

## Appendix 1: Progress on Action Plan to Support the Implementation of the Concordat to Support the Career Development of Researchers: 2015-2019

Blue text in the Timescale column highlights progress on actions in the period 2017-2019

Note: A list of abbreviations is available at the bottom of the document.

A: RECRUITMENT AND SELECTION					
Principle 1: Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.					
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
A.1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	PVCR		Achieved 2017. In addition to the work already completed in relation to this clause, in August 2018, the University successfully recruited for a newly-established senior academic post, the Associate Pro-Vice Chancellor for the Research Environment and Postgraduate Research (APVC (RE&PR)) who works work closely with The Academy. The APVC (RE&PR) role is dedicated to University's researcher development agenda and wider research environment activities supporting over 900 research staff and about 2500 postgraduate researchers.	No further actions anticipated at this time
A.1.2	Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role.				
	1.2.1 Evaluate and build on our successful development of Tenure Track Fellowships (TTFs) and associated schemes to further enhance the recruitment and retention of excellent researchers.(see section 2.4 of the 2011-2017 Action Plan)	APVCsR&I	Evaluation findings and recommendations put forward for action to offer more than 50% TTFs confirmed appointments across the three faculties  Ongoing enhancement of research performance in areas where TTF and associated schemes are in operation	The drive towards TTF schemes continues to have success despite the funding conditions imposed by sponsors. The process has been expanded from the Faculty of Health and Life Sciences into the Faculty Humanities and Social Sciences. In 2017-2019, there were 31 TTFs appointed in HLS, 3 in S&E and 8 in HSS, indicating a 75% increase in TTFs across the three Faculties (compared with the 24 TTFs that were recruited during the 2015-2017 period). Within HLS, of the 77 TTFs that have been appointed since the Scheme started in 2012, 39 have been confirmed in appointment, including one as Professor; 3 as Readers; 11 as Senior Lecturers and the rest as Lecturers. 7 left the University, but the Faculty's 51% confirmation rate indicates a positive story of retention and progression.  Within S&E, in the School of Engineering, a policy has been adopted to enrol PDRAs who successfully obtain a fellowship onto a tenure track. Since 2013, a significant number of ECRs (10+SoE) and these now make up a significant proportion of the academic cohort  Regarding ongoing enhancement of research performance, since September 2017 a new prestigious TTF scheme has been introduced in HSS – <a href="#">The Derby Fellowships</a> . We have successfully appointed eight new Fellows (two in Communication and Media, two in Management School, one in Law, one in Sociology and two to interdisciplinary research themes of <a href="#">Transforming Conflict</a> and <a href="#">Slavery and Unfree Labour</a> . The cohort is part of a bespoke training programme that has been designed with The Academy.  (See Sections 2.2.6 and 2.6.4 of the 2020-2022 Action Plan)	Completed November 2019  Completed and part of core business.

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	1.2.2 Embed transparent recruitment and development practices across TTF activity and cascade best practice to broader researcher community	APVCS&I	Best practice approaches drawn from fellowship schemes embedded within organisational approaches to researcher development.	<p>The innovative TTF scheme that was piloted in HLS was featured in the <a href="#">Times Educational Supplement</a> in 2014. It has since been adopted across the Faculty and is now the standard route of recruitment for new academic staff. The scheme runs over 5 years with tightly defined expectations and a fixed maximum teaching commitment in the first three years of appointment, to provide protected time for the development of independent research capability. Financial research support is given in Years 1-3, with an expectation that fellows become successful in seeking substantive external funding. On induction a structured plan of activity is developed, a mentor is appointed and access to equipment and resources both locally and within the wider University is provided. The TTF scheme sets targets for ECRs to aim for by their end of year 3 review; so that there is transparency about what is expected for progression from TTF. Monitoring of their progress is overseen by the Head Of Department (HOD), who is best placed to allocate resources, for example by preferential allocation of pump priming funds. All TTF appointments are strategically aligned with our research strategy. The TTF pathway is helping address the widely acknowledged 'leaky pipeline' responsible for attrition rates of women in science, by not only recruiting the very best ECRs but also securing their futures.</p> <p>It is worth noting that of our 77 TTFs appointed since 2012, 43 are women (56% female), which is in line with the over representation of women at PDRA; a testament to our commitment to the equality agenda and providing confidence of a lack of bias in our recruitment process.</p> <p>In the faculty of HSS, as well as the targeted interdisciplinary appointments made through the Derby Fellowships as described in Section 1.2.1 of this report, research themes have been raising the external profile of the Faculty of Humanities and Social Sciences as evidenced by our climbing <a href="#">the research reputation rankings</a> which in turn attracts a high calibre applicants.</p> <p><b>Example of impact on research staff and illustration of good practice: HSS Faculty University of Liverpool Management School:</b> In making new appointments, the School adheres to the University's recruitment and selection procedures, which are based on the University's Diversity and Equality of Opportunity Policy. The University Recruitment Team work with the School's Subject Group Heads to prepare job advertisements, job descriptions and person specifications to ensure they attract a demographically diverse range of applicants and do not contain anything that could be discriminatory. Where talent search firms are commissioned, they are asked to compile shortlists that maintain the School's commitment to equality and diversity. Candidates are then shortlisted by members of the interview panel who have completed the University's diversity and equality and unconscious bias training. This training has to be updated every three years. The University provides diversity and equality awareness training, which is obligatory for all staff. It must be completed within six months of employment. The training covers key concepts of equality and diversity, equality characteristics, the Equality Act 2010 and the promotion of equality and positive action at the University. Unconscious bias training is offered to all staff and is mandatory for those involved in recruitment, selection, output and impact reviews, and pay and promotion decisions.</p>	Achieved as per timeline of each individual intervention from 1.2.1 within 2018-19
	1.2.3 Continuously improve the targeting, effectiveness and openness of our recruitment strategies to attract high calibre candidates regardless of background. (see sections 1.2 and 2.4 of the 2011-2017 Action Plan)	HR & Faculty/ School/ Institute leads	Increase in research base and capacity to facilitate ongoing enhancement of research performance in targeted areas in order to formulate a benchmark	<p>In CROS 2019, 30% of UoL's respondents were funded by UK Research Councils, compared with a 2019 national average of 25%, indicating ongoing institutional recruitment sourcing priorities for targeted strategies to attract high calibre candidates.</p> <p><b>Example of impact on research staff and illustration of good practice: Faculty of HSS:</b> The Archaeology Department's sustained research strengths of its long-term staff have been recognised through success in securing externally funded appointments of ECR posts such as Leverhulme Early Career Research Fellowships (currently Cartlidge, Hulme-Beaman, Kabukcu) and Marie Curie Research Fellowships (Matczak, Plomp); overall, the Department has increased its cohort of early career researchers from 9.8% (2014) to 15.8% (2019). There has also been significant investment in promising early career researchers who have contributed significantly to the flourishing research culture in the Comms and Media Department. As part of this we also recruited two Derby Fellows (Mahoney, Rossini) with 5-year research contracts that are 'tenure-track' and will lead to permanent appointments subject to satisfactory performance, with Mahoney recruited to the Screen and Film Studies cluster and Rossini to the Media, Politics and Society cluster.</p> <p><b>Example of impact on research staff and illustration of good practice: Faculty of HLS:</b> To date, Liverpool has received £6.25m from the <a href="#">Wellcome Trust Institutional Strategic Support Fund</a> (ISSF), a pot of money dedicated to enabling universities to enhance their institutional strategies for the biomedical sciences, through support of high-quality researcher recruitment, retention, career development for research and academic staff, and public engagement. ISSF funding has been used to:</p> <ul style="list-style-type: none"> <li>• Fund short-term bridging for junior post-doctoral researchers</li> <li>• Support the activities and events of postdoctoral networks</li> <li>• Provide funds for public engagement activities that fall within the remit of the Wellcome Trust</li> <li>• Support of Technology Directorate facilities</li> <li>• The University has also committed to contributing match funding for all fellowship posts, creating even more opportunities for researchers.</li> </ul> <p>Our most recent ISSF award: In October 2016, Liverpool was awarded a third Wellcome Trust ISSF award, worth £2.5 million over 5 years. Over this five year period, the Faculty will use its ISSF allocation to focus support in the following areas:</p> <ul style="list-style-type: none"> <li>• Continued support of current appointed non-clinical Tenure-track Fellows: The Faculty has developed of a Tenure-track Fellowship route to replace conventional lectureship appointments, to support academics in the early phase of their career.</li> <li>• Seed corn funding for existing and newly appointed non-clinical and clinical early career researchers: The fund, which will be administered through a competitive application process, will be open to all tenure-track fellows in the Faculty (with preference given to new fellows, without significant external funding). A similar fund has also been established to support early career clinical academic researchers. The fund will be designed to support promising projects undertaken by clinical academics in the crucial early phase of their career and give them the basis from which to be able to apply for larger awards. The fund will be administered through competitive calls throughout the five year period, and open to all junior clinical academics.</li> </ul>	Completed in August 2018 and part of core practice.

			<ul style="list-style-type: none"> <li>• Support of Veterinary Research Leave Fellowships and short term "Research Tasters" for qualified Vets: strategic investment in the recruitment, career development and support of early career researchers, clinical academics and veterinary qualified individuals. To complement this scheme, we are also supporting Research Tasters Fellowships (to allow veterinary graduates who have some experience of general practice to spend time within a research laboratory to give them experience of research which can assist with the decision of whether to undertake a PhD) and Veterinary Post-Doctoral Fellowships (directed at veterinary trained staff at the postdoctoral level to encourage them to consider research as a career path, with the aim of preparing individuals for WT intermediate clinical fellowships).</li> <li>• Short-term bridging for junior post-doctoral researchers and support of post-doc networks</li> <li>• ISSF Equality and Diversity fund: The Faculty is committed to providing an environment which recognises and values people's differences, capitalises on the strengths that those differences bring to the University and supports all staff in maximising their potential to succeed. This fund is intended to support two groups: <ul style="list-style-type: none"> <li>• Academic staff returning to work following a career break, e.g. parental leave, carer's leave, long term sickness absence, etc.</li> <li>• Female academic staff who are interested in pursuing senior academic and managerial roles</li> </ul> </li> <li>• Support for the Technology Directorate's new postdoc voucher scheme: The TD's Career Development Award (CDA) scheme enables ambitious postdocs to undertake a research project utilising TD facilities by funding access charges which would otherwise prove prohibitive. The CDA is a new scheme, which complements the established TD Voucher Scheme, which is open to all permanent academic staff across the Faculty and funds TD facilities' access charges. Not only does the CDA grant postdocs the opportunity to undertake an independent research project using TD facilities' cutting edge equipment and scientific expertise, the application process itself mirrors research grant proposal requirements and therefore provides applicants with useful experience. Pilot data arising will also support staff who are planning an externally funded Fellowship application. In October 2019, following an intensive application and assessment process, modelled closely on the process principal investigators face when applying for funding from national agencies, the first 10 awards were made to ten highly talented postdoctoral researchers. To win an award, each had to identify a project that would help establish themselves as independent researchers and, crucially, to support an application for a research fellowship, the first step on the pathway to becoming an independent researcher.</li> <li>• Support for the EMBO course: An opportunity was created for Early Career Researchers from across the Faculty to attend a local instance of the world-leading European Molecular Biology Organisation (EMBO) Laboratory management course for group leaders on the 22nd - 25th July 2019. This was an extremely high quality course for academics on the managerial and leadership aspects of being a group leader (everything from research integrity to hiring and managing conflict). The course was an intimate (16 participant) intensive 4-day course with both pre-built and customised content run by two expert trainers from EMBO. Feedback from the course was positive and we now have a cohort of networked leadership-trained ECRs developing their careers and teams across the University of Liverpool's Faculty of Health and Life Sciences. Funding for the course was provided from the Wellcome Trust Institutional Strategic Support Fund, matched by a combination of institutional training and personal research grant budgets.</li> <li>• Funding for a one year post (commencing mid-2020) to sit within the Library to focus on the implementation of DORA and ensuring the use of responsible research metrics across the Institution: We will be funding a full time fixed term (1 year) post through the ISSF who will be managed within the Library, but who will work cross Faculty. The individual will be required to undertake a comprehensive project to assess the University of Liverpool's readiness to engage with the principles of the <a href="#">Declaration on Research Assessment (DORA)</a> and the wider open research agenda with a view to creating recommendations of how to embed these principles in day-to-day practice and research assessment procedures. (See Section 5.3.1 of the 2020-2022 Action Plan)</li> <li>• Interdisciplinary and Industry fund: This fund is to promote and enable collaborations and projects with partners outside of applicants' own research areas, either with industry or with academics from a different discipline. Up to £15,000 is available per project for a period of up to 1 year. All research and academic staff are eligible, and at least one early career researcher (within 8 years of PhD being awarded) must be listed as PI or Co-I on the application. Open across the University as long as the project fits within the Wellcome remit. Applicants may apply for the following: <ul style="list-style-type: none"> <li>• Academic secondments intended to develop applicants' ideas and expertise in a different discipline, or to develop early stage collaborative projects, including transfers to another HEI</li> <li>• Industry internships to enhance understanding of each other's working practices, business models and research drivers, or to develop early stage collaborative projects</li> <li>• Novel projects involving a new industry partner or a colleague from a different academic discipline</li> </ul> </li> </ul> <p><b>Example of impact on research staff and illustration of good practice: HLS Biological Sciences:</b> Fellows are mentored throughout by senior staff and progress is formally reviewed annually by the Staff Review &amp; Development Group (below). The scheme timetable and milestones are adjusted in the event of part-time working or parental/maternity leave. Two of our current TTFs, Kate Baker and Claire Scantlebury work part-time (0.8 FTE). This approach has seen our TTFs thrive. All TTFs receive mentoring for progression to permanent positions. All independent Fellows and TTFs are part of a peer-support Fellows Network, which meets regularly to discuss development needs and commission training. To ensure that we attract the widest possible pool of applicants we have an open and transparent recruitment policy. In addition to traditional routes (University website, jobs.ac.uk, Nature) we use social media and professional networks (Daphnet, WISE, EvolDir) to advertise job vacancies. We have re-designed both our internal and external-facing website to improve information about our working environment and policies. Our job advertisements are checked by someone who has undergone unconscious bias training and we have trialled the use of Textio software, a machine learning platform, to help us write better job adverts. We monitored the effects of these changes following the release of advertisements for 4 x Tenure Track Fellowships/Lectureships (2018). Traffic to our 'Work with Us' webpage increased by 470% following release of adverts, we gained 48 new Twitter followers and received 210 applications (up from 128 applications for a comparable TTF recruitment round in 2012). 50% of the applicants said that</p>
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	1.2.4 Continue to develop themed recruitment in key areas of institutional focus. (see sections 1.2 and 1.5 of the 2011-2017 Action Plan)	HR & Faculty/ School/ Institute leads	Increase in number of research staff in areas of key institutional focus in order to formulate a benchmark	<p>In CROS 2019, 22% respondents were funded by UoL, compared with the national average of 17% institution funded researchers, indicating ongoing institutional recruitment sourcing priorities for targeted strategies to attract high calibre candidates for themed recruitment in key areas of institutional focus.</p> <p>Each of the Faculties continues to operate focused recruitment activities in areas of key institutional focus.</p> <p><b>Health and Life Sciences:</b> The faculty administers start up funds for TTFs across its research institutes to the amounts of £15k ITM; £10K IIB; £5K IGH; and £2K IPHS. <b>IIB:</b> The Institute has directed investment to strengthen key scientific areas (Cell signalling, Systems Biology and Biotechnology, Host-Microbe Interactions, Adaptation to Environmental Change). IIB's strategy of recruiting early career researchers as Tenure Track Fellows has been very successful with twelve appointments at this level. Mentoring and nurturing staff at this early career stage encourages collegiality and a personal investment that influences the growth and success of the wider Institute. The benefit of this approach is evidenced by the pace of promotion of colleagues recruited at this level between 2011 and 2016, with six out of twelve tenure track fellows already promoted to levels ranging from Senior Lecturer to Personal Chair. <b>IGH:</b> Seven TTF appointments have been made since 2017, to address research challenges identified in the IGH Strategic Plan. These include <i>antimicrobial resistance</i>, <i>Global Change and Emerging Infections</i>, and <i>Vaccines</i>. <b>ITM:</b> In the last two years, ITM have appointed two TTFs to two areas of strategic research, one to <i>cardiovascular</i> and the other to <i>cancer stem cell signalling</i> – interests in lipid metabolic enzymes as drug targets. <b>IACD:</b> Our initial TTF recruitment involved areas of Musculoskeletal Biology as IACD were building up research in that area to fit with our research strategy. All the TTFs recruited during that period have been successful and went on to be confirmed in appointment to Lecturer posts and some have since been promoted to Senior Lecturer (Aphrodite Vasilaki &amp; Katarzyna Whysall). In the last two years we have continued to recruit TTFs in Musculoskeletal Biology as this a key research area for IACD, we have appointed six TTFs in this area since October 2018, two of these (Helen Wright and Kazuhiro Yamamoto) were originally on Research Fellow contracts and were transferred to TTF contracts following a successful interview process. Following the appointment of Professor Gregory Lip, Chair in Cardiovascular Medicine, in February 2019, IACD are developing the research strategy in this area and we have recruited two TTFs (Alena Shantsila and Stephanie Harrison) to work in this area.</p> <p><b>Humanities and Social Sciences:</b> <b>Politics:</b> The positive action taken during the 2017 and 2019 recruitment rounds included advertising roles in subfields predominantly researched by women and international scholars. The success of this policy showed in 2017 through the recruitment of 6 women for the 8 advertised roles, and in 2019 when all 4 new ECRs were international (2 EU and 2 overseas). All recruitment panels include women, and if possible, ECRs. <b>History:</b> Postdoctoral researchers play an important role in the department, whether through working on large projects or pursuing their own research agenda. Postdoctoral researchers have access to training and mentoring, including access to annual PDR meetings, the pre-publication reading programme and monthly grant-writing clinics, as well as full membership of relevant research centres, clusters and reading groups. As a result of these structures, our postdocs have been supported to achieve success. Edward Roberts won a Leverhulme Trust Early Career Fellowship in order to develop a new model for the formation of a clerical hierarchy in medieval Europe in the period 875-1025, under the mentorship of Marios Costambeys. As part of his fellowship, Roberts organized a highly successful colloquium, 'Revisiting the 'Europe of Bishops': Episcopal Politics and Culture in Comparison, c.900–c.1100'. He is now a Lecturer in Early Medieval History at the University of Kent. The postdoctoral role attached to Donert's AHRC Leadership Fellowship was designed to help the holder, Ian Gwinn, develop his own career, and not simply act as RA to the PI. He carried out his own research on a theme related to the Fellowship and his own interests (the development of Women's Studies as a discipline in Britain, Germany and the Netherlands since the 1970s), the results of which will be submitted as a journal article in 2019. Dr. Gwinn was given a budget to organise his own interdisciplinary public history conference (entitled 'F*ck May 68, Fight Now: Exploring the Uses of the Past from 1968 to Today') in June 2018 at a public venue. Dr. Gwinn also carried out archival research in Germany and the Netherlands for the PI and for his own research on the project. He was appointed to a permanent position as Lecturer in Politics at Bournemouth University in October 2018. Other postdocs have gone into research management (Veale, University of Nottingham). The Faculty has established an <a href="#">HSS ECR Network</a> which incorporates new lecturers, postdoctoral researchers and PGR students. The network has coordinated a series of events on funding, policy, consultancy work and impact. The next event will focus on digital methods. We have now developed a dedicated ECR intranet website with a <a href="#">mailing list</a> [intranet link] sign up facility. There is also a new ECR network newsletter which includes funding opportunities and links to events, including those hosted by the Research Staff Association. The intranet site includes and <a href="#">Annual Research Support Showcase</a> [intranet link], incorporating colleagues from the Library, RPI and Schools. The induction Showcase is recorded and available all year on the intranet.</p>	Achieved November 2019



