**Progress update 25.11.22**

**Concordat for Researcher Development Action Plan 2020 to 2022**

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

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| **Cohort number:** | 1 | **Audience:** |
| **Date of submission:** | September 2020 | Research colleagues in our three Faculties:    HASS  FMS  SAgE |

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|  | **Obligation** | **Action** | **Success measure (SMART)** | **Deadline** | **Responsibility** | **Progress update (to be completed for submission)** | **Outcome/ result** |
| **Environment and Culture** |  |  |  |  |  |  |  |
| **Institutions must:** |  |  |  |  |  |  |  |
| ECI1 | Ensure that all relevant staff are aware of the Concordat | 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). | 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 | Concordat obligations are raised in faculty and school meetings and discussion is encouraged on an annual basis at Researcher PDR (Professional Development Review)  RA and Fellows Networks have been established at unit and faculty levels, meetings of which have included Concordat discussion |  |
| OD Welcome Event includes obligations re Concordat. Cover letter for Research colleagues’ new hires includes Concordat. Skills Academy Communications Plan to include communication of Concordat via NU Connections and other means as required. | Numbers of researchers attending Welcome Events 150 (increase from 114 in 2019/20).  Skills Academy Communications Plan includes Concordat |  |  | The Researcher Concordat is discussed within the PI Development Programme – a training programme which all new PIs (including fellows) are encouraged to take. | The Researcher Concordat, and specifically the 10 career development days, are highlighted in all letters to new starters  Each faculty has a named ECR lead for disseminating information, including about the Concordat and relevant career and professional development opportunities  A new central Skills Academy Manager has been appointed to develop a “one stop shop” for researcher training and career development, which will actively promote the Researcher Concordat and the use of the 10 days with researchers |
|  |  | SAgE: Recruitment of new Directors of Research to provide greater leadership for implementation of Concordat action plan/ development of postdoctoral community/ ownership of improved research culture/ leadership of training and development opportunities | One Director per school | Sept 2021 | SAgE Dean of Research and Innovation | Reorganisation of faculty management in SAgE has led to the recruitment of new Directors of Research with clear roles expectations, including greater integration and interaction with RA networks |  |

