Evidence of Compliance and revised Action Plan for Liverpool Research Staff
University of Liverpool, September 2013

A. Recruitment and Selection
Concordat Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
1.1	The University is a research-led global institution that recruits world class researchers. "*Research is at the core of everything we do and is fundamental to our future success.*" University's Strategic Plan (2009). The University has also developed a Research Strategy that sets out both the standards of excellence expected of all staff and the principles of support of staff in attaining that excellence. These expectations are reinforced through a number of means. They provide a key institutional context for the University's Professional Development Review (PDR) process, undertaken by all staff (see below, 2.1), and for regular individual research planning meetings. The University's web-pages highlight the main themes of our approach: - Extraordinary People - World-Class Infrastructure	1. The University will monitor closely the implementation of the Research Strategy. 2. The University is in course of making improvements to the PDR process, as well as introducing a number of enhancements to internal communications.	1. PVC for Research and Knowledge Exchange; Head of Research Policy 2. Human Resources; Corporate Communications	1. Ongoing[1] 2. **Achieved 2012**	1. Quarterly monitoring of progress against Strategic and Operating Plan (priorities for implementation are reviewed annually) 2. Process remains of strategic importance and will be reviewed annually

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[1] In the plan we have identified a number of actions as 'ongoing'. Although progress has been made and will continue to be made, the nature of these actions is such that they will always be relevant and require continuous development or ongoing review in relation to the university's agenda to support the development of researchers.

	- Regional, national and international collaborations - Outstanding research support The University also highlights significant research achievements, key new appointees and their research records, and other research stories through its internal communications.				
1.2	Recruitment: The University of Liverpool is committed to recruiting a workforce with appropriate expertise and experience, which is well-motivated and performs effectively and which reflects the wider diverse and pluralistic community. Equality of opportunity is a core value of the University and recruitment and selection procedures have been formulated to provide mechanisms to assess and appoint the most able and effective employees while ensuring that all individuals are treated with objective fairness and sensitivity. (Staff Recruitment and Selection Handbook) The University is a EURAXESS local point, supporting mobility of researchers around Europe**.** Diversity and Equality: The University is committed to providing an environment which recognises and values people's differences, capitalises on the strengths that those differences bring to the institution and supports all staff and students in maximising their potential to succeed. The University is also committed to fulfilling its obligations under	3. The University is in the process of reviewing its approach to recruitment and selection, to ensure that selection procedures are sufficiently robust and effective in attracting excellence. 4. To ensure continuity in research careers, The University will consider developing better information for researchers about research careers and development opportunities (including promoting opportunities through EURAXESS).	3. Human Resources 4. Educational Development; Concordat Implementation Group	3. **Achieved 2012** 4. **Achieved 2012** with development of Researcher Guide and redesign of website. Ongoing reviews will continue to remain up-to-date	3. All relevant processes are now available online in the HR website. New training arrangements for recruiters have been made and a guide is being developed on how to design role specifications 4. The University will continue to publicise opportunities that appear in EURAXESS and other funding databases and use the website to communicate these as necessary. Faculties are also developing appropriate mechanisms (portals and mailing lists) to promote relevant information to research staff in their research disciplines

	equality legislation. ([Diversity and Equality webpage](#))				
1.3	The University has embraced the changes introduced in 2002 in relation to fixed-term contracts. These changes established greater protections for staff employed on a fixed-term contract or on a series of fixed-term contracts for a continuous period of four or more years. ([Further information and related University policy](#)) The University provides training to PIs on contract management, and they also receive ongoing coaching from HR Managers on the appropriate use and management of fixed term contracts	5. The University will continue monitoring the use of fixed-term contracts for Research Staff. 6. We are currently reviewing how best to articulate the use of fixed-term contracts in our existing policies.	5. Human Resources 6. Human Resources	5. **Ongoing** 6. **Ongoing**	5. HR Managers maintain a close awareness of the progress of redeployment cases and maintain consistent contact with individuals throughout the process. To allow all alternative opportunities to be explored, the University contact individuals whose fixed contracts are due to expire 8 months and their PIs/Head of Departments before the end date of their contract to ensure that individual consultation takes place and other options are considered in detail 6. The university continues to engage in discussions with staff and trade unions on this topic. Relevant progress and policy is documented in the HR website
1.4	Members of selection panels are required to attend relevant training that includes information on the [University's Diversity and Equality of Opportunity Policy](#). (More information in the [Staff Recruitment and Selection Handbook](#)). To assure fairness, consistency and the best assessment of the candidate's potential, the University has in place the following procedures (the following policies are now incorporated	7. Changes to the University's recruitment and selection policies which are currently under consideration include recommendations over the composition of selection panels, and over feedback (in particular, the minimum requirement that detailed oral feedback should be given to all shortlisted	7. Human Resources	7. **Ongoing**	7. See paragraph 1.2.3 General statistics in terms of applications and success rates by the protected characteristics will reviewed on an annual basis to ensure no discriminatory practices are being undertaken