				<p><b>Science and Engineering:</b>  <b>Computer Science:</b> Research base has increased <b>37.5%</b> since 2014 – with <b>81%</b> of staff recruited being Early Career Researchers. This has helped to retain excellence in key, long standing research areas, such as knowledge representation, and algorithms and complexity, while also venturing in new areas such as machine learning and robotics. The Department have recruited 2 PDRAs to permanent teaching and research positions.  <b>Chemistry:</b> The number of research staff has grown by <b>26%</b> since 2014, and currently has more than <b>120 PDRAs</b>. The Department has built on investment in the Materials Innovation Factory by appointing 9 new academic staff to facilitate ongoing enhancement in Advanced Materials which is an area of key institutional focus. 5.5 of that staff recruited were Early Career Researchers.  <b>Engineering / Electrical Engineering:</b> The number of research staff working within Engineering disciplines has increased significantly, by <b>58.5%</b> since 2014 [from 58 to 92 FTE]. This has helped to facilitate a greater emphasis on cross-disciplinary collaboration, crossing the boundaries of schools and faculties, and creating a critical mass of researchers in areas with significant societal impact. Examples include including Manufacturing, Energy, Virtual Engineering and Coasts &amp; Oceans. One example of is the Virtual Engineering Centre established in 2010 and now has 18 staff, incorporating academics in Engineering, Computer Science, Mathematics, Physics and Psychology.</p> <p>(See Section 2.6.4 of 2020-2022 Action Plan)</p>	
A.1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	HR		<p>Achieved 2012. Processes have been in place since 2012 to ensure appropriate consultation between research staff and PIs is taking place. The HR website provides relevant support and information on contracts and other employment topics. HR managers engage with research staff through planned meetings and as part of the events available through the development programme for research staff. Departments continue to seek to identify alternative employment for contract researchers whose projects are ending and whose employment may, as a consequence, be at risk. Once consulted formally about the end of a project, contract research staff are automatically included on the redeployment register when there are 6 months left on their contract. The impact of this on university policy in relation to research staff, is that contract research staff are able to identify, apply for and be considered as a preferential candidate for redeployment roles which they consider match their skills set and experience.</p> <p>CROS results demonstrate that the proportion of research staff at UoL on fixed-term contracts has decreased since 2017 (73% in 2019 and 87% 2017) with a concomitant increase in open-ended contracts (24% 2019; 12% 2017) over the same period.</p> <p>Furthermore, in CROS 2019, 7.63% of UoL's respondents reported finding out about their current post via redeployment, above the national 2019 average of 3.70% indicating a positive trajectory in reducing the impact of mobility due to fixed term contracts. This resonates with CROS 2019 results indicating that 14% of UoL's respondents reported having 5 or more individual contracts of employment as a researcher with UoL, above the national 2019 average of 12%.</p>	Completed in in 2012 and updated in 2017
A.1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.	HR		<p>Achieved 2017. In keeping with the mandatory legal consultation, HR continues to maintain close contact with Faculties, unions and HE sectoral development initiatives. Further discussions have been held with the Concordat Steering Group on the practice of fixed term contracts within the University – this confirmed that existing practice should continue.</p> <p>In CROS 2019, 2.06% of UoL's respondents reported having fixed term contracts of durations longer than 5 years, indicating an increase from the 2017 figure of 1.6% and above the national 2019 average of 1.67%.</p>	Completed in in 2017
A.1.5	The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.	HR		<p>Achieved 2016. The use of HERA roles provides a framework for research staff to be promoted. Human Resources provides a process by which individual researchers can bring forward their own cases for promotion. Information regarding the Annual Promotion and Reward Reviews ('Annual Review'), including headline information, timetable, guidance and application documents is available for staff to view at: <a href="https://www.liv.ac.uk/intranet/hr/my-hr/annualreview/">https://www.liv.ac.uk/intranet/hr/my-hr/annualreview/</a> [intranet link]. The Annual Review process takes place every year and gives research staff the chance to demonstrate their success at work and apply for various types of reward and recognition for exceptional contribution to the University.</p>	Completed in 2016.
<b>B: RECOGNITION AND VALUE</b>					
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.					
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B.2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.			<p>Achieved in 2011. More recently, in parallel to the development of the 2026 Strategy, the University embarked on a transformation of its leadership model, appointing new leaders across senior levels on permanent posts, as opposed to the fixed-term posts Liverpool had operated previously. This aimed to achieve a further step change in the way the University led its core functions and in our ability to realise our full potential in relation to both research and education. The new senior team recognised that in order to deliver on the 2026 Strategy, and within that the Research &amp; Impact Strategy, we would require a renewed focus on developing our people, ensuring they had the skills, knowledge and support to realise our strategic ambitions. As such, a full review and restructure of the central development functions of the professional services was initiated. The review recommended that that these functions, including CLL and Organisational Development, be brought together and augmented to reconfigure the way Liverpool supports and enhances career development and professional practice. As a result, the Leadership, Organisational, Academic and Staff Development Academy (The Academy) was established in August 2017, with the remit to redesign, renew and enhance all centrally coordinated people-based development within the University, while working to support the many local development initiatives that embody best practice across the institution.</p>	Completed in 2011.

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B.2.2	Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.				
	2.2.1 The design of research related contracts will be reiterated to clearly outline the percentage of time available to core activities including research, personal and professional development, holiday entitlement, working hours and parental leave. (see section 2.7 of the 2011-2017 Action Plan)	HR & Faculty/ School/ Institute leads	Greater clarity and consistency in expectations and working conditions will be reported by relevant staff groups in the 2019 CROS and PIRLS surveys (see 3.5.2).	<p>The current research and academic contracts of employment have no set out hours of work or set holidays, and are designed to provide considerable benefits both to staff and the University, being based upon the principles of mutual commitment and trust. The University does not intend to modify the existing statement of terms and conditions of employment for research staff, however the following measures exist in parallel to existing terms and conditions:</p> <ul style="list-style-type: none"> <li>• Expectations on working hours, holidays and family friendly options, including work life balance provisions such as parental leave, are published and are available to all categories of staff</li> <li>• The Statement of Expectations for Research staff and PIs is published and research staff are made aware of this Statement at induction.</li> <li>• The University has recently announced that Postdocs will be allocated 10 days personal development per year, as captured in the recently <a href="#">revised Statement of Expectations</a>. Clarity regarding this allowance and all other agreed duties and responsibilities, is provided to Postdocs by HoDs and PIs during induction and via the PDR process.</li> </ul> <p><b>Example of impact on research staff and illustration of good practice: FSE Chemistry:</b> To address reliance on short-term contracts, the Department provides PDRA awards which can be used to extend contracts, enhancing PDRA's future prospects. Furthermore, to ensure that research and academic contracts can accommodate part time and flexible working practices, the Department has established a role of flexible working adviser (Kamila Zychaluk) who provides informal advice to anyone in the department on where to find detailed information, and also on how to prepare for maternity and parental leave. She is consulted by nearly every maternity case and occasionally regarding paternity rights. Anna Slater helped initiate a Parents Network for all university staff where new parents can seek help and advice. The Department follows University maternity policy, but discussions take place to ensure that detailed arrangements (such as cover, Keep-In-Touch days and contact during leave) are tailored to the circumstances and needs of the individual. The University provides up to twelve paid keep-in-touch days for staff on maternity leave. In addition to the standard University maternity pay offer, the Department has provided additional funds for PDRA's whose standard contracts did not include adequate maternity pay. The Department is committed to flexibility in helping staff to return to work after a period of maternity or adoption leave. The individuals discuss their needs with their line manager and academic staff can request a period of relief from teaching and admin duties after return to work. The numbers of people taking paternity leave are low but growing. All of these periods of leave were taken by staff on either grade 7 or 8 (2 PDRA's). Shared parental leave is available for parents. The School newsletter is used to promote these opportunities, which are also discussed in any conversations with our flexible working advisor. Any member of staff can apply for flexible working arrangements. Options include reducing the number of days, reducing working hours, working from home. Anyone with caring responsibilities can submit request to restrict their teaching timetable to allow for school pickups etc.</p> <p>(See Section 2.2.4 of the 2020-2022 Action Plan)</p>	Completed November 2019
	2.2.2 The expectations of researchers will be mapped across to ensure clarity for both researchers and research leads (see sections 2.2 and 5.2 of the 2011-2017 Action Plan)	HR & Faculty/ School/ Institute leads	WAM will reflect agreed changes and will be informed by the Statement of Expectations	<p>The development of <a href="#">Academic Portfolio Planning</a> (formerly WAM) was approved by the University Senate in July 2019. It has been re-focused so the first capture of workload modelling across the University will take place in August 2020. Workload modelling via APP will take account of work life balance, FTE and holidays as well as time allocated for personal development. In order to ensure that EDI factors are considered fully, a programme of training devised by Advance HE is currently being rolled out across the organisation. The <a href="#">APP Framework</a> [intranet link] is managed by the Strategic Change Team as part of a broader programme of works that supports the recognition and reward of research and academic staff. 2020/2021 will be the pilot year for the new APP Framework. Schools in HSS and S&amp;E will start using Framework to develop local workload models for use in the 2020/21 academic year. HLS Task and Finish Group established to develop Faculty approach in support of Project SHAPE, with implementation from March 2020. Framework will be reviewed and refined to reflect experiences of implementing workload models during the pilot year.</p> <p>In CROS 2019, UoL's respondents agreed that UoL both recognises and values the contributions that they make as a researcher to supervising/managing staff (33%, above the national average of 30%) and 63% respondents reported being satisfied with their work-life balance, compared with a national average of 66%. Reflecting on this, Actions 2.2.4, 3.6.2 &amp; 6.4.1 have been proposed in the 2020-2022 Action Plan.</p>	Achieved in line with WAM project timescales between 2017-2019.

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
B.2.3	<p>Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.</p>				
	<p>2.3.1 Pilot new approaches to career development within key institutes, in line with Athena SWAN planning, with the intention of rolling out lessons learned across the institution (see sections 2.3, 2.6 and 5.1 of the 2011-2017 Action Plan)</p>	<p>The Academy/ IIB</p>	<p>Delivery of a successful pilot week of research career development activity, including a specific focus on research managers' responsibilities.</p> <p>Lessons learned embedded within The Academy's new Development Framework for Research staff, referenced to the RDF.</p>	<p>Making an Impact Week (MAIW) took place between 11-15<sup>th</sup> June 2018, augmenting the University's engagement with the <a href="#">International Business Festival (IBF) 2018</a>. MaIW interventions were delivered by 90 external and internal colleagues who engaged staff in thinking about research impact in relation to their work – how it can be conceptualised, enriched, supported and sustained. Almost 800 registrations, comprising approximately 400 individual participants, engaged with 5 days of intensive development activity across 28 sessions. These included 1:1 surgeries, panel Q&amp;A's, facilities tours, keynotes, workshops, micro-seminars and showcases (Figure 1.1 on p.6). Communications for the Week included a <a href="#">Twitter competition</a> sponsored by the University's cultural partner, Tate Liverpool. Participants' quantitative feedback was positive; 87% indicated that respective sessions met their expectations. 82% said that respective sessions were relevant to their current needs, and an overwhelming 90% affirmed that respective sessions were useful to their future needs/career plans. Key themes arising from participants' evaluation feedback included:</p> <ul style="list-style-type: none"> <li>• Useful application of skills during and post-sessions</li> <li>• Informative session content</li> <li>• Valuable first-hand insights from academic colleagues</li> <li>• Productive value of time</li> <li>• Constructive session design that resonated with all staff groups</li> <li>• Raising the profile of research impact-based activities</li> <li>• Facilitator's knowledge and engagement with participants</li> <li>• Networking opportunities with colleagues from across the University</li> <li>• A worthwhile research staff development offering</li> </ul> <p>The Week included sessions with a specific focus on research managers' responsibilities, and a mix of external and internal speakers and facilitators engaged colleagues from the University in thinking about research impact – how it can be conceptualised, enriched, supported and sustained. Experts delivered focused sessions aimed at enhancing the skills of researchers, as they improve their personal ability to develop and communicate the impact of their work. The five key impact-related areas of developmental activities that the Week were framed around were: How to influence others for impact; Making your personal impact; Knowledge exchange and impact; Making an impact with research; Community impact and engagement. These were dovetailed with IBF themes to foster researchers to consider links between their work and the industrial strategy priorities. A comprehensive report on the activity can be read <a href="#">here</a>.</p> <p>In PIRLS 2019, 74% of UoL's respondents agreed that providing career development advice on careers outside higher education is an important activity, compared with a national average of 73%.</p> <p>The Academy offers the flagship Making an Impact Series, designed to respond to Liverpool's research staff diversity and their ability to engage with development. In 2019, it took place over 7 weeks; 150 external and internal speakers provided 58 development sessions, with over 1300 registrations from 600 individuals. The Academy partnered with colleagues from Research, Partnerships &amp; Innovation (RPI) to design and deliver <a href="#">Making an Impact 2019</a> between the 13<sup>th</sup> May – 28<sup>th</sup> June 2019. Making an Impact 2019 was designed as a series of connected development activities focused around the Industrial Strategy priorities and supporting University of Liverpool staff, in particular, the talent pipeline of Early Career Researchers, to develop their multi-disciplinary research-impact related knowledge, skills, attributes and competencies. It focused on the four of the five foundations of the Industrial Strategy:</p> <ul style="list-style-type: none"> <li>• Ideas: encouraging University of Liverpool staff to explore innovative ideas and solutions in relation to the impact of their research</li> <li>• Skills: ensuring participants develop and reflect on skills that enable their greater contribution to the impact agenda.</li> <li>• Business environment: supporting participants' ideas around IP and commercialising their research</li> <li>• Communities: enhancing the capabilities and impact of multi-disciplinary researchers who advance the communities within which they are based, and the wider UK populace</li> </ul> <p>A comprehensive report of the activity can be read <a href="#">here</a>. Based on the overwhelming success of this activity, it will run again from 1<sup>st</sup> – 19<sup>th</sup> June 2020. (See Appendix 3: Case Study).</p> <p>(See Section 3.1.4 of the 2020-2022 Action Plan)</p>	<p>Completed March 2018</p> <p>Completed June 2019</p>



Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	2.3.2 Build on existing business as usual practices as captured in the obligatory training framework and associated activity. (see sections 1.7 and 3.7 of the 2011-2017 Action Plan)	The Academy/ HR	Launch of a toolkit / resource pack for all research leaders and research staff on career progression, performance management and development opportunities that is made available on the new Academy intranet pages.  Further partnership working with key institutes to model best practice in order to formulate a benchmark development activity.	<p>In PIRLS 2019, 94% of UoL's respondents reported that they considered creating opportunities and nurturing researchers' careers an important behaviour of an excellent research leader, compared with a national average of 92%. Moreover, in In PIRLS 2019, 91% of UoL's respondents reported that they considered influencing, leading and managing researchers and groups using a range of leadership styles effectively to be an important behaviour of an excellent research leader, compared with a national average of 87%.</p> <p>Dedicated <a href="#">Researcher pages</a> have been created in The Academy website which highlight resources for research leaders and research staff around career and development opportunities, creating a positive research environment and links to the <a href="#">RSA</a> and internal and external staff resources. The pages also contain a searchable database of case studies that recognise the range of the contributions and achievements of our research staff, and the diversity of personal circumstances. Each month, an ECR is highlighted in the University's <a href="#">Research and Impact newsletter</a>, and these <a href="#">case studies</a> are added to the on The Academy's Researcher pages. There have been 1163 unique visitors to the Researcher pages between 5 November 2018 and 5 November 2019. The Academy intranet pages received 32596 hits during the same period.</p> <p>As in 2.3.1, building on the success of MaIW 2018, the Academy partnered with the Research Partnerships and Innovations Directorate to make available additional HEIF funding for researcher development activity across UoL in 2019. As the funding was derived from the HEIF industrial Strategy, its use aligned with knowledge exchange and impact, and supported priorities in the government's Industrial Strategy white paper. This focus of and partnership for additional researcher development activity at UoL also arrived at an opportune time in view of the then-ongoing review of the Concordat to Support the Career Development of Researchers. Making an Impact 2019 placed an overall increased importance on the personal and career development of researchers in relation to how crucial it is for them to be well placed to engage with the research impact agenda. Making an Impact continues to be a particularly significant initiative in the context of the University's researcher development activities, focusing on the needs of those in the earlier stages of a career.</p> <p><b>Example of impact on research staff and illustration of good practice: IGH and IIB 'Careers Outside Academia' event:</b> The event was jointly organised by IGH Postdoctoral Association and IIB Postdoctoral Society. We advertised the event widely and 135 people registered for the event, we have registered attendance of 62 (although some people may not have signed the attendance sheet). Our five speakers were all Alumni of the University: Alumni volunteering their time to come back to the University to share their experiences is a principle of the Alumni Relations department. The event began with talks from our five speakers who had each been asked to discuss what their job entailed, why they had decided to go down this career path and if they had any tips for those considering a similar career path. Speakers included:</p> <ul style="list-style-type: none"> <li>• Dr Jenna Gritzfeld - Operational Manager for the UK Experimental Arthritis Treatment Centre, Alder Hey Children's Hospital</li> <li>• Dr Gabrielle Laing - Veterinary Parliamentary Intern to the Professor Lord Trees</li> <li>• Dr Chris Lofthouse - Data analyst at KPMG</li> <li>• Dr Julie Truman - Senior Customer Solutions Manager at Qiagen</li> <li>• Dr Chris Whittaker - Senior Medical Writer, Ashfield Healthcare Communications</li> </ul> <p>This was followed by a panel question and answer session and then a networking reception where attendees had the opportunity to speak to the panel. With assistance from the IT support available from the Faculty (Anita Holt and Ethan Hearty) and CSD (Callum Flynn) we were able to organise the live streaming of the event. This was organised for off-site PDRAs in Kenya but also allowed those unable to be there on the day to participate. The event was also recorded.</p>	<p>Completed March 2019</p> <p>Completed December 2018</p>
	2.3.3 Augment the existing development offer for current and prospective senior role holders to incorporate a renewed focus on research leadership and performance management (see sections 2.3, 3.1 and 5.3 of the 2011-2017 Action Plan)	The Academy	Establishment of a process to put forward recommendations for a reiterated leadership and management development offer to core stakeholders	<p>Work to establish a rigorous process to review and refresh the University's leadership and management offer commenced in early 2018 and a phased approach was agreed and signed off by the Senior Leadership Team. Phase one of the plan focused on a detailed review of existing provision, analysis of best practice across the sector and a series of recommendations for a new Senior and Executive Leadership development offer, which would draw Research, Academic and Professional leaders into shared learning. The latter was an important element of the plan, in recognition that effective leadership within universities, while often aligned to specific activities, is always collegiate and collaborative.</p> <p>As a result of this work, a new Leadership Commitment Framework has been formally launched following extensive consultation with staff across the University. The Framework articulates the culture of leadership we aim to foster at Liverpool, as we continue to develop a positive environment for all our staff.</p> <p>(See Sections 2.3.1-2.3.4 of the 2020-2022 Action Plan)</p>	Completed August 2018
	2.3.4 Review the scope, focus and effectiveness of the existing leadership and management offer to ensure it meets current and prospective senior role holders' expectations	The Academy	Phased introduction of renewed leadership and management development offer in order to formulate a benchmark of activity (see 2.6.2)	<p>Building on the process, recommendations and Leadership Framework established within 2.3.3, Phase one of the leadership and management review saw the launch of two new initiatives:</p> <p>a) The design and launch of a new 2-day intensive Senior Leadership Induction Programme. Targeted at all new Senior Leaders, the Induction programme brings together research, academic and professional leaders to develop collaboratively as they are introduced to the culture, ways of working and processes at Liverpool. Commencing with a 1-2-1 PDP conversation, programme sessions are based around a series of discussions with academic and professional leaders, including the VC and PVCs. 19 staff attended the first iteration of the programme in October 2019.</p> <p>b) The new 'Heilbron' Executive Leadership Programme. Heilbron is designed as a talent programme, providing a mechanism for identifying, developing and retaining our very best academic, research and professional staff and creating a pipeline of future executive leaders. Commencing on the 26<sup>th</sup> January 2020, the programme's first cohort of 20 staff will be exposed to cutting edge thinking on leadership and supported in developing their practice within their specific disciplinary and professional contexts.</p>	Phase One Completed January 2019



				<p>Phase two of the review and refresh of leadership and management development is now underway. In this second phase, the focus falls on the distinct career pathways staff may choose to take and the development of talent across the university. Within this process, specific focus is being given to current and future principal investigators and to PG supervisors. Importantly, links and synergies with the <a href="#">Prosper Project</a> will be a key focus of way forward. Recommendations on phase two outputs will be forthcoming from Summer 2020.</p> <p>(See Sections 2.3.1, 3.2.4, 3.5.2 &amp; 3.10.1 of 2020-2022 Action Plan)</p>	
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
B.2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.	HR and Faculties		Achieved 2017.	Completed 2017 and part of core business.
B.2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.	HR		Achieved 2016.	Completed in 2016
B.2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.				
	2.6.1 Develop a cross-institutional Researcher Recognition Framework which maps the RDF, career and practice development from PGR through PDRA, ECR and all research related roles, while providing recognition of achievement and success (see 3.5.1).	PVC R&I/ APVC RE&PR/ APVCsR&I/ The Academy/ HR	<p>Pilot Framework, review feedback with a representative sample of researchers from across Faculties</p> <p>Establishment of a Framework, including development activities mapped against career stage, organisational processes in place to facilitate delivery (NB this is a phased activity with work commencing within 2017-18 academic year)</p>	<p>Discussion on the potential development of a Researcher Recognition Framework is ongoing with colleagues from the <a href="#">N8 PDRA working group</a> and <a href="#">Researchers 14</a>, in recognition that a collaborative, inter-institutional solution will be more impactful and more likely to gain traction with academic and research staff.</p> <p>(See Section 2.6.6 of the 2020-2022 Action Plan)</p> <p>From the perspective of ECRs, aligned work on how best to recognise, capture and mobilise researcher talent is rolled in to the <a href="#">Prosper Project</a>, which will be used to inform any future work in this space.</p> <p>(See Sections 1.2.4, 2.4.2, 3.1.1, 3.2.1-3.2.4, 3.3.1, 3.5.2, 3.6.1, 3.10.1-3.10.2, 5.5.1, 6.4.1 &amp; 7.1.1 of the 2020-2022 Action Plan)</p> <p><b>Example of impact on staff in research-related roles and illustration of good practice: Technician Commitment:</b> In response to the 2017-2019 Concordat action plan, The University of Liverpool was proud to become a signatory of the Technician Commitment in October 2018. The Technician Commitment is a university and research institution initiative, led by a steering group of sector bodies, with support from the Science Council and the Gatsby Charitable Foundation's Technicians Make It Happen campaign. The Commitment aims to ensure visibility, recognition, career development and sustainability for technicians working in higher education and research, across all disciplines.</p> <ul style="list-style-type: none"> <li>The <a href="#">Self-Assessment document</a> outlines the work done around the commitments themes thus far.</li> <li>Moving forward a <a href="#">24 Month Action Plan</a> has been produced that determines our focus for the period Oct 2018-Oct 2020.</li> </ul> <p>UoL identifies technicians in any role description that is labelled 'Technical' within our HR system. These are then broken down into sub-categories of which the majority are focussed on supporting excellent teaching and research. Our technicians are full time and part time employees working on a permanent or fixed term basis and technical roles range across research, teaching, facilities, crafts, IT and specialist roles. Through the Technician Commitment Action Plan, a series of key initiatives have now been established that are designed to recognise, value and make visible the huge impact technicians have on our research and teaching excellence. A steering group of senior leaders and a Technical Leaders' Forum of 60+ technicians meet regularly to directly shape this work and key achievements have included: the establishing of a Technical Leaders Forum; the <i>Technically Speaking</i> e-zine; Technical Showcase events in 2018 and 2019 demonstrating the huge range of expertise of our technicians; institutional support for professional registration; named 'Technician Advocates' on the SLT and formal guidance on recognising the contributions of Technicians and related staff within research outputs and publications.</p>	<p>May 2019</p> <p>July 2019</p>

				The latter is now informing a similar set of guidance to support the recognition of research staff in research outputs. In 2018, the ITM technical team won the 2018 Evans Memorial Professional Services Award, which recognises a team that has gone the extra mile to deliver outstanding service to students, colleagues and stakeholders, and excellent work that has contributed to the University's goals for 'Strategy 2026'. The team's commendation stated, "They have enthusiastically contributed to the institute Athena Swan commitment both in implementing and supporting all initiatives and given valuable contributions to committee, helping the institute to achieve a Silver award and pushing to submit an application for Gold. In addition, the ITM Technical team has been instrumental in determining the lab design of new builds which has contributed to better research collaboration for the institute both internally and externally."	
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	2.6.2 Redesign existing Research Leaders Programme to enable a joint focus on current and prospective PIs (see section 1.4 of the 2011-2017 Action Plan)	The Academy	New PI Programme and online resources launched in order to establish a benchmark for PI development activity	<p>The existing Research Team Leaders programme was continued into 2018 and initial planning of a replacement PI programme commenced. However, this work was superseded by a) the leadership &amp; management review and refresh (see 2.3.3 and 2.3.4 above) and b) the award of £3.6M from Research England to develop the <a href="#">Prosper Project</a>. A central aim of Prosper is the design of new approaches to developing PIs. As such, a dedicated member of the Academy Researcher Development Team is now tasked with working alongside the Prosper Team and OD Team (both also based in the Academy) to co-design effective PI development routes.</p> <p>In PIRLS 2019, 97% of UoL's respondents agreed that developing research staff is a very important activity in being a successful PI/research leader, compared with a national average of 95%.</p> <p>(See Sections 2.3.1, 3.2.4 and 3.10.1 of the 2020-2022 Action Plan)</p>	Ongoing
	2.6.3 Enhance researcher engagement with the University's <a href="#">mentoring</a> and coaching provision (see section 3.3 of the 2011-2017 Action Plan)	The Academy/ PIs	At least 12% of researchers engaging in mentoring and coaching activity, local schemes and opportunities supported and effective	<p>The <a href="#">University mentoring scheme</a> [intranet link] is available to all staff and to raise its profile with researchers. The University's lead on mentoring presented to the Research Staff Association at one of the lunch and learn meetings. Of the 880 research staff at Liverpool, there are 151 researchers that are registered as mentees and 66 that are registered as mentors. This indicates a 25% engagement of researchers with mentoring activity. (see section 3.5.1 of this document).</p> <p>(See 3.8.1 of the 2020-2022 Action Plan)</p>	Achieved December 2018 and part of core business.
	2.6.4 Develop a tailored version of the University's online PDR to include a list of prompts / discussion topics aimed at enhancing research performance (see 5.6.1)	HR	<p>At least 90% of research staff engaging in meaningful PDR activity in which performance issues are directly discussed</p> <p>PDR discussions are informed by the Statement of Expectations (see 5.6)</p>	<p>PDR completion for research staff in 2018 was 82.84% and in 2019 was 90.074%.</p> <p>In CROS 2019, 81% of UoL's respondents reported having participated in a staff appraisal/review during the past two years, held relatively steady from 2017 (81%), compared with a national average of 72%. In CROS 2019, of those who hadn't completed any appraisal at UoL, 49% respondents reported that it was because they had only recently been appointed (compared with a national average of 36%). 63.36% of CROS2019 respondents reported that the PDR was useful for them to highlight issues (compared with a national average of 62.98%). And 71% of CROS2019 respondents reported that the PDR process was useful for them to review their personal progress (compared with a national average of 69%).</p> <p>In PIRLS 2019, 86% of UoL's respondents agreed that appraisal/review of staff is very important in being a successful PI/research leader, compared with a national average of 82%. Furthermore, in PIRLS 2019, 90% of UoL's respondents agreed that managing research staff performance in a very important activity in being a successful PI/research leader, compared with a national average of 89%.</p> <p><b>Example of impact on research staff and illustration of good practice: HSS: Archaeology:</b> In addition to the PDR, the department's Research Committee undertakes biannual research conversations with all research staff including post-doctoral researchers. The meetings involve the researcher, Head of Department and the Research Lead. The researcher completes a Research Support Meeting form as the basis for reviewing individual publications, grant applications, impact activities, leave activity, medium term plans (3 years) and support needs. Priorities are agreed and form the basis for the next meeting. More generally, the Committee identifies opportunities for collaborative applications under major strategic research initiatives, and advises the Head of Department on the programme of research leave, issues relating to the research environment and research/teaching balance in the Department. Project proposals and grant applications are internally reviewed by members of the Departmental Research Committee and feedback given to the applicant. Larger grant applications are also reviewed by the School of Histories, Languages and Culture peer review group. There is a Faculty grant writing workshop that meets regularly as part of the ECR Network, to which staff can submit applications for discussion. For staff earlier in their career especially, these mechanisms help ensure integration within a research group and the identification of potential collaborations across the Department, School and beyond.</p> <p>PDR discussions continue to be informed by the Statement of Expectations, which is included as a hyperlink on the online PDR form. The University's Research Staff Association also holds an annual lunch and learn session on the Statement of Expectations during PDR season. The Statement is also included on the induction checklists for new managers and starters.</p> <p><b>Example of impact on research staff and illustration of good practice: HLS IPHS:</b> A process was started in 2017 to improve the quality of PDRs within IPHS. This involved 2 bespoke training sessions for PDR reviewers to better understand the purpose of the review and to benefit from sharing best practice. Annual meetings at the start of the PDR review period allow reviewers to discuss key aims and objectives for the upcoming year, focussing on areas requiring specific focus. Guidance notes for reviewers and reviewees are circulated, including signposting to the Statement of Expectations, at the start of the process to ensure all parties are fully informed prior to individual meetings. A feedback session at the end of the process allows reviewers to discuss common themes with institute leaders, enabling a 2-way conversation across the institute.</p> <p>(See Section 2.3.1 in 2020-2022 Action Plan)</p>	<p>Achieved September 2019</p> <p>Achieved October 2018</p>