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| ECI2 | Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers | 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 | | Policy updates are communicated to all colleagues via NU Connections and the Registrar’s weekly newsletter. Updates are also shared within FEBs, SOG and the Managers Forum for further circulation and promotion.  Researchers have been invited to contribute towards the development of research policies (e.g. through relevant committee membership or mailing list).  Examples in 2022 include: a revised Research Ethics Policy; an Open Access Policy Statement; and, the new Authorship Guidelines.  An Equality Analysis is undertaken for research policies, where appropriate. | All reviews of people policies, now require an equality analysis (EA) to be undertaken which help to either eliminate or mitigate any possible or foreseen detrimental EDI impacts. EAs are to be considered by the policy committee prior to discussion and approval. Completed EAs are shared for transparency and to encourage best practice.  A new Fixed Term Contracts Policy was launched in January 2021, which states that all fixed term contracts should be converted to open-ended contracts after 4 years of continuous service. |
| ECI3 | Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues | Promotion of support available through the Wellbeing Strategy (committee and action plan) to research colleagues particularly the Employee Assistance Programme (EAP)  RESET framework available for research colleagues to use. | Promotions materials to colleagues e.g.: EAP via webinars etc  4 RESET sessions run across the Faculties. | Commenced summer 2020 and ongoing Sept 2020 | | Head of People Solutions  Head of People Engagement and Culture | Due to the ever-changing priorities and rules in response to Covid, the RESET sessions were used as a form of guidance for managers to consider when re-integrating colleagues.  This is still a work in progress as flexible and blended working continues. | New anonymous reporting mechanisms in place and available for all students and colleagues to report inappropriate behaviour experienced or witnessed.  New policies in place to tackle inappropriate behaviour.    ‘Tackling Inappropriate Behaviour’ project has engaged with over 50 colleagues and students and reported informally, with full report due in the new year. |
| Review of reporting methods to develop a system for reporting bullying and harassment e.g.: ‘safe harbours’ | Report and recommendations on the use of e.g.: ‘safe harbours’. | December 2022 | | Dean of Research Culture and Strategy | The University transitioned away from ‘Report & Support’ in September 2022 to an in-house anonymous reporting form. This was instigated to improve the experience for the end user.  The Disciplinary Policy was updated to add a new process for sexual misconduct and hate related misconduct. The Bullying & Harassment Policy which will replace Dignity & Respect will launch on the 1st December 2022.  The Personal Relationships at Work Policy has also been updated, going a step further than the recommendations made through the UUK Guidance on Staff and Student Sexual Misconduct.  The University has commissioned an external report to better understand the barriers and enablers to managing and reporting inappropriate behaviours that impact a positive research culture (report due Jan 2023). This will lead to an evidence-based review of policies, report and support systems and training to take a preventative approach to tackling inappropriate behaviour. ‘Safe Harbours’ will be considered as part of this work. |  |
| ECI4 | Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health | Managers Essentials will include training in EDI. |  | Launch Jan 2021 | | Head of People, Engagement and Culture with Head of EDI and Head of People Solutions. | 30 PIs trained 2020/2021 in Managers Essentials EDI Workshop.  Mental Health and Wellbeing Awareness and Suicide Prevention Training are now a part of University Essentials courses, to be taken by all colleagues.  PGR Supervisor Wellbeing Workshop now available and promoted to all supervisors | One-year secondment to deliver an online EDI Toolkit for Leaders in Research and support development of training for inclusive leadership in research.  Delivery of new PGR Supervisor Wellbeing Workshop, which has been well received.  84 colleagues have completed the ‘Supporting our People’s Wellbeing as leaders’ course and approximately 315 researchers have completed the Zero suicide alliance course since 2020 |
| Projects currently including Welcome Trust EDI project, EPSRC Inclusion Matters and Diversity by Design work to develop research leaders to lead on EDI in progress. |  |  | | Dean of Research Culture and Strategy |  |  |
| 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 Solutions | Mental Health first aid training sessions run on a monthly basis, attendees can voluntarily sign up to be a JustAsk volunteer, an anonymous helpline for colleagues Mental Health and Wellbeing issues |  |
| 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 Solutions |  |  |
|  |  | RESET framework available for research colleagues to use. | 4 RESET sessions run across the Faculties. | Sept 2020 | | Head of People Engagement and Culture |  |  |
| 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 | New anonymous reporting system available to all students and colleagues |  |

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| ECI5 | Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity | 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 | We have completed a mapping exercise to identify existing training and gaps in the current provision.  This information has been adapted into a new ‘Training, tools and resources’ webpage, which is available to researchers on the University’s [research governance webpages.](https://www.ncl.ac.uk/research/researchgovernance/)  We have a new Research Integrity e-learning programme and an online presentation outlining the University’s  Ethics Policy and Processes. These are available to all colleagues and students, including researchers.  Introductory level workshops on Research Integrity and Research Ethics are already provided to PhD students.  A new workshop offering ‘Top Tips for PhD Supervisors on Research Integrity, Ethics and Governance’ has also recently been launched.   We are also exploring the feasibility of further face-to-face workshops on key areas such as ‘Working with Human Participants’ and ‘Good Practice in International Research’. | A new ‘training, tools and resources’ webpage, which is available to researchers on the University’s [research governance webpages.](https://www.ncl.ac.uk/research/researchgovernance/) |
| ECI6 | Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices | Action to establish a working group to commence this as part of Skills Academy and develop KPIs.  Link with other reflective practice activity such as Engage & Aspire to focus on output (research culture) rather than focusing on input. | Working group established to agree measures and baseline figures | July 2021 review | Dean of Research Culture and  Strategy, Research Strategy Manager | We set up a Research Culture Co-ordination Group which has overseen extensive consultation on research culture in 21/22. This has included:   1. Defining a positive research culture; 2. Developing a Research Culture Index and KPIs for annual strategy reporting; 3. Feedback on our ‘Research Culture Roadmap’ (>450 responses, including from researchers.) 4. Research Culture Survey (841 responses, 140 from researchers).   Survey responses have been analysed and openly shared on our external website. Issues highlighted by researchers have been discussed with researchers with a view to developing new actions and refreshing the action plan. | Over 1000 colleagues and PGRs have taken part in our consultation, including 140 researchers completing our Research Culture Survey.  Improved dialogue with our researcher community has been welcomed (based on feedback from recent Researcher Concordat event).  Institutional Research Culture Action Plan published (https://www.ncl.ac.uk/research/culture/plan/), including specific actions relevant for our researcher community.  Institutional KPIs for research environment embedded into annual reporting on the Research Strategy from 22/23. |
| **Funders must:** | |  |  |  |  |  |  |
| ECF1 | Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies | NA |  |  |  |  |  |
| ECF2 | Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers | NA |  |  |  |  |  |
| ECF3 | Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions | NA |  |  |  |  |  |