	under the Equalities Act): - Positive Action Statement - Dignity at Work and Study Policy - Race Equality Scheme - Gender Equality Scheme - Age Equality Policy Statement - Religion and Belief Equality Policy Statement - Disability Equality Policy - Sexual Orientation Equality Policy Statement - Two ticks Disability Scheme The University has signed the Mindful Employer's Charter for Employers Who Are Positive about Mental Health (Further information). The University is taking part in the Stonewall Workplace Equality Index, a tool used to evaluate workplace practices on sexual orientation equality (Further Information)	candidates). 8. The University is also at present considering changes to the procedures for promotion and progression, including over the composition of panels. 9. The University will continue monitoring the implementation of all procedures on Diversity and Equality of Opportunity.	8. Human Resources 9. Human Resources	8. **Ongoing** 9. **Ongoing**	8. All promotion panels to receive training including diversity and equality. Appropriate review mechanisms are in place to maintain expected standards and provide support as required 9. An obligatory training framework has been developed at the university to outline role specific training to meet legal requirements. The relevant resources are available online at the university's VLE and staff are expected to complete the corresponding modules. This expectation is communicated to all staff at the welcome event as part of the induction process. Within the first three months of appointment, staff have to complete an introductory module to diversity and equality, information security, data protection and health & safety. Ongoing review of the effectiveness of these modules will take place.
1.5	The University has embraced the principles of the Framework Agreement and has rolled out a comprehensive role evaluation scheme (HERA).	10. Appropriate documentation is in place	10. Human Resources	10. **Achieved**	10. Completed

	In consultation with our trade union partners, HR has created a new grading structure, developed a range of role profiles and has established distinctive career paths to provide staff with greater clarity about expectations. All staff have been assimilated to the new single pay spine on the basis of closest comparable pay points. (Further information)				

B. Recognition and Value

Concordat Principle 2: Researchers are recognised and valued by their employing organisation as an essential part of their organisation's human resources and a key component of their overall strategy to develop and deliver world-class research.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
2.1	In the 2007 CROS, 80% of Liverpool Researchers felt they were equally treated to academic staff in accessing University facilities and training & development opportunities. Similar evidence of equal treatment was received from the 2010 University wide Staff Survey. We are currently (May 2011) rerunning CROS in order to monitor current views and opinions of Liverpool research staff, and to analyse trends.

All researchers are required to undertake a Professional Development Review (PDR). This provides an opportunity for every individual to hold a dialogue with a senior colleague about the nature of their contribution, their plans (including longer-term career plans), and the development and support required to realise | 1. Continue monitoring the provision of development opportunities for all staff regardless of their being employed on fixed or permanent contracts

2. The PDR process is currently being revised to enhance its effectiveness as a tool for individual development. The PDR forms (and the related Portfolio of Activity, including the individual's research plans) will be online from 2011/12, allowing | 1. Human Resources; Educational Development

2. Human Resources | 1. **Ongoing**

2. **Achieved 2012** | 1. Ongoing action to ensure appropriate development opportunities are in place. Data collected from CROS & PIRLS 2013 will be used as required

2. Completed |

	those plans. Additionally, the University's Research Strategy now requires all researchers to hold regular individual research planning meetings to discuss and refine their short and longer-term research plans with senior colleagues in their area. All PDR reviewers have to undertake compulsory PDR Reviewer training, to be able to determine and agree staff development activities.	the University more easily to ensure that all staff have undertaken PDR and research planning meetings. 3. Analyse the results of CROS 2011, and refine the action plan accordingly.	3. Concordat Implementation Group	3. **Achieved 2011**	3. The analysis of 2011 CROS has been completed and the University is in the process of analysing data collected from the 2013 CROS survey
2.2	The University has implemented the changes introduced in 2002 in relation to fixed-term contracts. These changes established greater protections for staff employed on a fixed-term contract or on a series of fixed-term contracts for a continuous period of four or more years. (Further information and related University policy)	4. The University will continue monitoring the use of fixed term contracts for Research Staff.	4. Human Resources	4. **Ongoing**	4. This action remains as ongoing
2.3	A structured development programme for research team leaders has been developed to support them in their roles as research managers in relation to their responsibilities for the management of researchers. (Research Team Leadership)	5. The University will monitor and review related development programmes to ensure that enhancement of existing practice in relation to researcher career development and supervision is appropriate and relevant to the needs of research staff.	5. Concordat Implementation Group	5. **Ongoing**	5. Ongoing action to ensure appropriate development opportunities are in place. Data collected from CROS & PIRLS 2013 will be used as required

