

October 2021 Annual Internal Review and Update

HR Excellence in Research and Concordat for Researcher Development Action Plan 2020 to 2022

A full list of abbreviations is included at the end of this document.

Encouraging Professional Development

Concordat reference No.	Action	Success measure (SMART)	Deadline	Responsibility	Progress update or outcome (Aug 2021)
PCDI1, 4 PCDR1, 2, 3, 4,5, 6 PCDM3 ECI1	Our VC has signed up to the Concordat therefore committing to the 10 days. Our action is to develop guidance on how this can be used and communicate it.	Guidance published on NU Connect/OD webpages	Jan 2021	Head of People Engagement and Culture	Guidance has been developed and is on the OD website. Employment contract cover letter for R&I staff includes Concordat and 10 days. Skills Academy coms undertaken and referenced the Concordat – see below. Job applicants can see our Concordat commitment on our external website.
PCDI1, 4 PCDR1, 2, 3, 4,5, 6 PCDM 1, 3	Investigate systems for monitoring use of the 10 days.	Guidance includes monitoring/reporting system.		Head of People Services Systems and Information	Roll out of SAP Success factors modules and increased functionality to be considered for logging 10 days.
PCDI1, 4 PCDR1, 2, 3, 4,5, 6, PCDM3	Develop case studies demonstrating effective use of the 10 days.	4 case studies written and on OD webpages.	July 2022	Head of People Engagement and Culture	
ECI1, PCDI4, PCDM3	Faculty Deans of R&I/RM communicate the Concordat to their RAs and PIs (ensuring that information is communicated by different sources and different levels in the University, from University and Faculty committees with responsibility for research down to group leads in individual schools and institutes). This includes the 10 days allowance for professional development.	Confirmation from Faculty Deans in their updates 2021/22.	On going	Faculty Deans of Research and Innovation, Research Managers, Organisational Development, Research Strategy Manager re Skills Academy	All Faculties have communicated e.g.: FMS via Briefings to the three Institutes and Schools, SAgE at RA Network, HASS Dean of R&I attended all school meetings and termly researcher forums.
ER1 EI2 ER2	Culture and Values Project including staff induction and Managers Essentials.	Numbers of researchers attending Welcome Events 150 (increase from 114 in 2019/20).	July 2022 review	Head of People Engagement and Culture, Dean of Research Culture and Strategy	150 researchers were invited to attend the Welcome event 2020/21, 20% attended. Action – to encourage Faculties to promote more and use new Induction Champions to help promote.

ER1 EI2 ER2	Faculties to continuously improve their Faculty Induction Programmes working with the Induction and On-boarding group.	Confirmation from Faculties about their Induction programmes – content and timescales.	March 2022 review	Faculty Deans of Research and Innovation, Research Managers	HaSS run 6 monthly induction sessions for researchers at Faculty level, including presentations from the Dean R&I, OD, funding team and impact team. Promote induction materials through Schools at FRIC and PS research network.
PCDI3, PCDr1, 4, 5, 6PCDM2	Careers Service/OD support provide workshops, 1:1 guidance from dedicated career consultants.	Number of researchers attended workshops (50- participants in 2020/21) and 1:1 sessions (20 session 2020/21)	Ongoing	Career Guidance Team Manager/Head of People, Engagement and Culture	2020/21: 5 programmes of CMfRC have been delivered covering 80 participants. 1:1 sessions have been delivered (24 in total).
EI5, PCDM 1, 2, 3, 4	Engage & Aspire Career Conversations training using new format.	As part of Engage & Aspire Project develop a simple monitoring and evaluation process re Career Conversations.	Review Jan 2022	Head of People Engagement and Culture.	E&A project delay but expected launch end of 2021. To include working group input from research colleagues.
PCDI4, PCDM5	In previous action plan (P3.2, 3.3) we had actions ongoing re mentoring via NU Mentoring and accessing external mentoring (via Alumni schemes). We will continue to promote these mentoring schemes under Skills Academy Communications plan.	Researchers participating in NU mentoring. 2020/21 aim for 20 participating in scheme either as mentee or mentor	July 2021 review	Head of People, Engagement and Culture	Mentoring programme continues. Equality needs assessment undertaken 2021. Numbers of Mentors/mentees from research community 2020/21 = 20
PCDI3, PCDr1, PCDM2, 5	Encouragement of leadership development by peer review for journals, editing academic works, involvement in organising activities related to their disciplines through learned societies.	Include in guidance for Career Conversations.	July 2021 review	Head of People Engagement and Culture	Included in guidance in Career Management for Research Colleagues programme (CMRC).
PCDM4	Develop case studies using reflective interviews to identify good practice examples of NUAcTs working effectively to develop leadership skills, examples of activities that can be undertaken (using 10 day sfor development).	4 case studies on OD site identifying how to develop leadership skills by NUAcTs.	July 2022	Head of People, Engagement and Culture Dean of Research Culture and Strategy	Case studies are being developed as part of Research Culture work by Dean of Research Culture and Strategy
PCDI3, PCDr1, PCDM2, 5	SAGe: Project to understand differences and develop interventions to improve success rates for grant applications from underrepresented groups (i.e. BAME, female researchers and those with caring responsibilities)	Improved success rates for key transitional fellowships to develop research careers for those from underrepresented groups.	July 2021 review and ongoing	SAGe Dean of Research and Innovation, SAGe Research Manager	
ECI1, PCDM2, PCDR4, 5, 6	Preparing for Career Conversations development sessions available for research colleagues to access (new action added August 2021).	Online Module designed and available via LMS.	TBC: March 2022	Head of People, Engagement and Culture	This activity is dependent on alignment with the Engage & Aspire project.