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| **Managers of researchers must:** | |  |  |  |  |  |  |
| ECM1 | Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work | 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. |  |  |
| RESET framework available for research colleagues to use. | 4 RESET sessions run across the Faculties. | Sept 2020 | Head of People Engagement and Culture | Sessions implemented during COVID restriction, hybrid working still being implemented |  |
| 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 | New anonymous reporting system (survivor support service) in place for students and colleagues. Review of reporting systems will follow on from colleague and student feedback through the ‘Tackling Inappropriate Behaviours’ project in 2023. | New anonymous reporting system (survivor support service) in place for students and colleagues |
| Managers Essentials will include training in EDI. |  |  | Head of People, Engagement and Culture with Head of EDI and Head of People Solutions. | Mental Health and Wellbeing Awareness and Suicide Prevention Training are now a part of University Essentials courses, to be taken by all colleagues. | Over 2500 colleagues have completed the mental health and wellbeing awareness training since 2020 |
|  |  | Projects currently including Welcome Trust EDI project, EPSRC Inclusion Matters and Diversity by Design work to develop research leaders to lead on EDI in progress. | 30 PIs trained 2020/2021 in Managers  Essentials EDI Workshop. | Launch Jan 2021 | Dean of Research Culture and Strategy |  |  |
|  |  | 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 Solutions | Mental Health first aid training sessions run on a monthly basis, attendees can voluntarily sign up to be a JustAsk volunteer, an anonymous helpline for colleagues Mental Health and Wellbeing issues |  |
| ECM2 | Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct | 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 | We have a new Research Integrity e-learning programme and an online presentation outlining the University’s  Ethics Policy and Processes. These are available to all colleagues and students, including researchers.  We aim to establish a [Research Integrity Champions network](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fukrio.org%2Fnews%2Fnew-guidance-research-integrity-champions-leads-advisers%2F&data=05%7C01%7Cliz.kemp%40newcastle.ac.uk%7C4da394ec716e41c1223308da5063cd95%7C9c5012c9b61644c2a91766814fbe3e87%7C1%7C0%7C637910686961626290%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=SAJcj6ZPdhQe3uesmahPdQ%2B%2FqvxsWTUPzn9lQt3pvMg%3D&reserved=0).  However, this will require further consultation and consideration of resources needed to support the roll-out. | The University’s [Research Misconduct Policy and Procedure](https://www.ncl.ac.uk/media/wwwnclacuk/research/files/research-misconduct.pdf) has been updated to ensure alignment with [UKRI policy](https://eur03.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.ukri.org%2Fwp-content%2Fuploads%2F2022%2F03%2FUKRI-310322-GRP-Policy2022.pdf&data=05%7C01%7Cliz.kemp%40newcastle.ac.uk%7C4da394ec716e41c1223308da5063cd95%7C9c5012c9b61644c2a91766814fbe3e87%7C1%7C0%7C637910686961626290%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C3000%7C%7C%7C&sdata=xg3rPJl%2FkkiMMPQiaTyVdQhjXE%2Fo21awoJeSzauhpJM%3D&reserved=0).  A series of standard template forms have also been developed alongside the policy (Sept-Dec 2022) |