	Research leadership forms a significant issue for discussion between an individual research team leader and a senior colleague within the annual PDR. Leadership (including research leadership) is also central to the criteria for reward and progression.	6. Further support will be developed and offered to Principal Investigators to establish a good practice baseline across Faculties and research groups.	6. Human Resources	6. **Ongoing**; a PI Guide was developed in 2012 to provide relevant information	6. Ongoing action; PI Guide will be revised frequently as required. The implementation of the Researcher Development Framework will continue to happen over this period to allow PIs to engage productively with the tool for their personal benefit and that of their researchers
	The University is running the PIRLS (PI and Research Leaders) survey in summer 2011, and will be analysing the data to inform our ongoing action plan.	7. Analyse PIRLS 2011 and refine action plan in light of findings.	7. Concordat Implementation Group; PVC for Research and Knowledge Exchange	7. **Achieved 2011**	7. The analysis of 2011 PIRLS has been completed and the University is in the process of analysing data collected from the 2013 PIRLS survey
2.4	The University is committed to the on-going employment of all of its employees as far as is reasonably practicable. However, it is recognised that circumstances may arise where changes either in organisational requirements or in the personal circumstances of staff may necessitate the redeployment of staff to other roles within the University. (Redeployment Policy) Within the Faculty of Health and Life Sciences, the newly introduced VIP scheme (Value In People Awards Scheme) provides funding, from	8. The best arrangements for bridging funding (previously held centrally) are currently being considered in the light of the University's reorganisation into new Faculties and the devolution of budgets to Faculty and School. 9. Develop better workforce planning, for the identification	8. Human Resources; Faculties 9. Human	8. **Ongoing** 9. **Ongoing**	8. Local arrangements are being made in faculties to ensure that researchers are supported and kept informed in relation to developments in their areas 9. Faculties have developed schemes in the form of tenure-track

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	the Wellcome Trust, to assist in the recruitment, career progression and retention of academic and research staff who are seen as key to the implementation of strategic objectives in the area of biomedical research. These funds will be used for providing bridging support between contracts and in support for candidates for independent research fellowships. Workforce planning is currently held back by the constraints of our existing IT systems. We are currently considering options for addressing these issues, to allow better Management Information and a greater responsiveness in securing and managing research posts. The identification and retention of researchers takes place through PDR. Changes are underway to PDR to ensure a more consistent follow-up to PDR in terms of actions and planning.	and retention of key researchers. HR is looking at developing systems to address this. 10. Develop clear criteria by which researchers can demonstrate excellence in relevant areas, so as to identify the best candidates to be sustained in employment.	Resources 10. Human Resources; Faculties	 10. **Ongoing**	fellowships that are funded by external funds. The University, where appropriate, is considering the development of further internal schemes across faculties in order to retain and support the development of researchers 10. Through the role expectations for researchers, this area will be developed further. New permanent posts for researchers are being introduced in order to maintain research expertise that is already in place. The University will continue to review this position.
2.5	All categories of staff, including career researchers are progressed automatically in compliance with the Framework Agreement (Further information at UCEA website)	11. Communicate the research career pathway and promotion procedures for Researchers to Researchers themselves, PIs, HoDs and School Managers	11. Human Resources; Faculties	11. **Ongoing**	11. This action remains ongoing; appropriate generic and faculty based workshops will run and online resources will be developed to enhance communication with researchers
2.6	The PDR is used to identify possible career development opportunities. The discussion at the PDR should highlight all the options that exist for academic career opportunities.	12. Continue effectively to communicate development opportunities to Researchers, PIs, HoDs and School Managers.	12. Educational Development; Human Resources	12. **Ongoing**	12. This action remains ongoing; a new website has been designed to provide relevant information; further work on this will continue

	Researchers are made aware, through the relevant University websites, of advertised posts and the skills they are required to demonstrate.	13. The University is developing role expectations documentation to embrace the full range of academic career pathways, including researchers.	13. Human Resources	13. **Ongoing**	13. The University continues to develop the role expectations for researchers. Discussions with trade unions will resume from October 2013. The aim is to develop role expectations that are meaningful across broad areas of specialism.

C. Support and Career Development

Concordat Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
3.1	A Researcher Development Programme has been developed to offer a range of training opportunities in research related/transferable skills and specialist career advice. The Programme is linked to training provision offered for PhD students and research leaders, as a result researchers at all stages in their career are aware of the development frameworks that exist in the University. PDR provides a dialogue on short and longer-term career plan, including careers outside academia; it is also a mechanism for the identification of relevant support and	1. Monitor existing training provision to ensure it meets the needs of research staff. 2. Integrate the new Researcher Development Framework (RDF) to current development themes and existing processes.	1. Educational Development; Human Resources 2. Educational Development; Human Resources	1. **Ongoing** 2. **Achieved 2011**; work continues on this to ensure ongoing integration and review of benefit achieved	1. Ongoing action to ensure appropriate development opportunities are in place. Data collected from CROS & PIRLS 2013 will be used as required 2. All future development provision will continue to be aligned to the RDF. Bimonthly workshops on the use of the RDF will continue to run to allow researchers to engage productively with the framework. At the institutional induction, new researchers will receive a pack that

