**Paper 2: Concordat, CROS & HR Excellence in Research Action Plans 2016 – 2018**

This plan reflects an alignment of new, ongoing and carried forward items from i) the 2010 - 2016 Progress review, ii) the 2014 HREIR action plan actions and iii) recommendations drawn from CROS 2015. This summarises the position as at July 2016. The longer term developments inform our key actions, timescales and deliverables for the period 2016-2018, which are also summarised in the overview report.

Key: Black – Current status; *Blue – CROS/HREIR Action*; *Red - Key action or deliverable*; *Green – Success measure.*

| **Concordat Principle/Cardiff focus from 2010-16 Plan** | **Current Status and Ongoing Actions** | **Lead** | **Timescale** | **Success Measure** |
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| **A Recruitment & Selection****Concordat Plan (B1)*****Outcomes of Fixed Term Contracts Working Group*** | **CROS 2015:** Most Cardiff respondents reported being employed on fixed term contracts and free text comments indicated that whilst “open ended with relevant factor” contracts attempt to address this, they can be perceived as “fixed term in all but name”. ***CROS Action 1****: Work is currently in progress to evaluate options to clearly articulate to researchers the routes for transition to other more sustainable career pathways.*An “Enhancing Early Career Independence” (EECI) Project was formed by a lead College Research Dean in November 2015. The aim is to clarify/enhance career options and develop a range of support mechanisms for research independence. Initial proposals have been presented to the PVCR’s Research Deans Group and priorities are currently being determined. This includes the inclusion of Career exploration and management skills within induction.*A paper proposing career development support options and investment will be presented to the University Executive Board (UEB) by EEIC Chair.* | EEIC Group (membership: College Research Deans, RIS, OSD/Comms and Cardiff University Research Staff Association - CURSA) | November 2016 | *Completed.* |
| **B Recognition and Value** **Concordat Plan (B2)*****Raising awareness of Research Staff Terms and Conditions of Employment***The results of CROS 2009 would suggest that further work is needed to raise the awareness of researchers of their terms and conditions of employment.*PWE Steering Group (as part of its commitment to improving the information provided to all staff groups)/HUMRS.* | **CROS 2015** - A higher percentage of respondents report not being offered induction, particularly local induction, which appears to be of variable quality. Further enquiry into local practice may be required at College or School level. The availability of induction resources via the intranet may help to improve this trend. ***CROS Action 2:*** *An Induction project covering the first 90 days of employment will be implemented shortly which will assist in standardising induction across the University.*Research staff continue to be offered a bespoke central induction programme which provides T&Cs briefing early in employment. This may be further enhanced given developments in induction processes and initiatives being proposed within the EECI project. All Colleges introduced local initiatives pending development of a 90-day standard, structured induction, which was launched by HR Operations in June 2016. This clarifies both individual and managers’ responsibilities.*HR Operations to integrate 90 day induction model into the CORE HR management system in order to trigger the process for all new staff.* | College Research Deans and HRBPs/HR/ OSDHR/OSD | Q1 2018January 2017 | *75% of research staff reporting they have been offered induction, as reported via CROS 2017**Completed.* |
| **B Recognition and Value (B3)*****Raising awareness of status of research staff as members of academic staff*** The findings of CROS, and feedback received at the Research Staff Policy Forum, point to a need to raise awareness across the Institution of the inclusion of research staff in the definition of ‘academic staff’ under the University’s Ordinances. | ***HREIR Action 3****: Working with Colleges to develop local action plans (2014-2018) during the 2014/2015 academic year. The aim is to raise the status of research staff as key members of academic staff and to share existing good practice in order to shape more generic guidelines for supporting researchers.***CROS 2015** - Research staff reported a positive employment experience in many aspects of the staff survey but also reflected the general feeling that wider contribution to the University is not formally recognised. Attention should be paid to the extent to which groups of research staff feel integrated into the wider research or disciplinary community and also into the University’s academic community.***CROS Action 3:*** *Work is in progress in relation to PDR, academic expectations and Outstanding Contribution, which it is anticipated will assist in this area.*A paper reporting on CROS outcomes and recommendations, which establishes a mechanism for integrating Concordat/HREIR plans under scrutiny of the Research Excellence Steering Group, was presented to UEB in Feb 2016. This mechanism will now be implemented as part of this interim review.