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	2.6.5 Instigate a series of linked interventions aimed at increasing the engagement of ECRs in organisational processes, with the intention of increasing recognition of their role and contribution within the wider University community	PVC R&I/ APVC RE&PR/ APVCsR&I/ The Academy/ HR	Establish an expectation for PDRAs / ECRs to take part in interview panels (including at senior levels) / internal grant panels / committees and aligned decision making for a	<p>In the Faculty of HSS, ECR representation has been introduced on all key committees including Faculty Research and Impact Committee, School Research and Impact Committees and REF governance Boards and committees. Work is ongoing through these committees to ensure the ECR voice is heard and many now form part of unit of assessment reading panels.</p> <p>Some examples of good practice within the Faculty of HLS:</p> <ul style="list-style-type: none"> <li>• ECR and postdoc representation on all committees IIB, IIGH, IACD</li> <li>• ECR membership of REF committees in IGH especially REF reading panels so they get to understand a strong paper</li> <li>• ECR leadership group being developed at Faculty level with funding from the Wellcome Trust ISSF to look at training, events, policies and support for postdoc activities</li> <li>• IIB, IACD, IGH and ITM have established post-doc networks (See Section D.4.13 of this AP)</li> <li>• IGH, IACD and IIB all have Fellowship Champions who actively support fellowship developments</li> <li>• IACD – all research support budget are prioritised in the first instance to support ECRs, with professorial staff last to benefit from the fund</li> </ul> <p><b>Example of impact on research staff and illustration of good practice: HLS IGH:</b> Fostering Liverpool Infection and Global Health Talent (FLIGHT) – Our flagship FLIGHT initiative was set up in 2012 to provide a positive message about ‘aiming high’ for competitive external fellowships in a supportive and nurturing environment to help ECRs obtain their own external funding and taking an important step towards an independent research career. There are regular seminars and workshops to support staff and emphasise the importance of researchers’ responsibilities and taking ownership of their futures (<i>Concordat principle 5</i>). The culture surrounding fellowship applications and independent funding has changed dramatically: 5 non-clinical and 5 clinical female researchers have successfully obtained external fellowship funding over the past 3 years.</p> <p>In February 2018, the Academy facilitated the creation of the <a href="#">University of Liverpool Research Staff Association (UoL RSA)</a> in partnership with the UKRSA and Vitae. The Academy provides a dedicated annual budget to UoL RSA (See Appendix 3: Case Study). (see also section 3.13.1 of this report)</p> <p>Centrally, the University also offers:</p> <ul style="list-style-type: none"> <li>• an <a href="#">ECR and Returners Fund</a> [intranet link] (£70K per annum) open to those in the early stages of their career or those who have recently – within the last 18 months – returned to work after a long (3+ months) period of absence. The standard sum available for proposals led by a single applicant is £2,000. Interdisciplinary ideas and opportunities with Co-Is are encouraged. For joint <b>interdisciplinary</b> bids involving more than one named ECR/Returner (from different departments) applications up to a maximum of £5,000 are considered.</li> <li>• a <a href="#">TD Career Development Award (CDA)</a> – Pump-Priming Scheme for Postdoctoral Staff. The CDA gives postdocs who are planning a fellowship application the opportunity to undertake a small, independent research project by awarding up to £10k in funding that allows access to TD Shared Research Facilities (SRFs) as well as cover other activities associated with the project.</li> <li>• An Academy-funded <a href="#">Research Staff Association</a> which offers 6-weekly lunch and learn sessions, a summer wellbeing event and an Annual Conference (see also Section 3.13.1 of this report)</li> </ul> <p>At faculty levels, the University offers:</p> <p><b>HSS:</b> An ECR Network in HSS was launched in May 2017 and since September 2017 has developed an ECR led events portfolio. Examples include ‘Engaging with Policy-makers’ and ‘Research Methods and Methodologies’ (specifically tailored for a PGRs and ECR audience). Room space and catering is funded from the HSS core budget as well as administrative resource to organise and <a href="#">promote</a> [intranet link] these events. In addition Theme related ECR networks have also evolved including a <a href="#">Digital ECR</a> network led by Dr Zoe Alker.</p> <p><b>S&amp;E:</b> The School of Physical Sciences has a budget of £2500 per annum for postdoc development. The School also has a commitment to support the costs of activity organised by the Researcher Forum [which includes community building activities]. This varies from year to year depending on what they have planned, but the School informs me that from 2017 – present they have spent approx. £5 – 10k on forum activity. The Faculty Early Career Academic Forum also has an annual budget of £5k – to date we have not yet funded any community building activity as such, only career development activity [such as the coaching programme referred to in the template].</p> <p><b>Example of impact on research staff and illustration of good practice: FSE School of Physical Sciences:</b> Postdoctoral researchers make up one of the largest contingents of the Department’s staff. The <a href="#">School of Physical Sciences Researcher Forum</a> aims to serve and support this group with the key aims of representation within the school, providing a place to meet with other postdocs within the school (social events, discussion of issues, sharing of relevant knowledge), a platform to enable consultation with postdocs about events and issues within the school that affect researchers, such as planned building works/changes to key services, disseminating information that is relevant to postdoctoral staff, such as changes in staff/services, the existence of career development courses or progress in Athena swan applications/equality &amp; diversity issues. Established in 2015, the Chair of the Forum has a seat <i>ex officio</i> on the School’s leadership team, providing a direct route to raise researcher-related issues. The Forum meets quarterly and is co-chaired by two members of the postdoctoral staff, appointed by the postdoctoral researchers. The makeup of the forum is predominantly postdoctoral staff and research fellows. Invitations are extended to members of academic staff to attend when they have something they wish to bring to the</p>	Achieved January 2019 and now part of core practice
			Dedicated budget allocated to support PDRA / ECR community building activities		Achieved April 2018 and now part of core practice.



			<p>attention of the PDRAs, there is also an opportunity to forward documents to the co-chairs to pass on to the PDRAs at the forum. At each forum a speaker is invited, either from academia/industry, careers advisory services or from other backgrounds as requested by the PDRAs; the main aim of this is to offer postdoctoral staff support in career development. The Researcher Forum also provides a place to discuss issues, particularly to raise issues anonymously, which could then be put forward to decision making committees within the School. Additionally, to incorporate a social aspect the forum also organises 'mixer' type event following every postdoctoral forum, to enable discussions with speakers and PDRAs from other groups. Working with the Forum, the School has organised a programme of career development events. The Researcher Forum was instrumental helping the Dean of the School develop the School of Physical Sciences Postdoctoral Development Awards. The School launched the annual Post-doctoral Development Award 2019 open to every post-doctoral researcher working within the School for a maximum of £2,500 per applicant. Areas that may be covered by the award include: Pilot project to gain preliminary data to write a grant or fellowship (this may include a visit to a collaborators research group or access to facilities), Qualification/Certification (e.g. project management course or certification needed to gain a position in industry), Training in business/setting up start-up enterprises, Work experience in a field outside of academia (travel/living expenses while short internships in industry, NHS, science communication companies etc.), Visiting another research group to learn a technique to apply in their research, Attendance of conferences and workshops (to present a poster or give a talk where no other funds are available), Organisation of a small conference or a workshop in Liverpool (not for external use), Help with childcare to enable a conference attendance. Candidates should have at least 6-months remaining on their contract at the time of application.</p> <p><b>HLS:</b> Refer to Section 1.2.3 of this report with information about ISSF Funding.</p> <p>Annual Researcher Conference reinstated with a focus on sharing practice and celebrating success</p> <p>In December 2018, the RSA held its inaugural Research Staff Conference, titled "<i>Enhancing the Research Environment and Researcher Career Progression</i>". The programme comprised of a keynote session led by Pro-Vice Chancellor Professor Anthony Hollander, a showcase of ECR and Returners Fund winners and two panel sessions discussing PIs and their career paths and support networks from the UoL. The sessions sandwiched a networking lunch with stands and representatives from a number of areas, both internally from UoL and external, these included: Talk Liverpool, Research Gate, Public Engagement, Research, Partnerships &amp; Innovation Team and the Disabled Staff Network. 96 people registered for the event, of this approximately 70 people turned up to the event throughout the day. A feedback form provided by The Academy was distributed to attendees on the day; there were 24 respondents (62.5 % HLS, 20.8 % S&amp;E and 16.7 % Other –RPI and Professional Services). The feedback indicated the majority of attendees were post-docs and ECRs at 58.3 %. Building on this success, the <a href="#">2019 Research Staff Conference</a> was planned for 11<sup>th</sup> December 2019. The theme of the 2019 conference was '<i>Magical Mystery Tour</i>'. This programme included useful information especially curated for research staff. A keynote by the PVC R&amp;I outlined the landscape for researcher development at Liverpool, including the new <a href="#">Prosper Project</a>, while a Careers and Employability Officer discussed attributes that employers find valuable and identifying and articulating postdocs' and ECRS' transferable skills. Also on the programme was:</p> <ul style="list-style-type: none"> <li>• the official launch of the <a href="#">UKRSA guidelines for researchers taking maternity, paternity, adoption or parental leave and advice for institutions and employers</a>.</li> <li>• one-to-one/small group sessions designed to help postdocs and ECRs tackle CV writing, questions of open science, etc.</li> <li>• a session on '<i>The Rights and Responsibilities</i>' of research staff, including holiday entitlement and sick pay.</li> <li>• an interdisciplinary panel of ECRs who've been successful in gaining grants or scholarships</li> <li>• a varied panel of Liverpool alumni to discuss their jobs beyond academia.</li> </ul> <p>Building on this success, the 2020 Researcher Conference will take place on 16<sup>th</sup> December 2020.</p> <p>Develop 2 case studies from research staff nominated in the Staff Awards shortlist and publish to actively promote and celebrate researcher practice</p> <p>As part of the relaunch of the University's Researcher pages, The Academy has created a case study bank, which continues to be added to each month. These <a href="#">Researcher Case Studies</a> include staff nominated for staff awards, and an array of post-doctoral and ECR narratives that evidence how the University of Liverpool sustains a research culture that encourages autonomy, nurtures success and supports the exploration of different pathways for career development in research.</p> <p>50% increase in the number of research staff nominated for the 2018 Annual Staff Awards across the key categories of the ECR of the Year and Research Impact of the Year Awards</p> <p>In 2018, there were 7 nominations for Research Impact of the Year (8 nominations in 2019) and in 2018, there were 15 nominations for Early Career Researcher of the Year (18 nominations in 2019). We continue to work towards our ambitious target of a 50% increase in the research staff nominations, against the backdrop of continued organisational change and political uncertainty across the sector. While we have not yet met our original target, it is pleasing to see a positive trajectory in the numbers reported at an institutional level. Additional work will be ongoing throughout 2020 to encourage a further increase in nominations. The University continues to participate in external recognition opportunities for its researchers, with the most recent campaign being the #N8NewPioneers in January 2020, within which six of our research staff were selected (out of 10 nominations) and showcased on the <a href="#">N8 website</a> and the <a href="#">Researcher Hub</a>.</p> <p>(See Sections 2.6.4 and 3.2.2 of the 2020-2022 Action Plan)</p>	<p>Achieved in December 2018 and now part of core business.</p> <p>Achieved in September 2018 and now part of core business.</p> <p>August 2018</p>	
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C: SUPPORT AND CAREER DEVELOPMENT					
Principle 3: Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.					
Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.					
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
C.3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.	The Academy		Achieved 2017. Researcher Development continues to be a key focus for Liverpool. In August 2017, the University established the Leadership, Organisational, Professional and Academic Development Academy (The Academy) as the primary vehicle for all centrally funded and coordinated development. In addition to activity delivered through the Academy and its predecessors in OD and Educational Development, progress continues to be made in the developmental offering at local levels wherein individual Institutes and Schools continue to run bespoke researcher development programmes to enable a focus on disciplinary contexts. Research staff can also access developmental opportunities via the <a href="#">Liverpool Doctoral College programme</a> (intranet access); the 'Researcher Know How' sessions organised by the Library Research Team and the methodological development offer delivered in Social Sciences via the <a href="#">engage@liverpool network</a> . Regarding funding for individual researcher development initiatives, an illustration of impact and evidence of best practice is the University's <a href="#">Institute of Integrative Biology (IIB)'s Johnston Postdoctoral Fund</a> [intranet link]. This was established in 2016 to provide IIB's research staff up to £4,000 for career development opportunities to pursue career paths within or beyond academia.	Completed 2017 and now part of core business.
C.3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.				
	3.2.1 Develop greater awareness of the support available to researchers, at all levels, in relation to making funding and grant applications and enhancing the impact and transferability of their research (see 3.3.1) (see section 3.6 of the 2011-2017 Action Plan)	RPI/ Business Gateway/ The Academy	Successful pilot and evaluation of 'Making an Impact' development week to inform broader development offer  Effective use of HEIF grant linked to Industrial Strategy in order to formulate a benchmark for funding development activity	As indicated in Sections 2.3.1 and 2.3.2 of this report, the Academy successfully piloted Making an Impact Week, which led to the subsequent outstandingly successful Making an Impact 2019. (See Appendix 3: Case Study).  The effective use of the HEIF grant is evidenced by the mention of the Making an Impact Week in a February 2019 Research England report on <a href="#">Research England: Universities delivering the Industrial Strategy</a> . The report recognises that "Some larger, multi-disciplinary, research universities had already put in place ambitious plans to seize wider opportunities to deliver the IS, for example planning for ISCF waves and Strength in Places Fund." Making an Impact Week is mentioned as part of the "Supporting IS related events and training" on p.14  <b>Example of impact on research staff and illustration of good practice: ICURe Programme to Commercialise Research:</b> The Innovation-to-Commercialisation of University Research (ICURe) programme focuses on training early-career researchers to find the right route to commercialisation and helping them develop the necessary business skills, connections and expertise. It aligns with government's Industrial Strategy, which emphasises the importance of research, innovation and skills to develop a strong economy and ensure Britain leads the high-tech, highly-skilled industries of the future. The project provides £35k per Early Career Researcher for 3 month's salary and £20k travel costs to 'get out of the lab' and validate their technology/business idea with potential customers, with the support of the IP Commercialisation Team and a commercial mentor. ICURe is part of an £8 million expansion of the ICURe pilot programme and will allow even more commercially-promising ideas to get to market more quickly. Following the programme, ring-fenced Innovate funding is available for potential start-up companies. In February 2019, the first cohort were put through their paces this year during a University of Liverpool pitch event to a specially invited audience of investors, corporates, trainers and the media. The first cohort of the NxNW (North and North West Universities Consortium) ICURe tech start-ups from the University of Liverpool joined other leading Universities from across the North of England, Scotland and Northern Ireland to present their technologies to an audience of investors and corporates. A number of investors have already expressed their interest in having further conversations with the individual teams.  (See Section 3.1.4 of the 2020-2022 Action Plan)	Completed in June 2018  Completed in June 2018
	3.2.2 More effectively communicate the opportunities provided to work with industry and alternative partners	RPI/ Business Gateway/ APVC RE&PR/ APVCsR&I/ The Academy	Successful delivery and evaluation of development activities linked to enterprise, entrepreneurship and impact. (Effective utilisation of HSS LiNK / LDC networks)	The Faculty of HSS promotes <a href="#">LDC placements</a> [intranet link] and increasingly, the funded postdoctoral schemes such as the NPIF funded <a href="#">Transformation North West</a> industry partnered doctoral programme in design and creativity. The Faculty successfully recruited three individuals to this scheme in 2018.  <b>Example of impact on research staff and illustration of good practice: HSS University of Liverpool Management School:</b> To maximise the impact of its transformative world-leading research on business and society, the School actively engages with business, industry, public and third sector bodies in the UK and internationally through a number of channels. The School's external Advisory Board comprises members from a variety of backgrounds, experiences and sectors. They normally serve for a period of three years but may be invited to serve a second term. They offer guidance and input to the School's research programme with a particular emphasis on the needs of business and the impact of its research and they assist the school in engaging with the business community and other institutions.	Completed December 2018