	development.			will contain information about the RDF and other relevant initiatives that are available at the University
	All development programmes offered to University Researchers are currently under review to make them compatible with the Researcher Development Framework (RDF) developed by Vitae	3. Analyse CROS 2011 for feedback on PDR	3. Human Resources	3. **Achieved 2011**	3. Data collected from CROS (and PIRLS) has been used to develop the revised PDR process
		4. Reinforce PDR through training of reviewers, to ensure that Concordat principles are discussed productively, and that reviewers are aware of available support.	4. Human Resources	4. **Ongoing**	4. A new information management system is being introduced at the University. The aim for the new system is to provide tailored support through appropriate documentation that will appear in the PDR pages. This will allow PDR reviewers to introduce relevant resources to support career planning discussions with researchers (example of resources include the role expectation documents for researchers; the University's research staff guides; the RDF resources and other relevant resources)
		5. We are currently reviewing our overall approach to mentoring on the basis of the principle that everyone should have a mentor	5. Human Resources	5. **Ongoing**	5. Mentoring for research staff remains an important area that requires further development. Through the new information management system and work that is

		as additional support			already in progress through Athena Swan Awards, mentoring initiatives will be developed further over the next two years.
		6. Strengthen links with the alumni office and promote alumni relations to benefit the researcher development programmes.	6. Educational Development	6. **Changed**	6. We are reviewing this action as the University's alumni office does not provide relevant data for staff. The new HR information system has the potential to provide us with appropriate data that can be used to track career destinations of research staff and hence inform the researcher development programme
3.2	The PDR provides a tool for the discussion of career plans and the identification of required development needs. One-to-one specialist career advice is available to all researchers with career advisers. Training sessions are organised to offer support researchers in exploring career opportunities outside academia. An accredited 'teaching for researchers' qualification has been developed offering a training opportunity to researchers to develop	7. Monitor existing training provision to ensure it meets the needs of research staff and supports them in career development across sectors.	7. Educational Development; Human Resources	7. **Ongoing**	7. Ongoing action to ensure appropriate development opportunities are in place. Data collected from CROS & PIRLS 2013 will be used as required
		8. Consideration is currently being given to how we sustain tailored careers advice post-Roberts.	8. Centre for Lifelong Learning	8. **Changed**	8. Due to funding shortage, the provision of career advice for research staff has moved away from the University's careers office. In response, new careers focused workshops are on offer by the central research staff development programme and faculties. These workshops provide support for academic and non-academic career destination

	teaching related skills. (Further information HEA, Entry on Vitae database of practice)	9. The University is developing role expectations documentation to embrace the full range of academic career pathways; built into these plans is the expectation of movement between career paths, for example researchers moving to Teaching & Research roles or to Teaching & Scholarship, as appropriate.	9. Human Resources	9. **Ongoing**	9. The University continues to develop role expectations for researchers. This is an ongoing process and appropriate changes are made so role expectations remain relevant and continue to reflect what researchers are doing in their jobs
3.3	The PDR provides a tool for the discussion of career plans and the identification of required development needs. A Researcher Development Programme has been developed offering a range of training opportunities in research related/transferable skills and specialist career advice. All research staff are emailed regularly to highlight relevant development opportunities. One to one career advice is available to all researchers with career advisers. The Research Team Leaders programme, part of the leadership development strategy in the University, supports research leaders to in the	10. Analyse data from CROS 2011 to inform University practice in supporting Research Staff. 11. The University will meet the needs and action plans of research councils as laid out in their strategy for employer engagement and the research environment	10. Concordat Implementation Group 11. PVC for Research and Knowledge Exchange	10. **Achieved 2011** 11. **Ongoing**	10. The analysis of 2011 CROS has been completed and the University is in the process of analysing data collected from the 2013 CROS survey 11. The University will continue to engage with strategic initiatives relating to funding arrangements

	development of transferrable skills in members of their teams. The University is running CROS in 2011 to capture research staff responses in career development and institutional training provision.				
3.4	See information in 3.2 and 3.3 Research Staff are encouraged to engage with career development opportunities. An annual Research Staff Conference provides information on career development across sectors, personal development, research policy and funding.	12. Communicate effectively development opportunities to Research Staff and Principal Investigators.	12. Educational Development; Human Resources	12. **Achieved 2012**	12. Various processes have been developed in order to enhance communication of development opportunities (2 Guides; redesigned website; use of social media tools). These processes will continue to be reviewed as needed
		13. Support PIs in management of research staff, realistically managing the expectations of researchers and offering career support within or outside academia.	13. Human Resources	13. **Achieved 2012**	13. Various processes have been developed in order to support PIs in managing research staff. The PI and Research Staff guide is one example of a related resource that was developed recently. Further work with PIs will continue to take place to provide appropriate support in this area.
3.5	The PDR provides a tool for the discussion of career plans and the identification of required development needs. The process is currently being redesigned to ensure that it is clear and transparent, and that it provides a context for constructive dialogue, that reviewers are aware of the institutional and national context, and that there is an effective follow-through after PDR.	14. Monitor implementation of PDR responses from research staff to inform future development plans.	14. Human Resources; Concordat Implementation Group	14. **Achieved 2012**	14. This action will continue to be reviewed each year to ensure appropriate information is collected and used as needed
		15. We are currently revising the university's approach to	15. Human	15. **Ongoing**	15. Role expectations are being developed to reflect the roles of