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| ECM3 | Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity | Managers Essentials will include training in EDI. | 30 PIs trained 2020/2021 in Managers  Essentials EDI Workshop. | Launch Jan 2021 | Head of People, Engagement and Culture with Head of EDI and Head of People Solutions. |  |  |
| Projects currently including Welcome Trust EDI project, EPSRC Inclusion Matters and Diversity by Design work to develop research leaders to lead on EDI in progress. |  |  | Dean of Research Culture and Strategy | See ECI3 Update  People Services produce a bi-annual report of all formal cases including cases involving discrimination, bullying and harassment. This goes to University Executive Board and Council.  People Services and Student Health & Wellbeing provide quarterly report and support data to the changing the culture working group. |  |
| 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 Solutions |  | New EDI toolkit for researchers and their managers is in development |
| Action to establish a working group to commence this as part of Skills Academy and develop KPIs.    Link with other reflective practice activity such as Engage & Aspire to focus on output (research culture) rather than focusing on input. | 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 | The standard PDR (professional development review) has now been reorganised as ‘Conversations and Priorities’ to better promote an engaging and meaningful career conversations between colleagues and their line managers |  |
| ECM4 | Consider fully, in accordance with statutory rights and institutional policies, 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.  Support for staff groups are promoted to research colleagues. |  | December  2020 review  Ongoing | SAP Development Group  A range of people responsible across the University. | During COVID, we enabled colleagues to submit more than one flexible working request within a 12-month period due to personal circumstances changing. This was communicated via the COVID colleague FAQs  We are committed to offering colleagues, where the role allows it, to work in a blended way. Whilst this is an informal agreement, personal circumstances are fully considered and accommodated, where possible. | Hybris working is still allowed at the university and managers are encouraged to implement this as they see appropriate |
| ECM5 | Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | Opportunities 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 | All colleagues, researchers and their managers, are invited to engage with activities to build a positive Research Culture, including policy development  DER Sub Committee includes managers as Faculty ECR leads and champions. Focus groups aimed at refreshing our Concordat Action Plan have been held with managers in all Faculties | The university offers an in-depth 6-day training course for managers titled ‘PI development programme’ including sections such as ‘Leading and managing research teams’, ‘Career Conversations’ and ‘Research Culture’, around 60 colleagues have completed this training course.  Additional leadership training is provided in the ‘Leading through values programme’, with ~200 participants in the last 2 years |
| Faculty Deans of R&I to continue to promote opportunities available at Dean’s Updates. |  |  | Faculty Deans of Research and Innovation, Research Managers  and Organisational  Development |  |  |
|  |  | DER membership reviewed on an annual basis. |  | Oct 2021 |  |  |  |

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| **Researchers must:** | |  |  |  |  |  |  |
| ECR1 | Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students | Cross reference to EC15, EC16, ECR1. |  |  |  |  | RA Networks of different scales have become established across the faculties. RAs are working hard to increase visibility of these networks and make them as inclusive and accessible as possible. |
| ECR2 | Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion | Cross reference to EC15, EC16 and ECR1. |  |  |  |  |  |
| ECR3 | Take positive action towards maintaining their wellbeing and mental health | Cross reference to EC13 |  |  |  |  |  |
| 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  Promotion of support available through the Wellbeing Strategy (committee and action plan) to research colleagues particularly the Employee  Assistance Programme (EAP) | System amended.  Promotions materials to colleagues e.g.: EAP via webinars etc | December  2021 review  Commenced summer 2020 and ongoing | Head of People Operations    Head of People Solutions | The University has people policies in place: Improving Performance, Disciplinary, Grievance. and the anonymous online reporting tool (Survivor Support service).  People Services produce a bi-annual report of all formal cases including cases involving discrimination, bullying and harassment. This goes to UEB and Council.  People Services and Student Health & Wellbeing provide quarterly report and support data to the Changing the Culture Working Group.  We have also updated our Privacy Notice to include sharing information relating to bullying and harassment to funders where they require this as part of their funder regulations.  The University Policy and Procedure for Investigating Allegations of Research Misconduct has recently been updated and is due to go forward to URIC on the 13th of December.  Training will be provided to key stakeholders involved in the implementation of the policy alongside internal comms to raise awareness of the procedure for submitting a complaint. |  |
| RESET framework available for research colleagues to use. | 4 RESET sessions run across the Faculties. | Sept 2020 | Head of People Engagement and Culture |  |  |
|  |  | 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 2021 | Dean of Research Culture and Strategy | The Dignity and Respect Policy has recently been updated and re-named a Bullying and Harassment Policy and Procedure. |  |
| ECR5 | Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | SAgE FRIC has revised terms of reference and increased opportunities for researcher representation.  Opportunities 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 and  Innovation and Research Manager in SAgE  Dean of Research Culture and  Strategy | Successfully engaged researchers in consultations on research culture, the Skills Academy, inappropriate behaviours, refreshing our Concordat Action Plan, and policy development (e.g. new authorship policy). We will continue to develop a close working relationship with our researcher community and offer opportunities to inform and co-create policy and culture change. | Positive feedback received from researchers that have taken part in consultation events, that appreciated the opportunity to do so and would consider doing so in future. |
| Faculty Deans of R&I to continue to promote opportunities available at Dean’s Updates. |  |  | Faculty Deans of Research and  Innovation, Research Managers,  Organisational Development |  |  |
|  |  | DER membership reviewed on an annual basis. |  | Oct 2021 |  |  | New researcher membership across faculties refreshed in 2022 |