PI Support

Concordat reference No	Action	Success measure (SMART)	Deadline	Responsibility	Progress update or outcome (Aug 2021)
PCDM 1, 3, 4, 5 PCDI2, EM 1, 2, 4 EI4 ER3	Engage & Aspire Career Conversations replacement to PDR process/system is in place and available for research colleagues and PIs to access. It will include a monitoring process for new format to demonstrate quality. (since writing this action plan in 2018 this action has been changed to focus on the University wide process/system which is being introduced).	As part of Engage & Aspire Project establish a baseline measure for researcher participation and experience by developing a simple monitoring and evaluation process.	Launch by December 2021	Head of People Engagement and Culture	E&A project delay but expected launch end of 2021. To include working group input from research colleagues.
PCDR1, 6, PCDM2 EI 4, 5 PCDI2	Deliver PI Development Career Conversations module is part of (since writing this action plan in 2018 this action has been changed: PI Development now includes a special module on Career Conversations and includes reference to the Concordat).	Delivery of module on PI Development programme. 30 PIs trained 2020-2021.	Launch Jan 2021	Head of People Engagement and Culture	PI Development includes new module on Career Conversations and delivered in May 2021 for first time. 15 PIs have been trained (Aug 2021)..
PCDM 1, 3, 4, 5 PCDI2, EM 1, 2, 4 EI4 ER3	PIs have access to Culture and Values Managers Essentials workshops and online resources e.g.: NU Managers Toolkit (new action 2021).	30 PIs have accessed Managers Essentials in 2021/22.	Review February 2022	Head of People Engagement and Culture	The flip book for Managers Essentials with dates for 2021/22 academic year is now being rolled out.
PCDM 1, 3, 4, 5 PCDI2, EM 1, 2, 4 EI4, 5 ER3	PIs participate in new Culture and Values Leading Through Values Programme.	Establish a baseline for participation in 2021/22 depending on roll out of whole programme.	Review March 2022	Head of People Engagement and Culture	This development will cascade and therefore may a while to take in PIs.

Voice

Concordat reference No	Action	Success measure (SMART)	Deadline	Responsibility	Progress update or outcome (Aug 2021)
ECI6, ECR1, EI7	Establish Research Values and KPIs to be able to review and report on the quality of the research environment and culture. Undertake consultation with the research community and establish as part of Research Culture Road Map.	Working group established to agree measures and baseline figures	July 2021 review	Dean of Research Culture and Strategy, Research Strategy Manager for research environment KPIs	Consultation has taken place with 120 research colleagues using an external facilitator to identify our Research Culture Values. KPIs are now being developed. A Research Culture Coordination group has been established which will review, report and monitor Values and KPIs to inform our Research Culture Roadmap.
ER4, ECM5, ECR1, EI7	Promotion in Faculties of DER, FRICs, RA Networks, School and external initiatives from learned societies, funding agencies, conference organization, outreach activities, business engagement etc.	Research colleagues' participation.	Oct 2021	Dean of Research Culture and Strategy Faculty Deans of Research and Innovation/Research Managers	FMS – encouraging reps in Institutes and themes. HaSS representatives on FRIC and termly researcher forum for all staff on R&I contracts.
ECM5, EI6, EI7, ECR1, 5	Opportunities to engage with policy, committees etc. Already given to participate in Skills Academy, Developing Excellent Researchers (DER) Sub Committee and University Research and Innovation Committee (URIC).	Representation by research colleagues at these groups e.g.: 2 per from each Faculty at DER Sub Committee.	Ongoing	Dean of Research Culture and Strategy	Review of DER Terms of Reference Nov/Dec 2021
ECM5, EI6, ECR 1, 5, EM5	Faculty Deans of R&I to continue to encourage take up of promote opportunities available at FRICs, Dean's Updates.			Faculty Deans of Research and Innovation, Research Managers and Organisational Development	HaSS representatives on FRIC and termly researcher forum for all staff on R&I contracts.
ECR5	SAGe FRIC revised terms of reference and increased opportunities for researcher representation.			Dean of Research and Innovation in SAGe and Research Manager	HaSS representatives on FRIC and termly researcher forum for all staff on R&I contracts.
ECM5, EI6, ECR 1, 5	DER membership reviewed on an annual basis.	Revised Terms of Reference and membership.	Oct 2021	Chair of DER Subcommittee	DER is being reviewed in context of the new Research Culture Coordination Group.