		remuneration, pay progression and promotion to include research staff. This approach will also include consideration of other forms of recognition and acknowledgement, including the award of prizes.	Resources		researchers. Since 2013, role evaluation is taking place to ensure that researchers are not disadvantaged in the annual review. The aim of this process is for the roles of researchers to be looked at specifically in relation to what they are expected to achieve as part of their appointment and description of their job. In addition the university has developed the 'celebrating success awards' and the 'research team leaders' programme as a process for staff to demonstrate excellence in their jobs and to continue developing their practice
		16. The development of role expectation documents for all career paths is intended to give greater clarity to staff over the requirements for promotion and progression.	16. Human Resources	16. **Ongoing**	16. See point in paragraph 3.1.4;
3.6	New Research Staff will have access to a Corporate E- induction. The corporate induction provides new starters with an institutional overview including information about the University, its history and its plans for the future. There will be information on health and safety as well as the key areas of the University that support researchers. Built into the programme is	17. Monitor the effectiveness of induction at all levels	17. Human Resources	17. **Achieved 2012**	17. Induction will continue to be monitored to ensure effectiveness
		18. Provide support to PIs to engage productively (and at an early stage) with new researchers	18. Human Resources	18. **Ongoing**	18. Continuous support will continue to be made available to PIs as required – a new research team

	guidance on the importance and process of induction locally.

Local induction initiatives are implemented, but are currently uneven in quality.

As part of new plans for probation, all new staff are required to have an initial PDR in which their development needs are assessed, and in which they are encouraged to take advantage of available opportunities.

The new Research Team Leaders programme supports research leaders in identifying the development needs of researchers in their teams. | 19. We are consulting all staff across the University to develop a Staff Charter to encapsulate required and distinctive values and behaviour. | 19. Human Resources | 19 **Achieved 2012** | leader programme has been developed to provide support to PIs. In addition, in 2012 a PI Guide was developed to provide information relating to core responsibilities and expectations for managing research staff at the University

19. The University has developed what is now known as University values and a code of ethics for all staff (previously known as staff charter). Continuous monitoring and review of this work will take place to ensure relevance with university strategic ambitions |
| 3.7 | The University is currently in the process of setting role expectations for all academic staff on all career paths; these articulate the skills that should be developed at each grade of research staff employment.

See information in 3.5 for PDR. The revised annual record of staff activity, the Portfolio of Activity, which feeds into PDR discussions, is currently being revised; these revisions will allow research staff to record a wider class of activity (including mentoring of others, and research leadership activity) and to be recognised for this. | 20. Monitor implementation through CROS, annual Staff Survey and the outputs of PDR. | 20. Human Resources; Concordat Implementation Group | 20. **Achieved 2011** | 20. This action will continue to be reviewed using information from the 2013 surveys to ensure appropriate information is collected and used as needed |

| 3.8 | Career development opportunities are available to all research staff. PDR provides the main context for the identification of development needs, but opportunities for development are shared with research staff through a number of means (e.g. the Researchers' Conference, regular internal communications).

Athena Swan (achieved bronze award, 2010): The University of Liverpool is committed to ongoing development and review to improve the position of women in terms of recruitment, retention, progression, mentoring, engagement and well being. Progress will be reviewed yearly and objectives set, this will include seeking staff opinion as to progress and key focus areas

Step up: STEP UP, has been developed for women staff members at the University of Liverpool. It aims to provide transparency of information covering the areas of career progression, appraisal, equal opportunities, networking and mentoring and work-life balance. | 21. Monitor implementation through CROS, annual Staff Survey and the outputs of PDR.

22. A review of overarching mentoring arrangements is currently in progress on the basis that mentoring should be made available to all categories of staff, including research staff. | 21. Human Resources; Concordat Implementation Group

22. Human Resources | 21. **Achieved 2011**

22. **Ongoing** | 21. This action will continue to be reviewed using information from the 2013 surveys to ensure appropriate information is collected and used as needed

22. The University has held the institutional bronze award since 2010 and is in the process of re-applying to maintain the Bronze institutional status. Athena Swan leads, working groups and networks have been established. There is a commitment that 10 schools and institutes across the university will have received Silver award by 2015. More schools and departments will work towards applying for the silver award beyond 2015. Best practice will be shared across the university to also include non-SET subjects |
| 3.9 | The annual PDR offers this opportunity. See information in 3.5.The revised portfolio of activity puts a greater emphasis on development activity and encourages self-reflection on training and skills plans. | 23. Monitor effectiveness of PDR and analyse data collected. | 23. Human Resources | 23. **Ongoing** | 23. The new PDR will continue to be monitored to review its effectiveness with staff at the University. A PDR survey takes place on an annual basis giving the opportunity to both reviewers and reviewees to give |