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| **Employment** | |  |  |  |  |  |  |
| **Institutions must:** |  |  |  |  |  |  |  |
| EI1 | 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 | The Race Equality Charter (REC) action plan in now published. The plan includes a variety of actions that covers strengthening our recruitment processes, upskilling hiring managers and developing a new approach to positive action. | The University has obtained a Bronze REC Award based on its self-evaluation and action plan. |
|  |  | 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 | Culture and Values project workstream on Inclusive Recruitment has piloted inclusive assessment exercises with several senior appointments in the University | The NU Academic Track fellowship recruitment scheme is open and transparent with clear guidance as to how applications are weighted, with a clear focus on EDI and research culture. |
| EI2 | Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position | 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 | Improvements to inductions have been widespread across the faculties, with some enhanced local work. Examples include: making contact 10 days prior to start date, buddy schemes, and the provision of an electronic flip-book in some schools that includes all necessary information and contact details on starting.  Additionally, all colleagues are invited to a university Welcome event to meet the central university teams alongside the faculties holding their own induction events. |  |
| Faculties to continuously improve their Faculty Induction Programmes working with the Induction and On-boarding group. | 30 PIs trained 2020-  2021 in Managers  Essentials and new PI Development Programme. |  | Faculty Deans of Research and  Innovation and Research  Managers |  |  |
| EI3 | Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances | 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 | Due to COVID this action has been delayed to 2023. Initial data gathering has been conducted with members of the Research Culture Coordination Group (including researchers and Reward Partner) in terms of suggested areas of improvement.    Next steps to define scope and membership of working group and agree resourcing and actions. |  |
| EI4 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent. | Culture and Values Project Leadership Programme and Managers Essentials. | 30 PIs trained 2020-  2021 in Managers  Essentials and new PI  Development  Programme | Launch Jan 2021 | Head of People Engagement and Culture | PI Development programme has segments relating to:   1. Managing your project team, 2. Managing yourself as a research leader 3. Managing people   Additionally, the Managers Essential Training suite was relaunched, and a shorter project management e-learning course is available through Organisational Development | Approximately 60 colleagues have completed the PI Development Programme |