*The work of the EECI Project reflects Concordat principles, which will be embedded in local project implementation plans within Colleges.*“The Cardiff Academic” was published in early 2016 and sets out role expectations across three academic career groups, including Research staff. These expectations as outlined have been designed to cover the breadth of activity for academic staff.*Further work will be undertaken by OSD to develop ‘The Cardiff Academic’ role expectations which are specific to research only staff.* | DVC/REG/EECIGroupOSD/DVC/REGEECIHR/OSD/Colleges/CURSA | Q3 2018Q3 2018May 2018 | *This has been overtaken by the EECI project.**Completed- see below.**Completed.**Operational plan with timescales to be developed at university level.**An updated ‘Cardiff Academic’ containing clear role expectations for staff employed on the research-only career pathway.* |
| **B Recognition and Value (B4.1)*****Supporting researchers, research managers and PIs***The University should review all forms of support available for research managers and there needs to be greater clarity as to what is expected of them.  | **CROS 2015** - Respondents reported very positively about access to training and development options but there is greater interest in areas which are less about research skills and more about developing aspirational areas such as inter-disciplinarity, impact, public engagement and leadership. We need to support a balance of provision between supporting role effectiveness and career development.***CROS Action 4****: A Review of the Staff Development programme including the Research Programme linked to the Way Forward is to be undertaken in 2015/16.*A revised Research Leaders’ programme was piloted during the 2014/2015 academic year, including a new session on how to hold career planning conversations with their research staff. In 2015/2016 programme management moved to the Researcher Development team. *This programme will be evaluated further in 2016/17 as part of the HR/OSD Operational Plan. The revised PDR process will be used to inform the ongoing review of the Staff Development Programme.* | OSDOSD | September 2017 | *Completed – Minor amendments made to the programme.**A review will be undertaken during 2016/17 to identify any areas that require further development. An updated Research Development Programme will be implemented for 2017/2018.* |
| **B Recognition and Value (B4.2)*****Supporting research managers/PIs***All research managers should be provided with guidelines as to what their responsibilities are and the structures in place to support them. | ***HREIR Action 7****: An updated (intranet) site addressing the specific needs of researchers.*Researcher sections have been created on the new staff intranet and content was updated and migrated early in 2016 (includes a new section for CURSA).*Researcher intranet sites will require ongoing evaluation and maintenance to ensure they meet the informational need.*Revised guidelines for PIs (to incorporate information on broader management responsibilities) to be published following input from Deans of Research and approval of UEB. Management of staff development through PDR will be emphasised within the new guidance on the ‘Role of the Academic Manager’.*Development of the new management guidance for processes related to induction, PDR, performance expectations and workload planning to continue and will incorporate previous work by the Training & Development Manager (Research).*  | OSD/CURSAOSD/CURSAHR/OSD | OngoingMay 2018 | *Completed.**Continuous availability of clear, accessible and timely information for researchers on the staff intranet, which is regularly maintained and updated as required.**Production and availability of management guidelines for research managers/ PIs on the staff intranet.* |
| **B Recognition and Value (B4.3)*****Supporting research managers/PIs***Consideration should be given to whether the training for research managers should be extended so that those who manage research staff are required to attend a briefing session on their responsibilities | ***HREIR Action 2:*** *Enhancements to existing training courses, including improved training for PIs, and the introduction of a Masters Course for Research Administrators (end 2015).*The Research Leaders Programme was enhanced in 2014-15 and this, along with all OSD and RD provision, has been reviewed as part of the OSD Operational Plan for 2015/16. Future review may include feasibility of alignment of researcher development programmes with emerging Wellcome leadership/international funders award (anticipated in 2017).***CROS Action 5****: The university is currently developing a CPD framework which may assist in addressing this area. The longer term plan is to establish an academic CPD framework for academic staff that is fully accredited by the HEA.* | OSDPVC | September 2018 | *The availability of a CPD framework for all members of academic staff, with comparable uptake and feedback for research-only staff as for other the academic pathways, collected during the first year of implementation.* |