	As reflected in the research role expectations documents, currently under development, the University is committed to the value of CPD for all researchers at all stages of their career. The Concordat Implementation Group, to be set up from 2011/12, has been tasked to implement a minimum entitlement to training and development (including teaching experience) for all research staff.	24. Ongoing development of training provision for Research Staff –responding to PDR outcomes and management requirements.	24. Educational Development; Human Resources	24. **Ongoing**	feedback on the process 24. This action will continue to be reviewed using information from PDR and CROS/PIRLS surveys to ensure appropriate information is collected and used as needed
		25. Implement minimum entitlement to training for all research staff.	25. PVC for Research and Knowledge Exchange	25. **Ongoing**	25. The University expects researchers to continue to engage with appropriate development opportunities relating to their current role, personal and professional aspirations. Faculties in collaboration with the central development programme for research staff are developing resources to support the career development of researchers in academia and beyond. The RDF is in use and introductory workshops on the framework take place every two months.

C. Support and Career Development (continued...)

Concordat Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
4.10	The annual PDR offers an opportunity for an informed and constructive dialogue on both the nature of the staff member's contribution, and his/her career plans. See information in 3.5. All research staff are emailed regularly to highlight to them relevant development opportunities. The annual Research Staff Conference provides information on career development across sectors, personal development, research policy and funding.	1. Monitor effectiveness of PDR and analyse data collected from PDR, CROS 2011 and staff survey.	1. Human Resources; Concordat Implementation Group	1. **Achieved 2011**	1. This action will continue to be reviewed using information from the 2013 surveys to ensure appropriate information is collected and used as needed
4.11	An accredited 'teaching for researchers' qualification has been developed offering a training opportunity to researchers to develop teaching related skills. (Further information HEA, Entry on Vitae database of practice) Other accredited learning and teaching courses can be attended as CPD provision The follow through of the PDR process identifies requests for development and decisions are being made on implementation based on institutional strategic priorities and resource implications.	2. Evaluate the effectiveness of training provision in this area regularly. Seek evidence that demonstrates impact on career development of research staff	2. Educational Development	2. **Achieved 2013**	2. This action will continue to be evaluated annually to ensure appropriate information is collected and used as needed. Data collected from the 2011 and 2013 CROS surveys has fed into this evaluation.

4.12	See information in 4.11	3. Evaluate the effectiveness of training provision in this area regularly.	3. Educational Development	3. **Achieved 2013**	3. This action will continue to be evaluated annually to ensure appropriate information is collected and used as needed. The 2011 and 2013 CROS survey has fed into this evaluation.
4.13	Research staff have been actively consulted in the development of the University's Strategic Plan and in a recent Strategic review (2011). They are represented on committees in Schools and Institutes, but practice is clearly uneven here. The Concordat Implementation Group (including representation from research staff) has been tasked with the implementing and monitoring a requirement for all Schools and Researchers to have a forum for researchers, and with bringing forward other proposals for enhanced representation and integration of research staff. CROS 2011 will allow the opportunity to gain further data on the current position, and the extent to which research staff engage with institutional policies and relevant committees.	4. Implement researchers' forum in all Schools and Institutes. 5. Analyse CROS 2011 data to inform action plan.	4. PVC for Research and Knowledge Exchange; Faculties 5. Concordat Implementation Group	4. **Ongoing** 5. **Achieved 2011**	4. Researchers' forums have started to function across schools and institutes in the faculties. The Concordat Implementation Group will engage with representatives from the forums to continue receiving valuable information from each faculty relating to researcher development good practice initiatives and needs 5. Data collected from CROS (and PIRLS) has been used to inform the action plan. The 2013 data will provide valuable data for future arrangements and to continue developing appropriate resources.
4.14	The University's Research Strategy requires all researchers to develop clear short and longer-term career plans which form the basis of discussion at regular individual research planning meetings. The implementation of individual research planning is well underway	6. The revisions to PDR and Portfolio of Activity will make it easier to ensure that all staff develop research plans and undertake research planning discussions. Responsibility will lie	6. Human Resources; Faculties	6. **Achieved 2012**	6. The university will continue monitoring effectiveness of the tool and how researchers use it. A research planner and the portfolio of activity are linked to the PDR to give researchers the facility to capture and

					plan their research plans
	with Schools and Institutes, with monitoring undertaken by Human Resources. 7. We are currently reviewing the ways in which mentoring is in operation across the University, on the principle that all staff should have the opportunity for mentoring. Revised training for mentors will be developed.	7. Human Resources	7. **Ongoing**		7. See paragraph 3.1.5 and 3.8.22

