completed by April 2021 with recommendations approved by July 2021.</p>

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4.13. Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	4.13.1 Audit committee membership. In addition to the diversity co-option on committees, the Race Equality Charter entails an in-depth audit of committee membership in terms of diversity. The results of this accreditation exercise by HR will be incorporated into UAL's existing mechanisms for making its committee and governance structures more diverse. It will also inform other approaches to improve diversity under other protected characteristics.	An audit of committee membership in terms of diversity as part of the Race Equality Charter accreditation.	HR (Diversity and Inclusion); Governance	July 2021
4.14. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	The provision of career management development and training will be monitored by HR as part of the career development review (see 3.1.1 above). In particular, awareness of the Research Mentoring Scheme will be addressed with consideration of where barriers to access may lie. The development of a reverse mentoring scheme (where ECRs mentor senior researchers) will also be considered.	A revised Development Plan for Researchers (as in 3.1.1 above).	RMA; RMG; HR	Plan to be completed by April 2021 with recommendations approved by July 2021.
5.1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	5.1.1 Systematic development of Personal Research Plans. As part of the PRA process, ADRs will agree new and update existing Plans with researchers in their college and confirm their completion with RMA.	Completed Personal Research Plans that are reviewed and updated annually.	ADRs	July 2020 and annually thereafter
	5.1.2 Approve a cycle for reviewing and updating policy and guidance documents related to best practice in research. This will embed a systematic process for considering and integrating developments in practice in a considered manner.	An agreed cycle for the review and update of research policy and guidance documents.	URC	April 2020

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5.2. Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	5.2.1 Raise awareness of IP policy and routes to commercialisation. As part of a Continuous Improvement Programme for Knowledge Exchange at UAL, a new staff development offer for researchers is being developed and implemented, covering areas such as IP management and commercialisation. This will support increased awareness of UAL's IP policies and their application for the benefit of individual researchers, the wider research community, and society.	Good knowledge and an applied understanding amongst researchers of the IP policy and associated procedures.	KE	July 2020
5.3. Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.	5.3.1 Develop training in research ethics. A training programme (to run alongside the more general development plan – see 3.1.1 above) that addresses research ethics in the context of practice and upskilling of those serving on research ethics committees.	Researchers confident in identifying addressing research with an ethical dimension. Robust local decision-making on research ethics matters under the auspices of the Research Ethics Sub-Committee.	RMA	July 2021
5.4. Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.	5.4.1 Monitor the development of job profiles. The ACP job profiles will assist all researchers (including those on fixed-term contracts) in planning the next steps in their career. This will inform the development of the Development Plan for Researchers (see 3.1.1).	Job profiles that underpin and reflect the career development plan for the researchers.	HR	July 2021

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<p>5.5. Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.</p>	<p>5.5.1 Monitoring. The annual PRA process will continue to be the vehicle to develop careers with the emphasis on the researcher to make a self-assessment and agree objectives with the LM. The Personal Research Plan is also an assessment made by the researcher which is then discussed and agreed with the college ADR.</p>	<p>Successful completion of PRAs and Personal Research Plans by researchers.</p>	<p>ADRs</p>	<p>July 2020 and annually thereafter</p>
<p>5.6. Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.</p>	<p>5.6.1 Promote ESS as a tool for recording career development. Researchers can use the ESS system to record personal development. Communications around the annual PRA process can highlight the advantages of using the tool to help researchers document their career development.</p>	<p>A benchmark for the number of researchers recording career development on ESS. The benchmark will be used to compare uptake in future years in the Annual Report on Compliance with the Concordat (see 7.5.1).</p>	<p>HR (Systems)</p>	<p>January 2020</p>
<p>6.1. The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific</p>	<p>6.1.1 Approve the EDI Strategy and Operational Plan. The new Strategy and Plan is due for completion and approval. This will underpin and help embed the EDI aspects of the HR Excellence in Research. This will be supported by policies such as Sexual Orientation and Trans Equality.</p>	<p>Approval of the EDI Strategy and Operational Plan (see also 1.1.5).</p>	<p>HR (Diversity and Inclusion)</p>	<p>April 2020</p>