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	3.2.3 Build on existing work with Alumni networks to demonstrate alternative career paths for research active staff	APVCsR&I/ APVC RE&PR	HSS Lead pilot activities with support from central PS	As part of the institutional Heritage Theme which HSS works with Alumni to run the annual Heritage Lecture, Dr Ben Cowell, Director General of Historic Houses presented in 2019 and Paul Boniface, Secretary of the National Trust will be speaking in 2020. These talks raise the profile of the types on non-academic institutions to which our ECR's can progress.	Completed in May 2019
	3.2.4 Ensure there is a clear route for PDRAs to access specific careers and employability advice (see sections 1.6, 2.6, 3.1, 3.3, 3.4 and 5.2 of the 2011-2017 Action Plan)	CSG/ APVC RE&PR/ APVCsR&I/	Establish a mechanism by which PDRAs are able to access careers and employability advice, including at a local level and via peer networks	<p>The University continues to enhance PDR processes on an annual basis and, importantly, encourage further enhancements to the quality and focus of PDR conversations for research staff. Increasingly, our focus is on embedding specific discussion of career planning and development within PDRs and ensuring that managers and research leaders feel informed and able to support their staff in this regard. While this work continues, specific next steps include:</p> <ul style="list-style-type: none"> <li>PDR Guidance is being revised to recommend that a review of careers and employability to take place each time a PDR discussion is held. (Update in Jan 2020)</li> <li>HoDs to be available to individual PDRAs as appropriate for careers and employability advice.</li> </ul> <p><b>Example of impact on research staff and illustration of good practice: S&amp;E Computer Science:</b> PDRAs are fully integrated into our research groups and environment. All PDRAs have an affiliated research group through which they interact with teaching and research staff, as well as PhD students. In addition to the standard support mechanisms given to all academic staff (personalized induction, training, annual PDR review), PDRAs are given specific support in the following ways:</p> <ul style="list-style-type: none"> <li>All PDRAs are automatically members of the School PDRA forum, which meets to discuss matters of specific relevance to PDRAs. The forum has a member of permanent T&amp;R staff designated as the academic lead who brings forth to Departmental and School leads any proposals and matters of concerns arising from PDRAs. The leads also attend PDRA forum meetings at least once per year.</li> <li>The School research support officer monitors new and upcoming funding calls relevant for PDRAs, and in particular, fellowship applications, and contacts individual for whom such calls are relevant to commence discussions about potential applications.</li> <li>Internal peer review mechanisms are established to support PDRAs with grant/fellowship applications. PDRAs have senior staff review applications and the Head of Department and School Dean meet individually with any PDRAs making fellowship applications to discuss letters of support and match funding commitments.</li> <li>PDRAs have representation on the School Athena SWAN committee and the Faculty of Science and Engineering PDRA forum to provide a wider network for them throughout the university.</li> </ul> <p>In CROS 2019, 19% of UoL's respondents reported spending 10 days or more on training and other continuing professional development activities, indicating an increase from the 2017 figure of 17% and above the national 2019 average of 14%. In PIRLS 2019, 73% of UoL's respondents considered modelling exemplary continuing professional development behaviour to inspire others as an important behaviour of an excellent research leader, compared with a national average of 80%. Recognising this, the actions 2.3.1, 2.3.2, 2.3.3, 3.2.4, 3.5.2, 3.10.1 and 5.5.1 are included in the 2020-2022 Action Plan.</p>	November 2018
	3.2.5 Put in place a specific, accredited route for PDRAs and associated roles to support teaching development leading to professional recognition against the UKPSF (see sections 4.1 and 5.4 of the 2011-2017 Action Plan)	The Academy	<p>Review of Academic Development programmes to identify most efficient and effective model of delivery</p> <p>Launch new accredited provision suitable for those engaged in research roles in order to formulate a benchmark for teaching development and recognition activity</p>	<p>In CROS 2019, 54% of UoL's respondents were aware of the UK Professional Standards Framework (UK PSF), above the national 2019 average of 43%. The Academic Development Team within the Academy undertook a review UoL's Educational Development courses and programmes in line with Curriculum 2021 objectives during 2018. The review investigate the provision of academic development opportunities of forty selected universities with the goal of making recommendations for future academic development programmes. The review of the academic development programmes highlighted the need for UoL to streamline its lines of academic development provision, particularly in relation to our accredited taught programmes.</p> <p>Through the Academy, a range of teaching development routes are open to research staff, at all levels of teaching experience. In September 2018, the AFHEA accredited <a href="#">FLTHE programme</a> was launched to provide an introductory award for those with limited teaching experience. The Programme, run multiple times a year, provides researchers and other relevant groups of staff with both formal professional recognition against the UK PSF (upon successful completion) and a network of peers with shared development goals. Since the launch of the programme, over 200 staff have either graduated, enrolled or are waiting to commence engagement with the FLTHE. Research staff can also engage with the University's HEA accredited CPD Scheme, <a href="#">ULTRA</a>, which provides a more flexible, non-taught route to professional recognition for those with appropriate backgrounds and experience.</p> <p><b>Example of impact on research staff and illustration of good practice: HLS School of Life Sciences Teaching Tinder:</b> As part of the professional development for post-doctoral Research Associates (PDRA) the School of Life Sciences offers PDRAs opportunities to strengthen their teaching skills. This includes development (via the FLTHE) and a small number of opportunities to practice teaching throughout the modules offered by the School of Life Sciences. After three successful programs during the two semesters of 2017/2018 and one semester of 2019/2020, the School just announced a new cohort with more teaching opportunities. These opportunities are for PDRAs' own experience and development, they are not paid. The project leads have reached out to all module coordinators and consequently offer PDRAs a diverse range of teaching opportunities such as tutorials for small groups of students, workshops sessions, supplementary lectures (i.e. guest lectures), seminars, assessment support, etc. The full list is available <a href="#">here</a>. PDRAs are asked to fill out the <a href="#">google form</a> to register their expression of interest, if they are interested in engaging in teaching activities as part of their professional development. This is an opportunity for them to get a few hours of teaching during one particular semester. This scheme is currently building up and rolling every semesters. There is an automatic matching between respective PDRAs' choices and the teaching opportunities depending on PDRAs' background knowledge and on their teaching interests. It is preferable if PDRAs have previously engaged with a teaching qualification, which is recognized by the Higher Education Academy; but this is not</p>	<p>Completed June 2018</p> <p>Completed in the 2018-19 academic year and now part of core practice.</p>



				<p>mandatory. All the opportunities provided include a small amount of teaching and can easily be arranged around other responsibilities; however, PDRAs are encouraged to talk to their PI and/or line manager before filling out the form.</p> <p>In CROS 2019, UoL's respondents agreed that UoL both recognises and values the contributions that they make as a researcher to teaching and lecturing (29%, compared with the national average of 37%). Recognising this, UoL has an action 3.11.1 in its 2020-2022 Action Plan.</p>	
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	3.2.6 Consider the implications of the Academic Professional Apprenticeship Standard and its potential as a dedicated route to support the development of research active staff	The Academy	Utilisation of the Academic Professional Apprenticeship (APA) Standard will be factored into the review of Academic provision in order to benchmark a developmental pathway for participants via the APA route	<p>The opportunities and challenges presented by the APA were carefully factored into the review and reaccreditation of the Academy's Academic Development Programmes in 2018. The standard was mapped into programme documentation for the new PG Certificate in Academic Practice (PGCAP), to ensure alignment and facilitate the integration of the APA standard within our provision, should the decision be made to do so. Currently, we are not planning on utilising the APA Standard, but this will be kept under review in line with our forward accreditation cycle.</p> <p>(See Section 3.11.1 of the 2020-2022 Action Plan)</p>	July 2018
C.3.3	<b>Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.</b>				
	3.3.1 Continue to enhance training and development opportunities focused on transferable skills, via partnership working across and beyond the University (see sections 1.6, 3.2, 3.6, 3.7 and 5.1 of the 2011-2017 Action Plan)	RPI/ The Academy/ APVCsR&I	<p>Further development of the HSS initiated engage@Liverpool methods training model and Advanced Quantitative Network to create a cross-institutional offer consisting of seminar series and workshops to share best practice and enhance quantitative skills</p> <p>As per 3.2.1 build on the 'Making an Impact' week of activities to provide additional development on communication and presentation skills</p> <p>Transferable skills and PDP built into The Academy Researcher Development Programme in order to establish a benchmark of activity.</p>	<p>Administration for these activities has moved to the HSS Faculty team promoting and supporting 42 events in 2017-18 and a further 36 in 2018-19 as well as methods fairs, workshops, modules conferences and symposia</p> <p><b>Example of impact on research staff and illustration of good practice: HLS IIB:</b> For bespoke training opportunities (leadership/management; communication/disseminating research) IIB has a dedicated Career Development budget of £10k pa. To date we have sponsored 5 female members of staff to attend the 'Aurora Women in Leadership Programme', paid for a female research fellow to attend the 'WISE Career Development Program for Women in STEM'. In addition to this, we were awarded £6K from the Faculty's Wellcome Trust ISSF fund to develop a Career Development Week as the centre-point of our training framework. We ran over 25 sessions open to all staff and students with key sessions delivered by externally commissioned high-quality training providers. Sessions fell into 4 cross-cutting themes identified as priority areas through staff and student focus groups:</p> <ul style="list-style-type: none"> <li>• Theme 1: Self-promotion for career progression (encompassing developing personal profiles including virtual; CV and interview preparation);</li> <li>• Theme 2: Developing professional relationships (encompassing developing networks; engaging stakeholders; working with your team; mentorship and coaching; difficult conversations and assertiveness);</li> <li>• Theme 3: Time Management;</li> <li>• Theme 4: Project Management</li> </ul> <p>Other events included CV clinics, project clinics, a well-being fair, 'teaching for postdocs' and coaching sessions targeted for those returning to work after a career break. There were 371 individual registrations (247 from female registrations and 124 male registrations). for events during the week and sessions that were deemed particularly useful in feedback is re-run at various points throughout the year to ensure all staff have the opportunity to engage.</p> <p>The Academy sought to develop a research-informed researcher development framework for the Making an Impact series, that addressed the needs of researchers. The <a href="#">Making an Impact Framework</a> was specifically designed to address post-docs' and ECRS' needs in relation to the Higher Education Industrial Strategy, knowledge exchange, supporting and developing a broad range of knowledge-based interactions between the University of Liverpool and the wider community, targeting research impact activities which result in economic and social benefit to the UK. The Framework allows researchers at every career stage to build a tailor-made programme to maximise research outputs based on their own research impact needs, ambitions and interests.</p> <p>As a result of the <a href="#">Making an Impact 2019 framework</a>, single Making an Impact 2019 sessions were mapped against multiple clusters using the framework. Depending on the core element(s) of the knowledge and skills axis that specific sessions were focused on, participants were then able to frame their engagement in relation to the impact clusters. Care was taken to be mindful not to silo areas, as researchers' work overlaps, eg: working in Technology, but also in Policy. This issue was addressed by mapping the sessions against multiple impact clusters as well as knowledge and skills axes. Making an Impact 2019 took place over 7 weeks, during which 150 external and internal speakers provided 58 development sessions, with over 1300 registrations from 600 individuals. (See Appendix 3: Case Study)</p>	<p>Completed July 2018 and part of core practice</p> <p>Completed March 2019</p> <p>Completed June 2018</p>

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	3.3.2 Collaborate with N8 Research partners to develop an ECR-driven and university supported professional and personal development network aligning with the <a href="#">University's Strategy 2026</a> (p.11) which seeks to "create meaningful partnerships for impact and markedly increase the proportion of research leading to public benefit".	The Academy	Development of a steering group to create the network and facilitate developmental opportunities.	The University has worked closely with the Director of the N8 Research Partnership to establish an N8 PDRA Working Group. The Group's membership includes developers, HR leads and Researchers from all 8 of the partners and seeks to develop new opportunities to collaborate in support of research staff. The Group has proposed three strategic projects, which build on the networking it provides to further enhance research staff development. These projects are now being considered in light of synergies with the <a href="#">Prosper Project</a> and the newly framed Concordat and will be revisited by the Group in 2020.	Completed October 2018 and part of ongoing business.
C.3.4	<b>All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.</b>	The Academy		Achieved 2019. In 2019, the University was awarded £4.4m by Research England through its first ever RED Fund award for the 'Prosper: Enhancing first-time postdoctoral career development and success' Project. 'Prosper' is a project that will develop researchers – particularly early postdoctoral talent – with the broader capabilities, attributes and mindset needed to thrive in multiple careers. Further details are available in Sections 1.2.4, 2.4.2, 3.1.1, 3.2, 3.3.1, 3.5.2, 3.6.1, 3.10, 5.5.1, 6.4.1 & 7.1.1 of the 2020-2022 Action Plan.	Completed 2019 and now part of core business.
C.3.5	<b>Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.</b>				
	3.5.1 As per 2.6.1, a comprehensive Researcher Recognition Framework will be developed, linked to development provision and the institutions' stated objectives around research excellence.	PVC R&I/ APVC RE&PR/ APVCsR&I/ The Academy	As part of the comprehensive redesign of the Researcher Development offer, at least 12% of researchers engaging accessing mentoring and coaching (see 2.6.3) to enhance career planning	As per 2.6.1, the Academy continues to monitor engagement with the mentoring network which is designed to enhance focus on career planning and development. The <a href="#">University mentoring scheme</a> [intranet link] is available to all staff and to raise its profile with researchers. The University's lead on mentoring presented to the Research Staff Association at one of the lunch and learn meetings. Of the 880 research staff at Liverpool, there are 151 researchers that are registered as mentees and 66 that are registered as mentors. This indicates a 25% engagement of researchers with mentoring activity. (See section 2.6.3 of this document)  (See 3.8.1 of the 2020-2022 Action Plan)	Completed in July 2019 and part of core practice.
	3.5.2 Continued engagement with the CROS and PIRLS surveys	RPI/ The Academy	Target 20% of relevant staff responding to the respective surveys when compared with previous years	The University participated in both CROS and PIRLS surveys. Response rates were as follows: CROS response rate: 23.91% PIRLS response rate: 25.27%  Data from both surveys have been used throughout this 8-year review documentation and continue to inform local and pan-institutional research staff development initiatives. The CROS and PIRLS results were reported to the CSG, and disseminated individually to Faculty R&I Managers for use at local levels and discussions with colleagues as appropriate. The results were largely positive and areas where increased support was highlighted (eg development opportunities for careers outside academia) have been addressed in the forward action plan through the <a href="#">Prosper Project</a> . (see Section 7.1.2 within this document)  (See Section 7.2.1 of the 2020-2022 Action Plan)	Completed March 2019.
C.3.6	<b>Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.</b>				