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| EI5 | Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation | Culture and Values Project Leadership Programme and Managers Essentials implementation. | Evaluation of programmes: target attendees, numbers attending. | Launch Jan 2021 | Head of People Engagement and Culture | The new method of PDR, ‘Conversations and priorities’, helps managers engage with useful career conversations and how to sustain these throughout the researcher ‘life-cycle’ |  |
|  | Engage & Aspire: Career conversations project implementation | Evaluation process to be developed. | Review re Evaluation process June  2021 |  |  |  |
| 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 | New Fixed Term Contract policy implemented.  New University-wide bridging policy under consultation. Some schools and faculties are trialling bridging schemes for RAs to increase numbers of open-ended contracts and reduce precarity. | The number of colleagues on fixed term contracts has reduced from 26% to 15.8% (July 2022 data). |
| EI7 | Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making | Promotion of opportunities to participate in e.g.:  DER Subcommittee, Skills Academy, NUCores,  Faculty Research & Innovation Committees and RA Networks organisation and management. | 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  Faculty Deans of Research and  Innovation, Research Managers,  Organisational Development,  Research Strategy Manager | Skills Academy consultations are ongoing with a co-creation team being established. This will include researchers. |  |
| Opportunities already given to participate in  Skills Academy, Developing Excellent  Researchers (DER) Sub Committee and  University Research and Innovation Committee (URIC). |  | Ongoing | Dean of Research Culture and Strategy | ECR representation is increasing on school and faculty level research committees |  |
| Faculty Deans of R&I to continue to promote opportunities available at Dean’s Updates. |  |  | Faculty Deans of Research and  Innovation, Research Managers,  Organisational Development |  |  |
| DER membership reviewed on an annual basis. |  | Oct 2021 |  |  | New DER membership for 2022 including both PIs and ECRs from each faculty |
| **Funders must:** | |  |  |  |  |  |  |
| EF1 | Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies | NA |  |  |  |  |  |
| EF2 | Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security | NA |  |  |  |  |  |
| EF3 | Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job | NA |  |  |  |  |  |
|  | security, and provide opportunities for career progression |  |  |  |  |  |  |
| EF4 | Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels | NA |  |  |  |  |  |
| **Managers of researchers must:** | |  |  |  |  |  |  |
| EM1 | Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care | Culture and Values Project Leadership Programme and Managers Essentials implementation. | Evaluation of programmes: target attendees, numbers attending. | Launch Jan 2021 | Head of People Engagement and Culture | PI Development programme (see Ei4) includes training around managing team members. | Approximately 60 colleagues have completed the PI Development Programme |
|  | Engage & Aspire: Career conversations project implementation | Evaluation process to be developed. | Review re Evaluation process June  2021 |  | Additional project-management e-learning course available  Leading Through Values has been launched to build leadership skills to enhance team working, inclusion and psychological safety.  PDR has now been revitalised as ‘Conversations and Priorities’ to better promote an engaging and useful career conversation between colleagues and line managers (launching Jan 2023). Training for managers is underway. | Around 180 managers have received Leading through values training since 2020. |
| EM2 | Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding | Managers Essentials. |  |  |  | Managers Essentials training suite has been relaunched and accessible to all managers.  Leading Through Values implemented (see EM1). |  |
|  | Culture and Values Project Leadership Programme and Managers Essentials implementation. | Evaluation of programmes: target attendees, numbers attending. | Launch Jan 2021 | Head of People Engagement and Culture | PI Development Programme ran two cohorts in 2022 (with up to 20 people per cohort) |  |
|  | Engage & Aspire: Career conversations project implementation | Evaluation process to be developed. | Review re Evaluation process June  2021 |  |  |  |

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| EM3 | Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers | Academic promotions review panels in place at Unit level with researcher representation on the panels. |  |  |  | All managers involved in recruitment are required to complete Unconscious Bias Training prior to engaging in selection panels. |  |
| 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 |  |  |
| 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 |  |  |
| 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 | Standard interview guidelines are provided to all interviewers to ensure equitable assessment across candidates. |  |
| EM4 | Actively engage in regular constructive performance management with their researchers | Culture and Values Project Leadership Programme and Managers Essentials implementation. | Evaluation of programmes: target attendees, numbers attending. | Launch Jan 2021 | Head of People Engagement and Culture | PDR has now been revitalised as ‘Conversations and Priorities’ launching in Jan 2023 (see also EM1) |  |
|  |  | Engage & Aspire: Career conversations project implementation | Evaluation process to be developed. | Review re Evaluation process June  2021 |  |  |  |
| EM5 | Engage with opportunities to contribute to relevant policy development within their institution | Participation in the DER Subcommittee, Skills  Academy | Two representatives per Faculty on DER Subcommittee | Oct 2022 | Dean of Research Culture and Strategy | DER Committee includes PIs and ECRs from each faculty, and consultation on the new Concordat Action Plan will include managers. The committee will help to draft and update the new Concordat Action Plan |  |
| Representatives on FRICs |  | DER Chair, Deans of Research and Innovation, Research Managers  Research Strategy Manager |  |  |

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| **Researchers must:** | |  |  |  |  |  |  |
| ER1 | Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder | Cross Reference EI2 |  |  |  |  |  |
|  |  |  |  |  |  |
| ER2 | Understand their reporting obligations and responsibilities | Cross Reference EI2 |  |  |  |  |  |
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| ER3 | Culture and Values Project  Leadership Programme and Managers Essentials implementation. | Cross Reference EI5 |  |  |  |  |  |
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| ER4 | Recognise and act on their role as key stakeholders within their institution and the wider academic community | 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 | The University has reconfigured DER to be the voice for researchers.  The review of representation on committees is now part of the institutional Research Culture Action Plan – including sharing good practice across unit Research Committees,  Many academic units promote successes in newsletter, e.g ECRs on external committees. |  |