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issues of under-representation or lack of progression.	6.1.2 Utilise accreditation exercises to enhance UAL's commitment to equality and diversity. UAL is in the process of seeking accreditation under a number of schemes that are indicators of positive steps to promote EDI. These are: Stonewall, the Race Equality Charter, and Disability Confident. As stated in 1.4.1 and 2.1.1 above, these accreditation exercises will also be used to interrogate other EDI issues more widely.	Successful accreditation to the Stonewall, the Race Equality Charter, and Disability Confident schemes. New EDI Strategy (see 1.1.5).	HR	July 2021
	6.1.3 Establish a Research Oriented EDI Advisory Group. This will develop from the consultation group established to inform the development of the HR Excellence in Research application. It will inform the monitoring of the action plan and advise RMG (as the body responsible for HR Excellence in Research accreditation) on emerging developments as they arise. There will be clear monitoring of actions and follow-up of recommendations.	Establishment of the group and regular meetings with outputs.	RMG	April 2020 and termly thereafter
6.2. As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.	6.2.1 Deliver revised EDI training for recruitment and promotion panels. All recruitment and promotion panels for researchers should undertake the training and have a refresher every 2 years.	All recruitment and promotion panels have completed recent training.	HR	July 2021
	6.2.2 Monitor representation and effectiveness of recruitment and promotion panels. This action will monitor the effectiveness of 6.2.1 and identify where further action need to be taken.	A section on representation and effectiveness of recruitment and promotion panels in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMG	October 2021
	6.2.3 Agree positive action measures in recruitment statements and adverts. These will be standard statements that align with commitments in accreditation exercises and the new emerging EDI Strategy.	All adverts for researchers include the agreed statements.	HR	July 2020

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	6.2.4 Monitor recruitment and promotion of staff by protected characteristics. This will be data generated by iTrent and cross-referred to protected characteristics. Use of recruitment sites such as Vercida will be monitored to determine their effectiveness.	A section on recruitment and promotion of staff by protected characteristics in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMG	October 2020
6.3. It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others.	6.3.1 Establish a focus group exercise to establish the barriers to retention and progression. Contributors could be the Research Oriented EDI Advisory Group (see 6.1.3) or a series of groups across UAL with the aim to obtain more nuanced and qualitative data on issues related to retention and progression.	A focus group exercise that generates qualitative data on retention and recruitment.	RMG	July 2020
	6.3.2 Establish a task and finish group to obstacles in retention. This will draw on existing research in the area and the exercise in 6.3.1 to inform the further development of policies and guidance.	A report on obstacles to retention and recruitment.	RMG	July 2020
	6.3.3 Monitor complaints related to harassment and discrimination by protected characteristics. Regular reporting on data to inform the further development of policies and guidance.	A section on complaints related to harassment and discrimination by protected characteristics in the Annual Report on Compliance with the Concordat (see 7.5.1).	RMG	October 2020
6.4. Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most	6.4.1 Conduct Equality Impact Assessments on existing policies and procedures related to flexible working. The assessments will include a review of core business and working hours and family-friendly policies. This action will complement 6.8.1.	New policies and policy reviews are subject to Equality Impact Assessments.	HR (Equality and Diversity)	July 2021
	6.4.2 Include a statement on flexible working in recruitment and promotion statements and adverts. This will complement 6.2.3.	All adverts for researchers include the agreed statements.	HR	July 2021

Concordat principle	SMART actions (2019-21)	Success measures	Responsibility	Timeline
acute. Working conditions should allow both female and male researchers to combine family and work, children and career.	6.4.3 Provide training to LMs on managing flexible working. This will ensure that LMs have current and relevant understanding of flexible working and can respond appropriately to requests.	LMs have greater awareness of flexible working and understand how to manage inclusively in a flexible workforce	HR	July 2021
	6.4.4 Communicate flexible working policies widely across the institution. This will be part of the communication plan (see 1.1.6).	An implemented and consistent communications plan to disseminate knowledge and understanding of the Concordat and policy and guidance documents to staff (including LMs) and PhD students.	RMA; Communications	July 2020
	6.4.5 Monitor the application of UAL's flexible working policies and procedures. A process will be set up to gather data over AY2019/20 in order to set up an annual benchmark.	A benchmark for the number of researchers appealing refusals for flexible working. The benchmark will be used to compare uptake in future years in the Annual Report on Compliance with the Concordat (see 7.5.1).	HR; RMG	October 2020
6.5. It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	6.5.1 Monitor the application of flexible working policies and procedures. A process will be set up to gather data over AY2019/20 in order to set up an annual benchmark.	A benchmark for the number of researchers appealing refusals for flexible working. The benchmark will be used to compare uptake in future years in the Annual Report on Compliance with the Concordat (see 7.5.1).	HR; RMG	October 2020
6.6. Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.	No action required (principle related to funders).	Not applicable.	Not applicable.	Not applicable.