| **B Recognition and Value (B4.4)*****Supporting research managers/PIs***Increase effectiveness of participation in appraisal for both research staff and PIs, and ensuring that PI appraisals routinely include a review of PIs as managers. | **CROS 2015**: Experience of performance review processes was reported more favourably than the UK average and also within the staff survey.Attention should be paid to continuing to improve the effectiveness of appraisal. The 2016 PDR form has a tailored version for each staff group so that Research staff can have discussions based around clear work areas. The role of Academic Line Managers is now clearly defined, along with performance expectations.*Effectiveness of new PDR process in terms of research staff will be monitored and reviewed via evaluation of Staff and CROS surveys in 2017 by OSD/Researcher Development, in conjunction with CURSA.* | College Research Deans and HRBPs/HR/OSD/CURSA | May 2018 | *10% increase in participation rates for PDR (currently 75%), as measured via Staff survey and CROS run in 2017.* |
| **B Recognition and Value (B5)*****Representation and Communication***To explore the demand for setting up a formal structure to allow the research staff group to routinely feed into decision making at a University level. | Cardiff University Research Staff Association (CURSA) will be viewed as one of the University’s formal staff networks and, as such, the Chair will liaise with staff representatives on the E&D committee.*CURSA to discuss at College Board level about College representation. CURSA to link with UCU to ensure representation of researchers.* A new Chair and a refreshed committee have been appointed with lead responsibilities. The group now has its own space on the Staff Intranet and an active ‘Yammer' group. CURSA representatives received training in their roles and in policies from OSD in Feb 2016. CURSA is represented in both the EECI project and in the 2016 Concordat review group, and links have been made with College Research Deans.*DVC to discuss with PVCR how CURSA can be involved in the strategic portfolio via related research committees and agree recommendations.* | CURSACURSA/College Research Deans/DVC/PVCR | OngoingQ3 2018 | *Completed. CURSA established as a recognised Staff Network.**UCU attended 2016 AGM - this relationship will continue to be developed throughout the next review period (2016-2018).* *A clear channel of communication established for researchers to feed through to relevant university committees.* |
| **C Support and Career Development (C2.1)*****Career pathways***Further work is required on the University’s researcher development strategy and this work should include further consideration of the research career pathway and routes of progression for researchers.**C Support and Career Development (C2.2)*****Career pathways***It is recommended that as part of this work consideration be given to whether the University HUMRS should have in place a formal promotions procedure for research staff, in line with staff in teaching and research and teaching and scholarship career pathways, or whether, like MPSS roles, progress should be linked to the role carried out and not an individual’s profile. | ***HREIR Action 1:*** *Review of the research career pathway with ‘promotions’ option paper for UEB – by end 2015.****Original action:*** *To consider feasibility of introducing a formal promotions route for staff employed within the ‘research’ career pathway.*Desk based research to benchmark against other universities was undertaken in 2015 and an options paper was completed and is under review; original target was end 2015 but this work was delayed during staff changes. The completed work now complements the EECI project, which has received approval from College Research Deans in June 2016 and is currently in referral to the Research Excellence Group prior to onward referral to UEB (See p.1, A -B1). This may lead to the establishment of an implementation group or “ECR Committee”. The options review will also link with a wider review of University promotions procedures in 2016-17. During this early project phasestakeholders will ensure alignment of these two significant pieces of scoping and development work, which will inform actions relating to clarifying career options for research staff and establishing enabling mechanisms.***New action:*** *There will be a fundamental review of the academic promotions process by OSD, which will include examining how researchers are reflected within it.* | OSD/EECI Group/DVC/PVCR | January 2018 | *A University decision on career progression routes for researchers.* |