Research Culture and Integrity

Concordat reference No	Action	Success measure (SMART)	Deadline	Responsibility	Progress update and outcome (Aug 2021)
ECR1, 2, 5 ECM2	The University's current provision relating to training on research integrity is under review. The review is being led by the recently appointed University Convenor for Research Integrity & Ethics overseen by the Dean of Research Culture & Strategy. As subscribers to the UK Research Integrity Office the University is also engaging with UKRIO in order to provide training and share best practice with colleagues responsible for investigating allegations of research misconduct. The intention is to implement a revised training package during the 20/21 academic year.	Research Integrity training programme available to researchers.	Review Oct 2021	University Convenor of Research Integrity and Ethics, Research Strategy Manager re Skills Academy. Dean of Research Culture and Strategy	Initial training needs analysis undertaken by Special Interest Group and presented for approval to URIC in April 2021. Recruitment process taking place for a University lead on Research Integrity and Ethics.
ECR1, 2, 5 EI7	Skills Academy start up year 2021/22. Temporary post recruited to commence development of a hub, collate and curate research training, deliver 10 events and introduce mechanisms to encourage collaboration.	Hub established with curated training, 10 events delivered in 2021/22.	Review March 2022	Dean of Research Culture and Strategy	Strategic needs analysis completed Dec 2020 to May 2021. URIC approved recommendations. Temporary OD post being recruited to support start up. Consultation events were undertaken with 267 members of the research community to contribute to the analysis. This included a 'Shaping the Skills Academy' event in April 2021.
ECR1, 2, 5 EI7	Research Culture Roadmap consulted upon, signed off by URIC and Coordination group in place to lead the work on Research Culture. Work includes identification of Research Culture Values and Key Performance Indicators.	Roadmap report for URIC. Roadmap published on NU Connect. Coordination group meetings taking place.	Review March 2022	Dean of Research Culture and Strategy	Consultative events delivered to gather research community input to development of the Road Map, Values and KPIs. An external model called SCOPE is being used to develop Values and KPIs. Three events have been delivered to date involving 130 members of the research community.
ECI4, ECM3	Managers Essentials will include training in EDI.			Head of People, Engagement and Culture with Head of EDI.	Developing Inclusive workplaces pilot workshop has been delivered to group of 15 participants.
ECI4, ECM3	Developing mental health awareness training for colleagues including managers.	Programme available for PIs to access from People Services site.	Level 1 online training December 2020	Head of People, Engagement and Culture with Head of EDI.	Level 1 training now available. 162 research colleagues have completed the training in 2020/21. Suicide prevention training is also available (nos completing?)

Employment Systems and processes

Concordat reference No	Action	Success measure (SMART)	Deadline	Responsibility	Progress update and outcome (Aug 2021)
ECM1 ECI3, 4 ECR3, 4	Promotion of support available through the Wellbeing Strategy (committee and action plan) to research colleagues particularly the Employee Assistance Programme (EAP)	Promotions materials to colleagues e.g.: EAP via webinars etc	Commenced summer 2020 and ongoing	Head of People, Engagement and Culture with Head of EDI and Head of People Solutions.	EB Blended working and Wellbeing sessions held Feb/March 2021 Promotions have been ongoing over 2021/21 during Covid.
ECI3,4, ECR3, 4	RESET framework available for research colleagues to use.	4 RESET sessions run across the Faculties.	Sept 2020	Head of People Engagement and Culture	4 RESET sessions held 2020/21 EBs commitment demonstrated by investing in support and resources to health and wellbeing by the appointment of the Colleague Health and Wellbeing Team 2021. Range of other activities supporting colleague wellbeing are also available (see end note below) ¹
ECI4, ECR4	Review of reporting methods to develop a system for reporting bullying and harassment e.g.: 'safe harbours'	Report and recommendations on use of e.g.: 'safe harbours'.	December 2022	Dean of Research Culture and Strategy Head of People Engagement and Culture	Report and support system being extended to research colleagues covering hate crime and sexual violence. Plans are in discussion about Safe Harbours as part of research culture actions, Case work email address is now available to People Services for research colleagues to email in directly for support.
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct Included in People Services new case logging system	System amended.	December 2021 review	Head of People Operations	Full case log operational to track formal cases of bullying and harassment, discrimination. 6 monthly reports produced to monitor numbers As above re Report and Support plus Safe Harbours.
ECI2, EM3	There is an ongoing review process for all People Services policies. Review of academic promotions (includes research reps) is included in this and the fixed term contracts policy. Communication takes place to all colleagues including research colleagues.	Ongoing review process.	Ongoing	Head of People Operations	New application form and guidance operational for Academic promotions. The promotion criteria remains the same however it will be revisited. As part of our Research Culture Road Map a longer-term piece of