D. Researchers' Responsibilities

Concordat Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
5.1	Research role profiles articulate the skills that should be developed at each grade of research staff employment. (Further information) See information in 3.5 for PDR.	1. Monitor implementation of revised PDR; analyse data.	1. Human Resources	1. **Ongoing**	1. See paragraph 4.14.7
5.2	The University's has established a number of centres of specialist expertise, focused on meeting the requirements of business, industry and public sector organisations. We also have a range of facilities and laboratories which organisations can use on a one-off or regular basis. (Business Gateway)	2. Encourage research staff to engage with entrepreneurial, knowledge exchange initiatives.	2. Business Gateway; Faculties	2. **Ongoing**	2. Researchers are given the opportunity to engage in this type of activity and relevant workshops and resources are being developed to support them. The implementation of the RDF provides the process for including this type of development opportunity in the research staff

					development programme.
	The University is currently in the final stages of developing a Knowledge Exchange (KE) Strategy which establishes the principle that all research staff should engage in KE activity. KE activity is also embedded in the University's Role Expectations documentation, currently under development. The revised Portfolio of Activity encourages all academic staff to develop plans for KE and impact; these then form the basis for discussion at individual research planning meetings and PDR.				
5.3	The University is committed to maintaining high ethical standards in the research undertaken by its staff and students. (Research Governance – Research Ethics) Research ethics feature in new staff induction, and in the Research Leaders Programme. The University offers training courses in how to publish research, which includes ethical issues. Further Information The revised Portfolio of Activity encourages all academic staff to develop plans for KE and impact; these then form the basis for discussion at individual research planning meetings and PDR.	3. Offer support and relevant training on research governance and research ethics. Review practices followed by relevant sub-committees.	3. Legal, Risk and Compliance	3. **Ongoing**	3. The implementation of the latest Concordat to support research integrity will be an essential aspect of the Group's commitment to maintain integrity in every aspect of research practice within the Institution. Research Staff had the opportunity to discuss the Concordat at the last research staff conference (May 2013) and the Group will continue to engage with existing processes that manage and coordinate research governance at the University.
5.4	Research role expectations documentation articulate the skills that should be developed at each grade of research staff employment. (Further information) The PDR process offers	4. Monitor implementation through CROS, PDR outputs, and Staff Survey.	4. Human Resources; Concordat Implementation	4. **Ongoing**	4. This action will continue to be reviewed using information from the 2013 surveys to ensure appropriate information is collected and used as

	the opportunity for discussions to take place in this area. The Researcher Programme provides relevant information to research staff in the University.		Group		needed
5.5	A range of development opportunities and support services are in place for Research staff. All these options are highly recommended and ultimately it is up to the researcher to decide whether to engage or not. The existing support is regularly reviewed and research staff are invited to offer feedback and make suggestions for improvement where necessary. The PDR process is an opportunity for a constructive dialogue with every researcher on their career and development needs. The Concordat Implementation Group has also been tasked with introducing a minimum entitlement to training and development for all research staff.	5. Continue monitoring the effectiveness of development provision for research staff.	5. Educational Development; Human Resources	5. **Ongoing**; this action will continue to be evaluated annually to ensure appropriate information is collected and used as needed. The 2011 and 2013 CROS survey has fed into this evaluation.	5. Ongoing action to ensure appropriate development opportunities are in place. Data collected from CROS & PIRLS 2013 will be used as required
5.6	All researchers are required to maintain research plans as part of their Portfolio of Activity; these form the basis of discussion at individual research planning meetings and PDR. The revised Portfolio of Activity, to be introduced from 2011/12, includes a record of all development activities undertaken as well as an opportunity to reflect on development needs in advance of PDR.	6. Implement revised Portfolio for all research staff. 7. Monitor compliance with PDR and Portfolio requirements.	6. Human Resources; Faculties 7. Human Resources	6. **Achieved 2012** 7. **Achieved 2012**	6. Ongoing review of the tool will take place. Staff are actively encouraged to use the tool to support the development of research plans and personal effectiveness 7. See paragraph 5.6.7

E. Diversity and Equality

Concordat Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
6.1	See information in 1.4 for Diversity and Equality of Opportunity policy	1. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	1. Human Resources	1. **Achieved 2013**	1. An obligatory training framework has been developed at the university to outline role specific training to meet legal requirements. The relevant resources are available online at the university's VLE and staff are expected to complete the corresponding modules. This expectation is communicated to all staff at the welcome event as part of the induction process. Within the first three months of appointment, staff have to complete an introductory module to diversity and equality, information security, data protection and health & safety. Ongoing review of the effectiveness of these modules will take place.
6.2	This is a requirement in the University, see information in 1.2

The recruitment processes are under review to ensure that at all times the University is mindful of equality and diversity. | 2. Monitor the implementation of all procedures on Diversity and Equality of Opportunity | 2. Human Resources | 2. As above | 2. See previous paragraph |
| 6.3 | The University has in place information on Health and Welfare of employees – see | 3. Monitor the implementation of all procedures on Diversity and | 3. Human | 3. As Above | 3. See previous paragraph |