| **C Support and Career Development (C4)*****Mobility of Researchers***The University will be considering the mobility of its researchers as part of its preparations for REF. It is recommended that consideration be given to ways of improving the data held on the career trajectories of former Cardiff researchers as part of this. | ***HREIR Action 4*** *- Introduction of exit interviews for all research staff - by end 2015. This recommendation was supported by CURSA.**DVC to explore possibility of introducing exit surveys for all staff who leave institution – to include data on destination.*Resignations are now processed through CORE portal and this includes a basic HESA questionnaire.*A pro-forma to capture exit and destination data for all staff will be introduced by HR Operations in 2016; surveys will be triggered through CORE. Benchmarking will be possible by pathway making it possible to review and analyse researcher data once sufficient information has been collected.*  | DVC/HRHR/OSD | Q4 2016Q4 2016 | *Completed.**Completed.**A 50% increase in response rate to exit survey for research-only staff.* |
| **C Support and Career Development (C5.3)*****Careers Advice and Support***Mentoring. | ***HREIR Action 5****: Introduction of a University mentoring scheme, including the identification of any barriers to a ‘right to a mentor’ scheme for researchers – by end 2016.*The introduction of a University mentoring initiative in 2015 builds on our strong mentoring culture in which informal mentorship plays a key role and where mentoring complements the PDR process. Mentoring is embedded in the proposals outlined in the EECI project.*As the process develops, it will need evaluation to see whether this meets the needs of researchers and the ‘right to a mentor’ scheme for researchers, as previously proposed by CURSA.* A buddy scheme has been introduced for international staff as a Cardiff Futures project. A PSE pilot mentor matching scheme has been expanded to cover all staff in the Colleges. College Mentoring teams have trained 150 staff mentors, including Research staff, in 2015/16.A new software system to support matching of mentors/ mentees is being piloted from July 2016. Uptake and perceived value/effectiveness/access for researchers will need to be monitored as initiatives develop. | EECI GroupHR/HRBPsOSD/CURSA | September 2018September 2018 | *Completed – see below.**Availability of a scheme of accessible mentoring support for research-only staff, with uptake comparable to that of other academic pathways.*  |
| **C Support and Career Development (C 8.2)*****Funding skills development***It is recommended that HUMRS and RIS work together to develop advice for grant applications on how to apply for funds to support development activity, including the development of researchers’ transferable skills. | RIS standard practice is to guide researchers to consider training and development costs as a direct costs category (i.e. the costs of training courses, travel, subsistence etc.).A review of College practice by the EECI project revealed several worthwhile initiatives, e.g. extension of a grant application training pilot and the provision of bespoke training. There is a new 'Supporting Researchers” internet page and “Guidelines for Fellowship Applications” were produced in June 2016. Work to develop local practice will continue as part of the EECI project.***New action:*** *RIS to update their checklist of ‘things to consider’ when applying for funding in order to achieve appropriate costings and build into CAP form guidance.* | EECI Group/RIS | March 2017 | *The availability of an updated checklist from March 2017.* |
| **C Support and Career Development (C9)*****Induction*** It is suggested that some improvements may be required to the way that job descriptions are used to inform an individual’s induction to their role. | See Pages 2-3 (B2). |  |  |  |
| **D Researchers’ Responsibilities (D1)*****Continuing Professional Development/Personal Development Planning***Although postgraduate research students have access to an electronic PDP system, there is no equivalent system for staff to enable them to record personal/career development activity. It is recommended that the proposed Cardiff People system is configured in such a way as to allow staff to record professional and career development activity. | ***HREIR Action 6****: Review of methods for incorporating improved career development planning tools into University systems – by end 2015.*From April 2015 the University will be moving towards an online appraisal system and discussions are ongoing about how data about staff members’ broader learning and skills development will be taken from appraisal forms and stored against individual records. The RIS Converis system captures research activity and there is potential to use this to inform PDP; however, at present there is no mechanism for this. Online capture of appraisal and training and development records in CORE will be introduced by Dec 2016. This will be underpinned by a new University Staff Training & Development Policy which will highlight both staff and management responsibilities.*Review of effectiveness of training and development recording system for research staff to be carried out by HR/OSD, in consultation with CURSA, once sufficient data available.* | EECI Group/RISHR/OSD | March 2018 | *Training and development for research-only staff will be recorded on CORE. The effectiveness of using this system will have been assessed, with input from CURSA, and recommendations made to rectify any issues identified.* |