					work will involve Career Pathways for research colleagues. This is in discussion at moment as will need resource.
ECM4	Consider flexible working requests and other appropriate arrangements to support researchers. SAP Development group are adding in an extra field of analysis in order to record and report on requests.		December 2020 review	SAP Development Group	Head of People Services Systems and Information has confirmed that this has been delayed and will be revisited Spring 2022.
EI1, EM3	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices. Implementation of Race Equality Charter (REC), developing action plans/workstreams which includes research colleagues) It will cover methods of advertising, shortlisting, diversity on panels, how we select and assess and identify talent.	REC self-assessment team includes all areas of University and research colleague representatives.	Review Oct 2021	Head of Talent Acquisition, Dean of Research Culture and Strategy	Disability confidence award working towards level 1 initially then aiming for level 3. Looking at different attraction schemes and attending recruitment events to build reputation. Target Connect Site encouraging our own graduates to apply so we promote from within REC ongoing, looking at advertising platforms for BAME applicants
EI1, EM3	Culture and values project to develop an inclusive process for recruitment, assessment of people through the process.	Presentation to PMG	Oct 2020 presentation to PMG re initial thoughts, Jan 2021 review	Head of People Engagement and Culture	Values based recruitment project is ongoing and establishing methods to recruit based on University Values.
EI3, EM3	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances Commencing autumn 2020, a University wide review of reward practices and policy will include consideration of research colleagues.	Participation of 2 research colleagues in the review to contribute to findings.	2021 review (final project end 2022)	Head of People Solutions	As part of our Research Culture Road Map a longer-term piece of work will involve Career Pathways for research colleagues. This is in discussion at moment as will need resource.
EI6	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress New Fixed Term Contract policy to be implemented. Proactive conversion of FTC to open ended contracts: stats on these reviewed quarterly and reported to PMG.	New policy in place.	Review December 2021	Head of People Operations	Most contracts with 4 year + service on R&I route are now open ended. Other FTC's are regularly reviewed and converted where appropriate.

Brief overview of new cultural change programmes:

The following cultural change programmes are new transformational activities for colleagues at the University which are currently in development. Launch is planned for early 2021:

- Culture and Values Engage & Aspire programme: This includes a range of activities focused on the Culture and Values of NU. Engage and Aspire looks at the review and redevelopment of appraisal. A working group of early career researchers has recommended appraisal based on career conversations.
- Culture and Values Leadership & Management development: This includes a Leadership Programme and also Leaders & Managers Essentials. They focus on developing leadership skills as well as the practical aspects of managing people. Leaders & Managers Essentials includes special modules for PIs around e.g.: the Concordat and their responsibilities.
- Culture and Values Induction: This includes review of current induction activities and redesign.

Brief overview of Research Strategy initiatives:

The Skills Academy: a collaboration of academic and professional services colleagues responsible for researcher development including for example the Developing Excellent Researchers subcommittee; the NU Academic Track scheme.

NUCoREs (Newcastle University Centres of Research Excellence): have 5-year delivery plans which encompass research, networking and research-led education.

NUAcT (Newcastle University Academic Track): each Fellow has 5 years to focus on research, with start-up funds and a PhD studentship. After 5 years they progress to a full Faculty post subject to review. 32 were recruited in 2019/2020 and we expect to recruit up to 100 over 5 years.

Key to abbreviations:

CMfRC: Career Management for Research Colleagues

Dean of R&I: Dean of Research and Innovation (one per Faculty)

Faculties:

- SAgE: Faculty of Science, Agriculture and Engineering
- FMS: Faculty of Medical Sciences
- HASS: Faculty of Humanities, Arts and Social Sciences
- FRIC: Faculty Research and Innovation Committee
- OD: Organisational Development Team

PMG: People Matters Group which oversees the development and implementation of people policies

PS: People Services (includes OD and HR work)

RMs: Research Managers (one per Faculty) – 2021 became Heads of Research

SAP: Group in People Services which operates the HR system

ⁱ Alongside the support of the Employee Assistance Programme, we have the following available for colleagues including research colleagues:

- Access to the Occupational Health Team who can support with work related health issues
- Peer support for those who are distressed through the Just Ask volunteers
- Mediation support through the trained Mediators
- Faith and Spirituality support through the Chaplains
- Bullying and Harassment support through Report and Support
- General wellbeing support through NU Connect
- Access to colleague networks