Concordat principle	SMART actions (2019-21)	Success measures	Responsibility	Timeline
6.7. Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	6.7.1 Address response rates to HR self-reporting. HR will address the low response rate to protected characteristics in order that non-responses are minimised. This will be carried out through a communications campaign that will explain the need for the data and the benefits to staff.	A non-response rate of 8% at most in ethnicity responses (the HE sector average) as a benchmark in the Annual Report on Compliance with the Concordat (see 7.5.1).	HR; RMG; Communications	May-July 2020 (as part of the PRA process)
	6.7.2 Agree a UAL position on the purpose and use of data on protected characteristics. This will inform 6.7.1 by providing a clear basis for the communications plan.	An agreed position on the purpose and use of data on protected characteristics.	EB	July 2020
	6.7.3 Respond to enhanced HR diversity data. An enhanced reporting rate will inform a review of diversity across the Research Oriented Pathway, leading to a strategy to address areas of under-representation.	A revised Development Plan for Researchers (as in 3.1.1 above).	HR	July 2021
6.8. Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	6.8.1 Apply Equality Impact Assessments in policy and guidance assessments. Use of the toolkit to inform and validate the development of policies under the agreed schedule (see 5.1.2).	New policies and policy reviews are subject to Equality Impact Assessments.	HR (Equality and Diversity)	January 2021
	6.8.2 Implement a personal circumstances statement in the promotion process. This will provide an opportunities for researchers to place their circumstances in context for the panel to consider.	A personal circumstances statement in the promotion process.	HR (Equality and Diversity)	January 2021
6.9. All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	6.9.1 Establish an Antibullying and Anti-harassment Advisers Network. This new body will support and embed the Grievance Policy and Procedure. It will provide a cross-UAL network to share best practice and advise staff 'on the ground'. It will also underpin training on bullying, the bystander role and an online reporting mechanism.	Roll-out of the Antbullying and Anti-harassment Advisers Network across UAL.	HR (Equality and Diversity)	July 2021

Concordat principle	SMART actions (2019-21)	Success measures	Responsibility	Timeline
6.10. Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.	6.10.1 Consider whether it is appropriate to participate in the Athena SWAN Charter. RMG will consider a review by RMA into whether to pursue Athena SWAN and submit its recommendations to URC.	Institutional decision on an application for Athena SWAN accreditation.	RMG	April 2020 for a decision.
7.1 The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	No action required (principle related to funders).	Not applicable.	Not applicable.	Not applicable.
7.2. The signatories agree: a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress. b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat. c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report. d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS). e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).	No action required (principle related to funders).	Not applicable.	Not applicable.	Not applicable.

Concordat principle	SMART actions (2019-21)	Success measures	Responsibility	Timeline
7.3. The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.	No action required (principle related to funders).	Not applicable.	Not applicable.	Not applicable.
7.4. The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.	No action required (principle related to funders).	Not applicable.	Not applicable.	Not applicable.
7.5. Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.	7.5.1 Assign formal responsibility for the Concordat. EB will be appointed as the formal body responsible for monitoring compliance with the Concordat. URC will be responsible for the annual monitoring and escalating issues to EB. URC includes a majority of researchers and several members of EB (including the Deputy Vice-Chancellor (Academic), the PVC Research, and Heads of Colleges). RMG, as a group reporting to URC, will monitor the action plan throughout the year and prepare the Annual Report on Compliance with the Concordat. Like URC, RMG is an existing body with a majority of researchers as its membership. RMG will be the liaison point with HR on actions and development plans in relation to the accreditation processes.	The Annual Report on Compliance with the Concordat (to be submitted to URC).	RMG	October 2020 and an annual report from RMG to URC each October thereafter.