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| **Professional and Career Development** | |  |  |  |  |  |  |
| **Institutions must:** | |  |  |  |  |  |  |
| PCDI1 | Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors | 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 | The 10 days for professional development is now highlighted in all researcher new starter contracts and mentioned in induction information. Additionally, we have a Researcher Professional Development (10 days) policy document about how to use the 10 days. |  |
| Investigate systems for monitoring use of the 10 days. | Guidance includes monitoring/reporting system. |  |  |  |  |
| Develop case studies demonstrating effective use of the 10 days. | 4 case studies written and on OD webpages. | July 2021 |  |  |  |
| PCDI2 | Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers. | Engage & Aspire Career Conversations training is part of Leaders & Managers Essentials. |  | Launch Jan 2021 | Head of People Engagement and Culture | Career development is covered within the new PDR structure: Conversations and Priorities |  |
|  | Culture and Values Project Leadership Programme and Managers Essentials implementation.  Engage & Aspire: Career conversations project implementation | Evaluation of programmes: target attendees, numbers attending.  Evaluation process to be developed. | Launch Jan 2021  Review re Evaluation process June  2021 | Head of People Engagement and Culture |  |  |
|  |
|  |  | No action required: Careers Service/OD support provide workshops, 1:1 guidance from dedicated careers consultants. | Number of researchers attending workshops  (50 participants in 2020/21) and 1:1 sessions (20 sessions 2020/21). | Ongoing | Careers Guidance Team  Manager/Head of People,  Engagement and Culture |  |  |
| PCDI3 | Ensure that researchers have access to professional advice on career management, across a breadth of careers. | No action required. 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 | **Career Management Programme** since Aug 2020 to date 143 fully attended, 24 partially attended (192 booked).  **Career Transitions** since June 2021 (new online programme): 50 attended (67 booked).  54 individual career coaching sessions for ECRs with Career Consultants taken place since Oct 2020. | These programmes were redesigned during lock down, moving from being in person to online. They have been well received and will continue in current format as allows for greater accessibility and feedback anecdotally has been positive. They are led by the Careers Service. |

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| PCDI4 | Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills | 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 | NU Mentoring scheme is open and accessible to all, and regularly promoted across the faculties.  The Enterprise Academy have developed a more tailored mentoring scheme with external business and industry partners. |  |
| 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 | Deans of Research and  Innovation, Research Managers | External opportunities are promoted within faculties such as researcher forums, UKRN membership and Aurora Leadership Programme. |  |
| 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 | Part of the new Race Equality Charter Action Plan for the Research Workstream. |  |
| Faculty Deans of R&I/Research Managers 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). | Number of researchers attending Welcome Events 150 (increase from 114 in 2019/20). | Ongoing | Faculty Deans of Research and  Innovation, Research Manager,  Organisational Development,  Research Strategy Manager re  Skills Academy |  |  |
| No action required: Careers Service/OD support provide workshops, 1:1 guidance from dedicated careers consultants. | Numbers of researchers attending workshops  (50 participants in 2020/21) and 1:1 sessions (20 sessions  2020/21) | Ongoing | Careers Guidance Team  Manager/Head of People,  Engagement and Culture |  |  |
| PCDI5 | Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this | No action required: Careers Service/OD support provide workshops, 1:1 guidance from dedicated careers consultants |  |  |  | The Enterprise Academy now hosts a year-round calendar of events to showcase career opportunities external to academia.  The NUAcT fellowship scheme offers fellowships partnered with industry (2 NUPAcTs appointed so far) |  |
| PCDI6 | Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews | No action required: Careers Service/OD support provide workshops, 1:1 guidance from dedicated careers consultants. |  |  |  | Going forward, this will be monitored in the Skills Academy |  |