	information here See also information in 3.8 (Athena Swan) Every policy in the University is impact assessed.	Equality of Opportunity 4. Ensure that new researchers are aware of these processes and are enabled to raise concerns	Resources 4. Human Resources	4. **Achieved 2012**	4. The University has developed a PI and Research Staff Guide. Relevant websites have been redesigned. Ongoing reviews will continue for information on guides and websites to remain up-to-date
6.4	The University of Liverpool recognises that staff have outside commitments and is striving to improve work-life balance. Policies in place to support this: See Family friendly initiatives The University is developing a Workload Balancing Tool, linked to the Portfolio of Activity and PDR; this will allow for a better calculation of workloads and ensure that all academic staff's workloads are within safe limits. See information in 1.2 and 6.3	5. Monitor the implementation of all procedures on Diversity and Equality of Opportunity 6. Ensure that new researchers are aware of relevant policies and processes and are enabled to raise concerns	5. Human Resources 6. Human Resources	5. **Ongoing** 6. **Achieved 2012** with development of Researcher Guide and redesign of website. Ongoing reviews will continue to remain up-to-date	5. The university will continue to monitor all plans relating to diversity and equality 6. The University has developed a PI and Research Staff Guide. Relevant websites have been redesigned. Ongoing reviews will continue for information on guides and websites to remain up-to-date
6.5	See information in 6.4	7. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	7. Human Resources	7. **Ongoing**	7. See paragraph 6.1.1
6.6	The University is compliant. Where funding from external sources does not include provision for additional costs incurred as a result of diversity and equality legislation, the University will make necessary arrangements to ensure the appropriateness of the provision required.	8. The University will test with funders whether they will meet employment obligations. If not, costs to be borne at School level.	8. Head of Research Policy; Faculties	8. **Ongoing**	8. The University continues to engage with funding bodies and faculties in relation to this issue

	See information in 6.4, family friendly initiatives.				
6.7	See information in 1.2	9. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	9. Human Resources	9. **Ongoing**	9. See paragraph 6.1.1
6.8	The University makes reasonable adjustments to meet the needs of employees. See information in 6.4. The University of Liverpool has been awarded the 'Two Ticks' disability symbol by the Jobcentre Plus for its proactive approach and positive commitment towards the employment, retention, training and career development of disabled employees. (further information)	10. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	10. Human Resources	10. **Ongoing**	10. See paragraph 6.1.1
6.9	Relevant policies and guidance are in place to ensure that adequate support and information is in place to monitor practice this area. (further information) See information in 1.4	11. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	11. Human Resources	11. **Ongoing**	11. See paragraph 6.1.1
6.10	The University is actively engaged with Athena Swan, see information in 3.8. The Physics department has become part of the Juno code of practice (More information here) Faculty-specific related support is also in place (see example here)	12. Monitor the implementation of all procedures on Diversity and Equality of Opportunity	12. Human Resources	12. **Ongoing**	12. See paragraph 6.1.1

F. Implementation and Review

Concordat Principle 7: The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.

no	Existing evidence of compliance	2011 Actions required	Institutional Lead	Progress made by 2013	2013 – 2015 proposed actions
7.1	The University is establishing a Concordat Implementation Group (see introduction to this document), to review all aspects of the University's compliance and to maintain an action plan. It also has responsibility for engaging in national developments, debates and initiatives in relation to the Concordat and the support and development of researchers	1. Concordat Implementation Group to engage in national developments	1. Concordat Implementation Group	1. **Achieved 2011**	1. Members of the Group will continue to engage with relevant national initiatives by attending/presenting at conferences or contributing working groups
7.2	N/A				
7.3	The Concordat Implementation Group will have overall responsibility for monitoring the implementation of Concordat Principles, including in the area of research grants.	2. Concordat Implementation Group to engage in national developments.	2. Concordat Implementation Group	2. **Achieved 2011**	2. Members of the Group will continue to engage with relevant national initiatives by attending/presenting at conferences or contributing working groups
7.4	Active engagement with key stakeholders' initiatives to monitor progress and adoption of effective and relevant good practice. Both the PGR skills programme and the Research Staff programme have contributed to, and shared developments with, the Vitae Database of Practice, the Vitae Conference, the	3. The Concordat Implementation Group to continue monitoring developments in sector and engage productively for the benefit of research staff	3. Concordat Implementation Group	3. **Achieved 2011**	3. Members of the Group will continue to engage with relevant national initiatives by attending/presenting at conferences or contributing working groups

	Vitae Policy Forum and the Overview Magazine				
7.5	The University is committed to the implementation of existing practice as described in previous paragraphs (3.8)

The University collects data on staff on the following equality strands – age, gender, disability, race, religion and belief, sexual orientation. We use this data to inform our Diversity and Equality action plans and it is available as management information to support all policy development.

The University will monitor staff opinions in this area through the CROS 2011.

Evidence of practice added to Vitae Database of Practice, see information in 7.4.s | 4. Monitor the implementation of all procedures on Diversity and Equality of Opportunity

5. Concordat Implementation Group to engage in national developments | 4. Human Resources

5. Concordat Implementation Group | 4. **Ongoing**

5. **Achieved 2011** | 4. See paragraph 6.1.1

5. Members of the Group will continue to engage with relevant national initiatives by attending/presenting at conferences or contributing working groups |