| **E Equality and Diversity****(A3)** The University’s Equality and Diversity Committee is currently investigating how it can ensure that recruiters’ understanding of their responsibilities and the broader legal context is kept up-to-date. *E&D Committee/HUMRS.***(E1)** It is recommended that the University encourage all Academic Schools in SET discipline areas to consider the appropriateness of working towards the Athena SWAN silver award.  | **CROS 2015** - Cardiff respondents generally reported favourably in this area, though more detailed analysis showed that, as with the UK data, female researchers are in slightly less agreement that the Institution is committed to E&D or that they have fair opportunity for pay and progression. Some free text comments indicated that a few feel that there are issues with workplace culture, such as “banter” or unconscious bias. The relationship between gender and progression in the research pathway has been noted within the scoping stage of the EECI project group.***CROS Action 6:*** *A training programme is being introduced to address unconscious bias at a wider level.**The University’s mandatory E&D training will be redeveloped in-house by OSD E&D lead.**The University is working towards the Race Equality Charter Mark for 2017 in addition to extension of Athena Swann.*  | HUMRS/OSDOSD/HR/E&DOSD/HR/E&D | Q4 2016June 2017July 2018 | *Availability of an online training module addressing ‘Unconscious Bias’. At present the training programme will not be mandatory and no completion targets have been set. However, discussions are currently taking place with respect to making this training mandatory.**75% of staff undertaken training by April 2018.**Achievement of Charter Mark.* |
| **F: Implementation and Review** | ***HREIR Action 8:*** *Review action plan by Sept 2016.*Work in progress via this review. Full review due 2018. Concordat plans are now noted by the Research Excellence Group (chaired by the PVCR), once approved by DVC. | OSD/DVC/REG | September 2018 | *Submission of a full review by September 2018.* |

**Supplementary Summary of Specific Concordat actions from CROS 2015 and HREIR 2014 Action Plans**

The actions from CROS 2015 and HREIR review 2014 are integrated into the 2016 – 2018 Concordat Plan above. Here they are tabulated against each other as a reference guide, to indicate where action points from CROS correspond directly to those in the HREIR plan and how this supports the Six Concordat themes

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| **HREIR Action 2014 with related Concordat Theme** | **Supporting CROS Actions from 2015 Survey** |
| 1 | Career pathways- see C2.1**C: Support and Career Development**  | Review of the research career pathway with ‘promotions’ option paper for UEB | Action 1: | Work is currently in progress to evaluate options to clearly articulate to researchers the routes for transition to other more sustainable career pathways |
| 2 | Training – see B4.3**C: Support and Career Development** **B: Recognition and Value** | Enhancements to existing training courses including improved training for PIs, and the introduction of a Masters Course for Research Administrators | Action 4:Action 5: | A Review of the Staff Development programme including the Research Programme linked to the Way Forward is to be undertaken in 2015/16The university is currently Developing a CPD framework which may assist in addressing this area. The longer term plan is to establish an academic CPD framework that is fully accredited by the HEA. |
| 3 | College action plans – see B2**A: Recruitment and Selection****B: Recognition and Value****E: Equality and Diversity** | Working with Colleges to develop local action plans (2014-2018) during the 2014/2015 academic year. The aim is to raise the status of research staff as key members of academic staff and to share existing good practice in order to shape more generic guidelines for supporting researchers | Action 2:Action 3:Action 6: | An Induction project covering the first 90 days of employment will be implemented shortly which will assist in standardising induction across the University Work is in progress in relation to PDR, academic expectations and Outstanding Contribution, which it is anticipated will assist in this areaA training programme is being introduced to address unconscious bias at a wider level |
| 4 | Exit interviews – see C4**C: Support and Career Development**  | Introduction of exit interviews for all research staff by end 2015 |  |  |
| 5 | Mentoring - see C5.3**C: Support and Career Development**  | Introduction of a University mentoring scheme, including the identification of any barriers to a ‘right to a mentor’ scheme for researchers |  |  |
| 6 | Career planning – D1**D: Researchers Responsibilities** | Review of methods for incorporating improved career development planning tools into University systems | Action 4: | A Review of the Staff Development programme including the Research Programme linked to the Way Forward is to be undertaken in 2015/16 |
| 7 | Intranet**B: Recognition and Value** | An updated (intranet) site addressing the specific needs of researchers |  |  |
| 8 | HREIR action plan review**F: Implementation and Review** | Review action plan  |  | Participate in CROS 2017 |