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| **Funders must:** | |  |  |  |  |  |  |
| PCDF1 | Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning | NA |  |  |  |  |  |
| PCDF2 | Embed the Concordat Principles and researcher development into research assessment strategies and processes | NA |  |  |  |  |  |
| PCDF3 | Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit | NA |  |  |  |  |  |
| **Managers of researchers must:** | |  |  |  |  |  |  |
| PCDM1 | Engage in regular career development discussions with their researchers, including holding a career development review at least annually | 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. | This is promoted in new annual Conversations and Priorities meeting between PI and researchers. The new format promotes meaningful career conversations with more regular career ‘check-ins’ |  |
| Establish monitoring process for new format Career Conversations to demonstrate quality.  Engage & Aspire Career Conversations training is part of Leaders & Managers Essentials. | Baseline measure for researcher participation  and experience included | Launch Jan  2021 | Head of People Engagement and Culture |  |  |
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| PCDM2 | Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers  professionals, training, and  secondments | No action required: Careers Service/OD support provide workshops, 1:1 guidance from dedicated careers consultants. | Numbers of researchers attending workshops  (50 participants in 2020/21) and 1:1 sessions (20 sessions  2020/21) | Ongoing | Careers Guidance Team  Manager/Head of People,  Engagement and Culture | NU Mentoring is an established scheme and regularly promoted in the faculties.  Many local and more informal mentoring schemes exist. |  |
|  |  | 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. |  |  |
| PCDM3 | Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development | 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. | Record of activities taken by Faculties to promote the 10 Days reported to DER Subcommittee. | July 2021 review | Head of People Engagement and Culture. | Conversations and priorities will ensure the 10 days are addressed and going forward the Skills Academy will help to track the use of them and catalogue examples to inspire future researchers. |  |
|  | Guidance published on NU Connect/OD webpages | Jan 2021 | Head of People Engagement and Culture |  |  |
|  |  | Investigate systems for monitoring use of the 10 days. | Guidance includes monitoring/reporting system. |  |  |  |  |
|  |  | Develop case studies demonstrating effective use of the 10 days. | 4 case studies written and on OD webpages. | July 2021 |  |  |  |
| Engage & Aspire Career Conversations training is part of Leaders & Managers Essentials. |  | Launch Jan 2021 | Head of People Engagement and Culture |  |  |
| Promotion of allowance in Faculty committees etc. |  | Jan 2021 | Faculty Deans of Research and Innovation, Research Managers |  |  |
| PCDM4 | Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours | 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 (possibly using the 10 days for development).  Engage & Aspire Career Conversations training using new format. | 4 case studies on OD site identifying how to develop leadership skills by NUAcTs.  As part of Engage & Aspire Project develop a simple monitoring and evaluation process re  Career Conversations. . | July 2022  Review Jan  2022 | Director of NUAcT and Head of  People Engagement and Culture  Head of People Engagement and Culture. | Case studies are collected on NUAcT fellows including skills developed, these are shared on the NUAcT scheme external web pages for new applicants. |  |
| PCDM5 | Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development | Culture and Values Project includes Leadership Programme and Management Essentials. | 30 PIs trained 2020-  2021 in Managers  Essentials including PI Development Programme. | Review July 2021 | Head of People Engagement and Culture | ~200 people have completed or booked to attend the managers Leading Through Values training. |  |
|  |  | 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 |  |  |
| 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 | Deans of Research and  Innovation, Research Managers |  |  |
| 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 |  |  |

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| **Researchers must:** | |  |  |  |  |  |  |
| PCDR1 | Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year | Cross reference to PCDI1, PCDI2, PCDM1, PCDM2. |  |  |  |  |  |
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| PCDR2 | Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers  professionals, training and secondments | Cross reference to PCDI1, PCDI2, PCDM1, PCDM2 |  |  |  |  |  |
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| PCDR3 | Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications | Cross reference to PCDI1, PCDI2, PCDM1, PCDM2. |  |  |  |  |  |
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| PCDR4 | Positively engage in career development reviews with their managers | Cross reference to PCDI1, PCDI2, PCDM1, PCDM2 |  |  |  |  |  |
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| PCDR5 | Seek out, and engage with, opportunities to develop their research identity and broader leadership skills |  |  |  |  |  |  |
| Cross reference to PCDI1, PCDI2, PCDM1, PCDM2. |  |  |  |  |  |

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| PCDR6 | Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation | Cross reference: PCDI1, PCDI2, PCDM1, PCDM2.  Investigate opportunities for shadowing/teaching for researchers as part of the 10 days prof development. | Number/range of opportunities available | July 2022 | Head of People, Engagement & Culture | Policy Academy and Enterprise Academy are established and open to all researchers. |  |

**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 federation 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:**

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

DER: Developing Excellent Researcher Committee

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

NUAcT: (Newcastle University Academic Track – fellowship scheme)

OD: Organisational Development Team

PDR: Performance Development Review

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)

SAP: Group in People Services which operates the HR system

UEB: University Executive Board