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	3.6.1 Introduce enhanced face to face and online induction processes for staff engaged in research roles (see 2.3.2) (see sections 1.7, 3.2, 3.7 and 6.2 of the 2011-2017 Action Plan)	The Academy/ HR	Personal development planning (PDP) and career trajectory discussed from arrival at the University – support accessed at point and time of need (see 5.6.1)	<p>Revised Induction material was launched in September 2018 and we will shortly be reviewing its impact (See Section 3.6.2 of the 2020-2022 Action Plan). This encourages an early PDR to be held with staff to discuss development needs and goals. Local checklist introduced for all PIs conducting induction with new researchers. Personal development planning (PDP) and career trajectory is discussed with all new research staff during their first PDR which scheduled within first 3 months of appointment. Since 2017, the University's <a href="#">Statement of Expectations</a> is actively signposted to both reviewers and reviewees. The Statement aims to define expectations around responsibilities of research staff and principal investigators with an emphasis on embedding professional practice. PIs are tasked with supporting the career development of researchers through a focus on development, a concern for the research environment and via the PDR as a vehicle for discussing career development, with reference to the Vitae Researcher Development Framework (RDF). Additional information, services and policies that are relevant to PDR discussions are shared through the University's Research Staff Association. These include:</p> <p><b>Guidance for PDRs</b> – the University's guidance pages provide lots of advice and tips on getting the most out of PDR discussions <a href="https://www.liverpool.ac.uk/intranet/hr/my-hr/pdr/">https://www.liverpool.ac.uk/intranet/hr/my-hr/pdr/</a> [intranet link]</p> <p><b>Promotion and reward processes</b> – <a href="https://www.liverpool.ac.uk/intranet/hr/my-hr/annualreview/academic/">https://www.liverpool.ac.uk/intranet/hr/my-hr/annualreview/academic/</a> [intranet link]</p> <p><b>Personal Development</b> - the scope of opportunities isn't limited to external or internal training courses. On the job training and input from mentors or colleagues from other parts of the University can also help. Other developmental tools and opportunities include:</p> <ul style="list-style-type: none"> <li>• Institutional Researcher Development Funds (indicated in Sections 2.6.5 and 3.13.1 of this document) which offer financial support to pursue development opportunities beyond the scope of an individual's role.</li> <li>• The University's IIB's researchers are invited to identify <a href="#">second reviewers</a> [intranet link] to support the personal development part of the PDR process</li> <li>• <a href="#">UoL Research Staff Association</a>:</li> <li>• <a href="#">UoL Staff Networks</a></li> <li>• HLS Faculty also has an active <a href="#">public engagement community</a>, and all research staff are invited to join the <a href="#">public engagement group</a> to build confidence, make new friends and improve communication skills.</li> </ul> <p><b>Liverpool's mentoring network</b> - <a href="https://www.liverpool.ac.uk/intranet/the-academy/developing/mentoring/">https://www.liverpool.ac.uk/intranet/the-academy/developing/mentoring/</a> [intranet link] offers an institutional approach to supporting staff to grow and develop in their role and beyond.</p> <p><b>As an example of good practice in soliciting feedback following a PDR meeting, in IIB</b>, reviewers are asked to remind reviewees that their feedback is welcomed and if appropriate their comments or suggestions are fed back to the Head of Department for consideration by an institutional Senior Management Team. Reviewees are also encouraged to complete the Institute's PDR feedback form: <a href="https://docs.google.com/forms/d/e/1FAIpQLSfz7cLjUIx5jgnZ2Tla8X8w3zDAN6GVTPtIPNYFO2403MfzXw/viewform">https://docs.google.com/forms/d/e/1FAIpQLSfz7cLjUIx5jgnZ2Tla8X8w3zDAN6GVTPtIPNYFO2403MfzXw/viewform</a></p> <p>A <a href="#">dedicated researcher pages</a> [intranet link] on the intranet site was launched in 2018. The University relaunched Researcher website is a part of the Leadership, Organisational, Professional &amp; Academic Development Academy which is committed to supporting the University's ambition to create a "borderless research community," in which every researcher can access high-quality development. The pages aim to make it easier for all Research Staff – from Early Career to Supervisors and Principal Investigators – to find the information they need quickly. The webpages brings together information from a variety of both University and external websites, all in one place, to help research staff in their role and career. As part of the online researcher development hub within the Academy intranet, resources supporting research staff induction have been specifically signposted. There have been 1163 unique visitors to the Researcher pages between 5 November 2018 and 5 November 2019. The Academy intranet pages received 32596 hits during the same period.</p> <p>In CROS 2019, UoL's respondents reported the usefulness of the following institutional-wide induction programme (39%, compared with a national average of 37%); departmental/faculty/unit induction programme (52%, compared with national average of 48%); local induction (60%, compared with national average of 64%). Recognising the latter, Actions 2.4.2 and 3.6.2 are included in the 2020-2022 Action Plan.</p>	Completed in September 2018
			Availability of an online researcher development hub within the Academy intranet in order to benchmark the induction of research staff across the institution		Completed in May 2018
C.3.7	<b>Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.</b>	The Academy		Achieved 2018. A review of the use of Vitae resources was conducted and a decision taken to continue with renewal for a further three years. The resources are actively promoted by The Academy and continue to be used and signposted within current training and development activities for researchers. All activities are mapped against the RDF.	Completed in 2018 and part of core business.
C.3.8	<b>Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.</b>	The Academy		Achieved 2018 (See Section 3.6 of this report)	Completed in 2018 and part of core business.



Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
C.3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.	The Academy		Achieved 2017. The Research Staff Development Task & Finish Group successfully coordinated the drafting of a 'Statement of Expectations: Principal Investigators & Research Staff', which was subsequently approved by Senate in June 2017. The statement aims to define expectations around responsibilities of research staff and principal investigators with an emphasis on embedding continuing professional development and practice.  In CROS 2019, 19% of UoL's respondents reported spending 10 days or more on training and other continuing professional development activities, indicating an increase from the 2017 figure of 17% and above the national 2019 average of 14%.  In PIRLS 2019, 17% of UoL's respondents reported spending 10 days or more on training and other continuing professional development activities, above the national 2019 average of 13%.	Completed 2017 and part of core business.
C.3.10	Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.			Achieved 2017. All research staff are supported to engage with productive annual appraisals (PDRs), within which career development in a key subject. The PDR is intended to provide an opportunity for a meaningful and substantial dialogue between an individual member of staff and their reviewer. While the PDR helps the University in its planning in a number of ways, the central focus is always the individual staff member.	Completed 2017 and part of core business.
C.3.11	Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.	The Academy		Achieved 2017. Through the Academy, a range of teaching development routes are open to research staff, at all levels of teaching experience. In September 2018, the AFHEA accredited <a href="#">FLTHE programme</a> was launched to provide an introductory award for those with limited teaching experience. The Programme, run multiple times a year, provides researchers and other relevant groups of staff with both formal professional recognition against the UK PSF (upon successful completion) and a network of peers with shared development goals. Since the launch of the programme, over 200 staff have either graduated, enrolled or are waiting to commence engagement with the FLTHE. Research staff can also engage with the University's HEA accredited CPD Scheme, <a href="#">ULTRA</a> , which provides a more flexible, non-taught route to professional recognition for those with appropriate backgrounds and experience.	Completed 2017 and part of core practice.
C.3.12	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.	The Academy		Achieved 2017. The Academy provides opportunities for researchers to develop their knowledge, skills and expertise and gain qualifications in learning and teaching in higher education. The suite of Academic Development programmes provides an overview of programmes available for enrolment, including the Foundations in Learning and Teaching in Higher Education, for those who teach and support learning at the University of Liverpool, including early career researchers, GTAs and teaching support staff; and the Postgraduate Certificate Academic Practice (PGCAP), a Level 7 qualification which can be taken as an exit award, or part of the University's PGDip/MA in Learning and Teaching in Higher Education. The overall aim of the PGCAP is to support and enhance the development of a rich and diverse learning and teaching culture at the University of Liverpool. The programme is accredited by Advance HE and enables colleagues with substantive and significant teaching responsibilities to gain a teaching qualification and recognition as a Fellow of the Higher Education Academy (FHEA).	Completed 2017 and part of core practice.
C.3.13	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.				
	3.13.1 Map researcher forums across the University and support the establishment of a pan-institutional RSA which provides a forum for shared development, policy input and representation of research staff issues and concerns. (see section 4.3 of the 2011-2017 Action Plan)	The Academy	Steering group of PDRAs supported to coordinate a pan-institutional RSA.	In February 2018, the Academy facilitated the creation of the <a href="#">University of Liverpool Research Staff Association (UoL RSA)</a> in partnership with the <a href="#">UKRSA</a> and Vitae. The University of Liverpool Research Staff Association (UoL RSA) is a research community-owned and led initiative. Upon commencement of their contracts, research staff automatically become members of the UoL RSA. The aims of the UoL RSA are to: <ul style="list-style-type: none"> <li>- represent a collective voice for research staff from all Faculties, Schools and Institutes on matters affecting researchers</li> <li>- provide a platform for communication and networking amongst research staff both within the schools, institutes and across Faculties and the wider University community.</li> <li>- coordinate central support for researcher development with that provided locally by Faculties, schools and institutes</li> <li>- facilitate a borderless community for researchers to make the most of their time at the University of Liverpool</li> </ul> In CROS 2019, UoL's respondents agreed that UoL treats them fairly as a researcher with other types of staff in relation to opportunities to participate in decision-making processes, eg: committees (41%, compared with the national average of 47%). Recognising this, initiatives have been implemented as below, and UoL has incorporated this as specific action 3.13.1 in its 2020-2022 Action Plan.  All three Faculties across the University have active local and faculty-based ECR and post-doc forums which offer structured	Completed in 2019 and part of business as usual.

			<p>support for ECRs. The HSS forum and network were only recently established, whereas the HSS and S&amp;E forums have been active for a few years</p> <p><b>Faculty of Health and Life Sciences:</b></p> <ul style="list-style-type: none"> <li>- <b>IACD ECR Network</b> (tenure track fellows, fellows, lecturers): The Institute of Ageing and Chronic disease supports an ECR network, which is open to all staff on lecturer posts. The network is of an informal nature, with meetings arranged every 6-8 weeks. The meetings are chaired in turn by the ECRs, but have no specific structure or agenda at this time. The meetings tend to last for about 1 hour, and attract 40-50 attendees. Key speakers are invited to the network meetings. Who is invited and the topics discussed arise from requests, needs and wants of the attendees, and have in the past covered: scholarly communications; industrial partnerships, grant costings, etc. ECRs are added to a mailing list as they take up post.</li> <li>- <b>IACD Post-doc Group:</b> The Institute has a post-doc network, chaired by Dr Bryan Williams, which organise monthly meetings and arrange outreach activities and career development workshops. The Institute's two departments also have their respective post-doc groups.</li> <li>- <b>IIB ECR Network</b> (tenure track fellows, fellows, lecturers): The Institute has a development programme for Tenure Track Fellows, which they are planning on expanding in 2020 (See Section 2.2.6 of the 2020-2022 Action Plan). This will in part be done through another iteration of the EMBO course (see section 1.2.3 of this document): a development opportunity for lab based researchers that was initiated by the Institute, but which has been extended to ECRs from across the Faculty. The Institute recently undertook a review of the support they provide for TTFs/ECRs, and are now working to improve based on the feedback they received. Casual mentorship between ECRs and their line managers is already in place in the Institute, and was regarded highly by ECRs.</li> <li>- <b>IIB Post-doc Society:</b> The Institute has several initiatives for post-docs, including: <a href="#">Johnston Post-Doctoral Fund</a>, where post-docs can apply for up to £4,000 for career development within or beyond academia, and a post-doc society chaired by Dr Ian Wilson, hosting regular lunchtime seminars, career development events, and social events, amongst other activities.</li> <li>- <b>IPHS Career Coaching Network:</b> A career coaching scheme is led by Helen Brooks and Shaima Hassan. The scheme supports researchers on Grades 6-8 to build a sustainable research career. Coaches attend training and receive a coaching handbook, and are then matched to coachees. Contract researchers get in touch with the scheme administrators if they feel that they can benefit from career coaching. There are guidelines for the scheme, but the coach and coachee are ultimately free to define the relationship for themselves. During 2016-17, 13 IPHS coaches (10F, 3M) were trained in two Careers Coaching Scheme sessions. Coaches range from postdoctoral researchers to a HoD. So far, 25% of research staff on fixed term contracts in IPHS have been active in the scheme. With excellent feedback from participants, IPHS continues work to increase participation. Further, there is a network for contract research staff, organised by Janette Greenhalgh. This network meets monthly for talks and events by academics from within the University. Staff can contact the organiser directly with issues relating to their post and career development.</li> <li>- <b>ITM Post-doc Network:</b> Chaired by Sarah Arrowsmith, offers career support, workshops, talks and socials.</li> <li>- <b>IGH Post-doc Association:</b> Chaired by Drs Nicola Beesley and Krishanthi Subramaniam. The association's chairs meet monthly, and attend Institute Management Team meetings. The association organises events such as grant/fellowship writing and career workshops. There is a mentoring programme (FLIGHT) for post-docs applying for tenure-track fellowships within the Institute. The FLIGHT programme involves identifying researchers applying for posts, and offers them mentorship and guidance through the process. The programme has offered mock interviews and peer-review of grant applications, as well as mentoring support. The FLIGHT programme is currently organised by Miren Iturriza-Gomara, who took ownership of it in summer 2018.</li> </ul> <p><b>Faculty of Science and Engineering:</b> The Faculty of Science and Engineering has an ECR forum which is made up of nominated representatives from the Schools. The representatives have a range of experiences, and are responsible for feeding back information to their respective School networks, as well as feeding back from their networks to the forum in order to raise issues. Representatives are communicated with through e-mail, a Twitter account and a website. They meet around every six months, and some Faculty-wide career development events have been organised in the past. The S&amp;E forum was recently reviewed, and the following changes were implemented in 2019:</p> <ul style="list-style-type: none"> <li>• Local career development initiatives were opened up more widely through the forum.</li> <li>• School representatives fed back on specific training sessions that would be useful, which are then organised by the Faculty.</li> <li>• The representatives are recognised as formal representatives for ECRs in their Schools.</li> </ul> <p>Ultimately, this forum is a way to ensure that ECRs' experiences are similar across the Faculty, regardless of School, by providing a space for sharing ideas, and for learning. The forum is chaired by Ric Williams, Faculty APVC for Research and Impact, and is organised administratively by Steph Dolben, Research and Impact Coordinator for S&amp;E, who has also been involved in organising the ECR events.</p> <p><b>Faculty of Humanities and Social Sciences:</b> The Faculty of Humanities and Social Sciences have set up a Faculty ECR Network driven by Prof Georgina Endfield (Faculty APVC for Research and Impact) and Maeva Zimmerman (Research Coordinator). The network is open to PGRs (from 1st year onwards) to mature ECRs, purposely to nurture junior researchers as a wide group where very junior researchers can learn from their older peers. As part of the ECR Network framework, a series of events have been put together, which either focus on matters relevant to ECRs, or approach general research issues/topics, but with an ECR focus. Events so far have covered: launch event which focused on the Faculty Research Themes; applying for funding; impact; and how to engage with policymakers and external partners. Further events are planned for the academic year 2019/20. Events are filmed in order to build a bank of resources, to be held on the <a href="#">HSS ECR</a></p>	
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			Dedicated annual budget provided to RSA Steering Group to support community building	<p><a href="#">Network Faculty webpages</a> [intranet link], on a page specifically developed for the network by the Faculty's R&amp;I Web Co-ordinator. Additionally, there is a Faculty ECR Working Group being set up, which will be made up of two ECR reps from each of the four Schools. Long term, they will be driving the Faculty ECR agenda, organising the events, etc. The chair will also sit as the ECR Rep on the Faculty Research and Impact Committee.</p> <p>ECRs representing the above-mentioned groups and other individual ECRs and postdocs across the University are part of the University's Research Staff Association (RSA) <a href="#">Steering Committee</a> to enable a bottom-up approach whilst also ensuring top-down reporting and cascading of relevant information from the RSA and Faculty and local levels.</p> <p>The Academy provides a dedicated annual budget to UoL RSA, which offers 6-weekly lunch and learn sessions, a Summer Wellbeing event and an Annual Conference. The UoL RSA also coordinated a very well received activities marking <a href="#">International Postdoc Appreciation Week 2019</a>. The UoL RSA has representation on the University's Concordat Steering Group and the Research and Impact Committee. The UoL RSA had a successful 22 months in operation, and continues to build on this with the activities listed on the <a href="#">website</a>. The Research Staff Association Evaluation Reports <a href="#">2018</a> and <a href="#">2019</a> captures their successes and plans moving forward. (see Appendix 3: Case Study). (see also section 2.6.5 of this report)</p> <p>(See Section 3.3.2 of the 2020-2022 Action Plan)</p> <p><b>Example of impact on research staff and illustration of good practice: HLS IIB:</b> Our Postdoctoral Society acts as a peer support network organising social events, career development workshops and weekend retreats. A representative sits on the Institute Steering Group and a report from the Society is a standing item for Academic Staff Meetings. The Society's focus groups and surveys have been instrumental in our reassessment of the way we conduct postdoc PDRs (we offer the opportunity of a second PDR with a reviewer of their choice following their PDR with their PI/line-manager); the introduction of teaching opportunities/training courses for PDRAs (below), and the establishment of the £150K <a href="#">Johnston Researcher Development Fund</a>. Every postdoctoral researcher within IIB is eligible to apply to the Johnston Fellowship for up to £4000 within any one year for innovative career development projects either inside or outside academia. There are two application rounds each year and applications are anonymous ('blind'). Assessors do not have visibility of the name, sex, research group affiliation, or nationality of the applicant. Applications are assessed by a panel of mainly ECRs and provide funding for:</p> <ul style="list-style-type: none"> <li>• Pilot projects to gain preliminary data to write a grant or fellowship (including travel and subsistence to visit a collaborator's group in UK or overseas or access to core research facilities/technologies);</li> <li>• Organization of a small conference or workshop – networking opportunities</li> <li>• Qualification/Certification courses</li> <li>• Training in business/setting up start-up enterprises</li> </ul>	Completed in 2018
	3.13.2 Gather researcher development intelligence via consultation with the RSA	The Academy	Consultation with the RSA will help inform future developments in supporting research staff in order to benchmark activity across the institution.	The RSA formed a key stakeholder group for consultations during the preparation of the Prosper bid. In 2019, the University was awarded £3.6M by from the new Research England Development Fund for the innovative £4.4M Prosper Project, the first award of its kind. ' <a href="#">Prosper: Enhancing first-time postdoctoral career development and success</a> ', will design a new model of Postdoctoral and PI development in collaboration with employers, funders and stakeholders from across HE and the wider economy. Prosper aligns with the People Strand of the UK Government's Industrial Strategy and aims to 'democratise' access to development for all Postdoctoral researchers, enabling Postdocs, irrespective of background, to maximise their opportunities to succeed across multiple career pathways within and, crucially, beyond academia. First time postdocs are key stakeholders involved in the development of the Prosper model. We define them as all those in their first-time PDRA position, or with up to 3 years (FTE) of postdoctoral research experience after PhD (to enable those on multiple shorter-term contracts to participate). This is a crucial window in which to add value and enable informed, self-reflective career choices to be made. An initial focus group with PDRA members of the RSA endorsed the importance of this time for reflection, understanding and honing of transferrable skill sets and understanding what employers outside academia are looking for. Equality of opportunity was also explored, given that PDRAs are not a homogenous group. Engagement by PDRAs with the Prosper pilot phase will require their reciprocal commitment to providing longer term data about their career progress. The mapping of PDRs' post-Prosper development will help to build up a unique dataset on which the ultimate success of Prosper can be judged (in conjunction with shorter term evaluation measures such as entry and exit interviews with stakeholders). (See Sections 1.2.4, 2.2.5, 3.5.1, 3.6.2, 3.13.1, 6.4.1 & 7.1.1 of the 2020-2022 Action Plan)	Completed January 2019 and part of core business.
C.3.14	<b>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</b>			Achieved 2017.	Completed 2017 and part of core practice.
<b>D: RESEARCHERS' RESPONSIBILITIES</b>					
<b>Principle 5: Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development and lifelong learning.</b>					
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
D.5.1	<b>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</b>	HR and Faculties		Achieved 2017. The University continues to advance support for researchers in the area of entrepreneurship and establishing partnerships with industry and businesses, as stated in the <a href="#">2026 Strategy</a> "We will expand the opportunities that we offer by building a global network of employer and study partnerships alongside support for entrepreneurship" (p.14). Examples of ongoing good practice include the <a href="#">Virtual Engineering Centre</a> - a translational research centre in Daresbury, Liverpool and London which facilitates exploitation of our expertise in augmented and virtual reality to address industry challenges. Another illustration of progress made in relation to this action is the <a href="#">University's EPSRC Impact Acceleration Account</a> [intranet link] which has provided and continues to provide funding support to deliver impact outcomes (Industrial engagement, IP and Exploitation) from EPSRC funded research.	Completed 2017 and business as usual.



Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
D.5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	The Academy		Achieved 2018. The Academy offers the annual <a href="#">Making an Impact programme of events</a> which aims to provide rich, varied and high-quality development opportunities for researchers, academics and research-related professional services staff at all stages, across all Faculties, of their career to think about research impact, how it can be conceptualised, enriched, supported and sustained and also capitalised on the University's collaborations across industry and external partners.	Completed 2018 and part of core practice.
D.5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.				
	5.3.1 Ensure that the University's Codes of Ethics in relation to research, and online integrity training via the Epigeum modules are sign-posted for all researchers. (see section 5.3 of the 2011-2017 Action Plan)	APVCSR&/ The Academy/ RSO	Continued engagement of new researchers with the Epigeum module in order to formulate a benchmark of activity in this area.	<p>The University has policies and procedures in place to ensure that research is conducted to the highest standards of ethics and integrity. The University's Research ethics policy provides a framework to ensure that all research is conducted in accordance with fundamental ethical principles. The policy is reviewed on an annual basis to ensure it meets the requirements of an evolving global research portfolio, and can be found on the University's <a href="#">Research Integrity and Research Ethics</a> webpages. The University recognises the importance of having clear policies on research ethics and research integrity available to all researchers. Policies are made available to staff through the University webpages and are referenced in staff and student handbooks. Further to this, communications on the University's research ethics and integrity processes are made through the University's announcements system. Research ethics and integrity are also standing items on the University's Faculty Research Committees and Faculty Regulatory Affairs Committees. Information about University research-related policies and procedures is disseminated at induction via departmental and course programme handbooks.</p> <p>The University's Research ethics policy was updated in October 2018, and awareness raising initiatives were undertaken to help notify researchers of the change and to help researchers understand their responsibility to conduct research which meets best practice in research ethics and research integrity. The University has purchased training modules on research integrity and ethics, which form a mandatory part of the University's induction training for all research and teaching related staff. There were 836 completions of this module between 2017-2019.</p> <p>It is recognised that appropriate training is essential to embedding integrity and ethics within the research environment. This training is supported by ad-hoc presentations, workshops, and occasional guest speakers. During the last year, the University held workshops for research ethics reviewers, staff and students working with human material, and further workshops are planned over the next few months. Completion of the research ethics training is a mandatory part of submissions for applications for research ethics review, which has correlated with improvements in the quality of research ethics applications and forms part of a wider set of initiatives to support researchers in meeting best practice in research ethics and research integrity.</p> <p>The University is also a signatory to the <a href="#">Concordat on Openness in Animal Research</a>. Signed by higher education institutions, bio-industry companies, charities and research councils, the Concordat pledges transparency and public engagement on research involving animals.</p> <p>The University regards the effective management of the data generated by research projects as an integral part of good research and innovation practice. University staff are strongly encouraged to use the <a href="#">DMP online tool</a> to which the University subscribes. During this period, Liverpool Research Data, the <a href="#">RDM service</a>, contributed to two Making an Impact series, a PGR conference and a recent RSA conference. 8 workshops/training events were held, 4 RDM and GDPR drop-in session and 4 DMP online drop-in sessions. In addition, many one-to-one consultations have also been held. Research Data Management <a href="#">events and workshops</a> continue to be held on a regular basis for research staff at all career levels.</p> <p>(See Section 5.3.2 of the 2020-2022 Action Plan)</p>	Completed October 2018
			Best practice Data Management sessions to be delivered on an ongoing basis.		Achieved January 2018, part of core practice.
	5.3.2 New ethics procedures are being rolled out across the Institution following extensive consultation across level 1 departments.	APVCSR&/ RSO	New ethics procedures to provide more local level autonomy.	During 2017-2019, a series of initiatives have been undertaken to optimise the process of research ethics review. The Chair of the University's Committee on Research Ethics and the Head of the Research Support Office consulted with Heads of Departments to seek their views on the operation of the ethics review process. From these discussions, a set of conclusions and recommendations were put forward for the further optimisation of the process. One of the significant recommendations related to the leadership of the Faculty-based research ethics committees due to ongoing issues relating to research ethics awareness and reviewer workload; and the impact this was having on the ability to meet good practice in research ethics and research integrity. While the central team continue to provide help and support, the stewardship of these committees has been delegated to Faculties, who are responsible for their satisfactory operation. An analysis of the work of the Committees over the last three academic years (2017-2019) showed hugely significant improvements in the operation of the research ethics committees within the Faculties – with an increase in the number of reviewers for each committee; a series of awareness raising and guidance initiatives undertaken; and an important improvement in the turnaround times for research ethics applications. The process of delegating leadership of the Faculty-based committees is now considered as essentially complete, and has formed part of a wider set of initiatives in place to ensure that the University's framework for research ethics supports researchers in delivering best practice in research ethics and research integrity.	Completed December 2018

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
	5.3.3 Enhance local / contextual ownership of decision making processes concerning ethics permissions and approvals	APVCsR&I/ The Academy/ RSO	Staff monitoring of completion of integrity training on a regular basis in order to formulate a benchmark for completion rates of all staff members within each academic year	<p>In 2018, the University established a team to review all aspects of the University's approach to the <a href="#">Concordat to Support Research Integrity</a>, which includes research ethics and other governance processes. The team conducted interviews with Deans of Schools and Institutes and other staff members with experience of research integrity; while benchmarking visits were made to other universities. The team produced a set of conclusions and recommendations on how the University's research integrity framework may be further optimised. The University has an online Epigeum training programme on research integrity. It was recommended that further training opportunities are provided by Schools and Institutes to ensure that experienced researchers receive appropriate training in research integrity. Enhanced training in research integrity, with a specific onus on local efforts to drive research integrity will be important in supplementing the existing training and research integrity initiatives; and in ensuring that researchers recognise their responsibility to conduct and disseminate research results in an honest and ethical manner. The research integrity team continue to work with the Pro-Vice-Chancellors and the School &amp; Institute Deans to deliver the recommendations which aim to ensure that research is carried out to the highest standards of research integrity.</p> <p>In CROS 2019, 51% of UoL's respondents were aware of the Concordat to Support Research Integrity, above the national 2019 average of 37%. As such, an action 5.3.2 is included in the 2020-2022 Action Plan.</p>	Achieved October 2018 and part of business as usual.
	5.3.4 Continued development towards best practice of data management for all researchers (see section 5.3 of the 2011-2017 Action Plan)	Research Data Manager	Establishment of a process for data management best practice to be embedded within institutional norms.	Research data management cuts across all areas of research and research support, with widely varying levels of current engagement, and bringing all the stakeholders together and agreeing policy has proven very difficult. Instead our focus over this time period has been in building awareness of the importance of robust research data management planning, to lay the groundwork for securing greater buy-in to the concepts. We are now collaborating with Research Support Office to have the DMPOnline data management planning tool highlighted as an integral part of the process of putting together grant bids.	Achieved December 2018 and part of business as usual.
	5.3.5 Continued University commitment to Open Access with increased financial support planned for the library to support OA	Research Support Lead/ Scholarly Communications Librarian	<p>Secure an increase in funding for APCs from University.</p> <p>Increase of 15% in the number of full text items available from the repository</p>	<p>An annual increase in the institutional open access fund from £300,000 to £400,000 was secured during the period 2018-2019. Note this institutional money is additional to the external grants we receive from the Research Councils and the Charity Open Access Fund. All funds are open to all researchers on a first come first served basis, regardless of career stage, discipline, or identity of journal.</p> <p>The last full calendar year before the introduction of the plan (2016) saw 3,786 full text items uploaded to our repository, while the last full year within the planned period (2018) saw 5,178 full text items uploaded, an increase of 36.7%. We are confident that we will now see year-on-year increments as our processes for making items openly accessible have become well established amongst our research staff.</p> <p><b>Example of impact on research staff and illustration of good practice: S&amp;E School of Environmental Sciences:</b> The Adaptation and Resilience of Coastal Energy Supply (ARCoES) project aims to identify the challenges facing the future security of the UK nuclear energy sector and coastal energy supply in the Northwest region as a result of a changing climate. This cross-disciplinary working and research involves partners and stakeholders from academia, the energy and engineering sectors, planners and coastal managers, interest groups, the third sector and community networks. As part of its outputs, ARCoES has developed the Open Access <a href="#">Decision Support Tool (DST)</a> which consists of a Mapviewer to illustrate the potential flood risks for populated coastal lowlands arising from future sea-level rise and storms. In addition, it includes animations and allows download access to the model output Data used to generate the maps. Researchers across all career stages are able to use the tool to model their data sets without any cost.</p> <p>(See Section 5.3.1 of the 2020-2022 Action Plan)</p>	<p>Completed April 2018</p> <p>Achieved December 2018</p>
D.5.4	<b>Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.</b>	The Academy		Achieved 2017. A range of development opportunities and support services are in place for Research staff. These opportunities include sessions delivered by external speakers from both within and outside academia. 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. More recently, the University's <a href="#">Research Staff Association</a> has organised the <a href="#">2019 Research Staff Conference</a> with a focus on enabling researchers to take control of their careers. Sessions include a keynote on attributes that employers find valuable and identifying and articulating researchers' transferable skills; as well as short talks from those that have chosen to explore careers outside academia, followed by a panel discussion.	Completed 2017 and part of core practice.
D.5.5	<b>Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.</b>	The Academy		Achieved 2017. The University's Statement of Expectations for Research Staff and Principal Investigators aims to define expectations around responsibilities of research staff and PIs with an emphasis on embedding professional practice. PIs are tasked with supporting the career development of researchers through a focus on development, a concern for the research environment and via the PDR as a vehicle for discussing career development, with reference to the Vitae Researcher Development Framework (RDF). In 2019, the University issued a <a href="#">revised Statement of Expectations</a> , setting out to identify working practices and clear responsibilities, vital for researchers' career development. The statement covers the areas of: Leadership and Communication; Skills Training; Research Environment; and Career Development. PIs are notably, they are tasked with encouraging and supporting research staff to undertake professional development beyond the needs of the primary project. The expectation is that they will allocate a minimum 10 days pro rata, per year, for their researchers to engage with professional development opportunities, supporting researchers to balance the delivery of their research and their own professional development, recognising that researchers will pursue careers across a wide range of employment sectors. Researchers are similarly tasked with taking ownership of their career development by making the most of the support and opportunities the University makes available. Notably, they are expected to develop a plan for a career pathway, with support from the PI and using specialist University skills, advice and training. The expectation is that they will 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. The Statement of Expectations presents a bold declaration of intent regarding our institutional commitment to supporting researchers. (See Section 2.2.1 of the 2020-2022 Action Plan)	Completed 2017 and updated in 2019

Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
D.5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.				
	5.6.1 Build PDP support and resources across the researcher development offer and ensure that PDR works to formally enable researchers to discuss their career development with reference to Vitae's RDF (see 2.6.4) (see sections 2.2, 2.6, 3.2 and 5.2 of the 2011-2017 Action Plan)	HR/The Academy	PDP features in induction activities and within the new Researcher Development Programme (see 3.6.1)  PDRAs' PDRs are informed by the Statement of Expectations (see 2.6.4)	In CROS 2019, 70% of UoL's respondents reported that the PDR was useful for them to review their personal progress (compared with 66% in 2017), and a national average of 69%. Furthermore, in CROS 2019, 64% of UoL's respondents were aware of the Vitae Researcher Development Framework (RDF), above the national 2019 average of 47%. In CROS 2019, 13% of UoL's respondents reported using the Vitae RDF to support their CPD (compared with a national average of 11%).  A revised Induction framework was launched in September 2018 that encourages an early PDR to be held with staff to discuss development needs and goals. A local checklist was introduced for all PIs conducting induction with new researchers. Personal development planning (PDP) and career trajectory is discussed with all new research staff during their first PDR, scheduled within first 3 months of appointment. PDR completion for research staff stood at 82.8% in 2018 and increased in 2019 to 90.1%. Since 2017, the University's <a href="#">Statement of Expectations</a> is actively signposted to both reviewers and reviewees through this process. Moreover, in addition to the success measures reported in Section 3.6.1 of this report, all Researcher Development activities led by the Academy are mapped against Vitae's Researcher Development Framework (RDF). The RDF also now sits within PDRs to inform discussions.  All research staff have an induction PDR within the first three months of joining to address their individual PDP for the forthcoming 12 months. All PDRs are informed by the Statement of Expectations which has recently been revised to explicitly address the requirement for 10 day personal development planning.  (See Sections 3.6.1, 3.8.1, 3.10.2 & 5.6.1 of the 2020-2022 Action Plan).  <b>Example of impact on research staff and illustration of good practice: RSA Lunch and Learn:</b> To raise awareness among PDRAs and ECRs, in October 2019, the UoL RSA invited Katie Wheat is Head of Higher Education Engagement at Vitae, to speak about the recently-launched revised Researcher Development Concordat. Katie's talk covered the history of The Concordat and looking at the new Concordat she discussed the stakeholders (institutions, funders, managers of researchers and researchers themselves and what each stakeholder might be expected to do in relation to the three principles of The Concordat: (i) environment and culture, (ii) employment and (iii) professional and career development. The slides and stream capture are available on the <a href="#">RSA intranet</a> [intranet link] the 42 participants included a range of researchers and two supervisors/Pis as well as professional service staff. There was some scepticism about whether Funders and Institutions would abide by the principles of The Concordat, however, Katie explained the measures in place to ensure that this cultural change is implemented across all stakeholder groups. Those that attended the lunch and learn seminar were encouraged to act as ambassadors to discuss The Concordat in their respective departments and Schools.	Completed September 2018  Achieved November 2019.
<b>E: DIVERSITY AND EQUALITY</b> Principle 6: Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers					
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
E.6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of under-representation or lack of progression.				
	6.1.1 Work to ensure that best practice in relation to all aspects of equality and diversity is embedded within the researcher experience, from recruitment through to the working environment and that researchers and PIs are aware of their rights and responsibilities (see sections 2.2, 2.7, 3.5, 5.2, 6.1, 6.2, 6.3, 6.4 and 6.5 of the 2011-2017 Action Plan)	Research Leads/ Concordat Steering Group/ Schools & Institutes	Efficient mechanisms for sharing effective E&D practice between Schools and Institutes are in place, fostering greater collaboration and raising the profile of expected ways of working.	In CROS 2019, 82% of UoL's respondents agreed that they believe UoL is strongly committed to equality and diversity, in line with the national average of 82%.  The Athena SWAN Steering Group provides an opportunity to share gender based good practice between the academic schools and institutes. The Diversity and Equality events organised by the schools are regularly promoted to other schools, e.g. Physical Sciences equality lectures (2019), Annual EDWINA lecture in IACD. All members of staff are required to complete Mandatory Diversity and Equality Training as part of their induction process, and to renew this training every 3 years. This is an online training module. The University also offers Unconscious Bias training as a face to face and an online course which has been made available to all staff. As of November 2019, 84.4% of academic staff have completed Diversity and Equality training (including new appointments). 3.7% of research staff engaged with unconscious bias training. (NOTE: This data does not include any D&E related training delivered by or organised at local levels)	Achieved July 2019



			<p>E&amp;D embedded as a key feature at each stage of the researcher and PI development process, from induction onwards in order to formulate benchmarks for activity in this area (see 2.6.2 and 3.6.1)</p>	<p>(See Section 1.2.3 of the 2020-2022 Action Plan)</p> <p>In 2018/19, the University launched LinkedIn Learning which includes over 30 equality related online development resources, including modules on:</p> <ul style="list-style-type: none"> <li>• Bystander training: From Bystander to Upstander</li> <li>• Confronting Bias: Thriving across our differences</li> <li>• Cultural Awareness &amp; Cultural Communication</li> <li>• Becoming a Male Ally at work</li> <li>• Leadership Strategies for Women</li> <li>• Leading Inclusive Teams</li> <li>• Managing Diverse Teams</li> </ul> <p>We continue to monitor engagement with the University's full suite of equality and diversity courses and carry out further promotion. Additional face-to-face training offered at the University includes:</p> <ul style="list-style-type: none"> <li>• Unconscious Bias Training</li> <li>• Equality Impact Assessment Training</li> <li>• Bullying &amp; Harassment Workshop</li> <li>• Mental Health First Aid Training</li> </ul> <p>Constraints of current systems do not permit central reporting, as these face-to-face sessions are administered and offered at local levels.</p> <p><b>Example of impact on research staff and illustration of good practice: HLS IGH:</b> As an example of ongoing best practice, the IGH uses <a href="#">maternity pre-check forms</a> [intranet link]. These forms are specifically designed to highlight well in advance of the leave commencing if IGH needs to pick up the maternity pay because the funder will not, or that the funder will cover the maternity pay, but not a replacement and the PI is asking IGH to fund a replacement to ensure the project remains on track. This has generally been for Postdocs on research grants. IGH have also had examples where both the maternity pay and a replacement for core professional services staff have been funded due to operational needs eg. core technicians and our Science Communications Officer.</p> <p>A review of Induction was conducted in 2018, providing additional clarity and guidance at both an organisational and local level for managers and new starters, including in terms of the mandated and recommended development of EDI. These new processes are now embedded but continue to be enhanced on an iterative basis.</p> <p>As noted in Sections 2.3.4 &amp; 2.6.2 of this document, we continue to focus on the most effective mechanisms for developing PIs to ensure that they are able to effectively support their research staff. The processes and development opportunities under review and being developed as part of the <a href="#">Prosper Project</a> have a concern for EDI issues at their core. Similarly, ongoing work to enhance the PDR process will be designed in light of best practice in terms of EDI support and guidance.</p> <p>(See Sections 2.3.2, 2.3.3, 3.6.2, 3.10.1 &amp; 6.4.1 of the 2020-2022 Action Plan)</p> <p><b>Example of impact on research staff and illustration of good practice: HLS IIB:</b></p> <p>In conjunction with the general University induction, following the appointment of new staff members, the IIB Operations Support team has developed a bespoke <a href="#">IIB research staff induction</a> [intranet link] online hub (intranet link) which contains associated new starter information. To complement this, this new staff are also sent the <a href="#">Institute of Integrative Biology Research Staff Information Booklet</a> [intranet link]. Line Managers are responsible for ensuring new employees are provided with the following:</p> <ul style="list-style-type: none"> <li>- Details of their team's working customs/practices, to include: flexible working arrangements (working at home or outside normal working hours); expected values and behaviours;</li> <li>- Details of a designated individual within the team to contact for advice and support;</li> <li>- Both the line manager and the new member of staff must also complete a number of other requirements as stated in the <a href="#">Institute's Induction Checklist</a> [intranet link]</li> <li>- The identification of a personal mentor, separate to an individual's line manager, is also an important aspect of their first PDR. Line managers assist new staff to identify a mentor relevant to their role who can offer help and advice to support their career aspirations. The Institute has a list of mentors comprising of academic and research-related professional services staff at different stages in their careers ranging from Early Career Researchers to Professors. Mentors may have, for example, previously held specific research fellowships, sat on fellowship funding committees, worked as a post-doc abroad or made unusual career decisions.</li> <li>-</li> </ul>	<p>October 2018</p>
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	parental leave, have worked part-time, or have taken atypical routes into research, the “early career” period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.				
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
E.6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	HR		Achieved 2014. The University recognises that flexible working patterns can benefit both staff and the organisation, helping staff achieve a better balance between their home and work responsibilities and enabling schools and departments to structure working patterns around the peaks and troughs of demands. Since 2010, the University has operated a <a href="#">Flexible Working Policy</a> which sets out the criteria, process and conditions for making and considering a flexible working request to help staff to fit their work hours around their personal commitments.  In CROS 2019, 69% of UoL's respondents agreed that their institution treats them fairly as a researcher in comparison with other types of staff in relation to flexible working, compared with a national average of 70%. Recognising this action 6.4.1 is included in the 2020-2022 Action Plan.	Completed 2014 and part of core practice.
E.6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is ‘representative’ will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	HR		Achieved 2016.	Completed 2016 and part of core practice.
E.6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	HR		Achieved 2014. The University recognises the demands of family life and is committed to supporting researchers to achieve a balance between work and home life wherever possible. The University has established several family friendly schemes and benefits to help staff achieve a positive work-life balance. The following information and guidance is available to members of staff to assist them in managing their work-life balance. <ul style="list-style-type: none"> <li>• <a href="#">Family Friendly Policies &amp; Procedures</a></li> <li>• <a href="#">Childcare Provision &amp; Childcare Vouchers</a></li> <li>• <a href="#">Activities for Children &amp; Families</a></li> <li>• <a href="#">Facilities</a></li> </ul>	Completed 2014 and part of core practice.
E.6.9	All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.	HR		Achieved 2009. The University has <b>zero tolerance</b> of bullying and harassment behaviour between members of our community and where evidence supports an allegation, appropriate action is taken. Information on the Bullying and Harassment Policy and Procedures and Sexual Assault, Harassment & Hate Crime and on the support available to all staff and students is available at: <a href="https://www.liverpool.ac.uk/hr/diversityandequality/bullying/">https://www.liverpool.ac.uk/hr/diversityandequality/bullying/</a>	Completed 2009 and updated regularly
E.6.10	Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.				
	6.10.1 The University will continue to engage with the Athena SWAN Charter as a means to distinguish and embed good practice with regard to equality and diversity. Our aim is to progress from our current institutional Silver award to Gold. (see sections 3.3 and 6.5 of the 2011-2017 Action Plan)	Athena SWAN Steering & Implementation Group/ HR/ Academic depts.	Align the activity of the Concordat Steering Group with that of the Athena SWAN. An ongoing commitment to the achievement of an institutional gold award.	The University of Liverpool 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. This commitment is made with specific reference to a person's Age, Disability, Gender Reassignment, Marriage & Civil Partnership, Pregnancy & Maternity, Race, Religious Belief & Non Belief, Sex and Sexual Orientation. There is a number of different ways staff and students can get involved in diversity and equality through committees, forums, <a href="#">staff networks and groups</a> . This includes the Black & Minority Ethnic Staff Network, the Disabled Staff network, and the Lesbian, Gay, Bisexual & Trans Staff and Postgraduate Student Network. The University has been recognised for its commitment to gender equality and has received the <a href="#">Athena SWAN</a> Silver Institutional Award in 2016.	Ongoing, in line with Athena SWAN planning timelines



			Increased number of institutes and departments receiving Athena SWAN accreditation	<p>In October 2018, the first two Schools in the Faculty of HSS achieved Bronze level Athena SWAN awards: The Schools of Histories, Languages and Cultures and Law and Social Justice. The Institute of Psychology, Health and Society within the Faculty of Health and Life Sciences also achieved its second Silver award. Each of the University's schools and institutes continue to work towards their own Athena SWAN awards.</p> <p>More recently, in August 2019, support from Advance HE was secured for the continuation of Athena SWAN Awards currently held by existing Institutes during the Faculty of Health and Life Sciences major restructure. Over the last five years the Faculty of Health and Life Sciences has been at the forefront of driving positive change gender equality, winning the first of the University's Athena SWAN awards in 2015 and gaining an <a href="#">Athena SWAN gold award</a> (in the Institute of Integrative Biology) in 2018.</p> <p>(See 6.10.1 of the 2020-2022 Action Plan)</p>	Achieved October 2018 and part of core practice
<b>F: IMPLEMENTATION AND REVIEW</b>					
<b>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.</b>					
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
F.7.1	<b>The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.</b>				
	7.1.1 PVC R&I, APVCsR&I and associated senior staff to encourage the active involvement of research staff with the principles and actions of the Concordat, to optimise implementation across the University. Research staff will be explicitly recognised for their contribution to this process. (see sections 1.1 and 7.1 of the 2011-2017 Action Plan)	PVC R&I / APVC RE&PR/ APVCsR&I/ Concordat Steering Group	<p>Regular engagement of key research personnel who are identified by the APVCsR&amp;I across the Faculties to participate in the Concordat Steering Group meetings as appropriate.</p> <p>RSA to provide a mechanism by which the researcher community can collectively contribute to the continuing enhancement of work to support the Concordat (see 4.13.2)</p>	<p>The two co-chairs of the RSA, and two additional research staff representatives from each Faculty respectively, are represented on the <a href="#">Concordat Steering Group</a>. The RSA is also represented on the University's <a href="#">Research and Impact Committee</a>, which reports to Senate and Council and to the Planning and Resources Committee in relation to planning and resource allocation matters.</p> <p>In CROS 2019, 55% of UoL's respondents were aware of the Concordat to Support the Career Development of Researchers, above the national 2019 average of 42%.</p> <p>In CROS 2019, 44% of UoL respondents reported awareness of the HR Excellence in Research Award, above the national average of 40% in 2019.</p> <p>76.12% Of CROS2019 respondents indicated agreement that staff at Liverpool are treated fairly, regardless of personal characteristics such as age, ethnicity, disability, gender or gender identify, in relation to their day to day treatment at work, compared with a national average of 75.98%:</p> <p>In addition to the above-mentioned success measures, the <a href="#">RSA</a> continues to actively publicise the Concordat and related initiatives through its activities, for instance, it offers a regular annual lunch and learn session on the Statement of Expectations. It has a weekly email of researcher development opportunities, including ongoing engagement with staff forums. Most recently, for example, the RSA was represented on the Stakeholder Group to inform the tenders for the staff survey. A weekly newsletter of research staff opportunities is also cascaded via the mailing list.</p> <p>(See Sections 1.2.4, 2.2.5, 3.5.1, 3.6.2, 3.13.1, 6.4.1 &amp; 7.1.1 of the 2020-2022 Action Plan)</p>	<p>Achieved November 2017</p> <p>Achieved July 2018 and now business as usual.</p>
	7.1.2 Use institutional data from the 'Pulse' staff surveys in 2018 to inform the Academy's ongoing redesign of researcher development.	The Academy	Utilisation of Pulse Survey data which augments existing survey data (including from the 2016 Staff Survey and 2017 Focus Groups) as baseline data aggregated to research staff to inform ongoing development planning in order to benchmark activity across the institution.	<p>The University participated in both CROS (response rate: 23.91%) and PIRLS (response rate: 25.27%) surveys which continue to inform local and pan-institutional research staff development initiatives. The last Staff Survey was run in November 2016, with previous surveys taking place in 2013 and 2010. A total of 57% of all University staff completed the survey in 2016 – equating to nearly 3,500 staff. Of these, 1,219, (i.e 35.4%) were research staff.</p> <p>The results from the last Staff Survey led to improvements in key areas such as:</p> <ul style="list-style-type: none"> <li>Wellbeing: An <a href="#">online wellbeing hub</a> [intranet link] was also launched following feedback from the survey which brings together services, support and facilities available to support the mental and physical wellbeing of staff and students.</li> <li>Training and development: The Academy's <a href="#">online learning zone</a> [intranet link] is another initiative that was introduced in response to feedback. The online library of development resources has now been in operation for two years and gives staff access to a range of training in areas from personal wellbeing to project management.</li> </ul> <p>The 2019 staff survey was launched in December 2019. The main findings will be shared with staff in February 2020, once People Insight have collated all the responses and analysed results. Work will then begin to develop action plans to make improvements.</p> <p><b>Example of university-wide impact on research staff and illustration of good practice:</b> In 2019, the University launched a new <a href="#">Wellbeing Campus Map</a> [intranet link]. The map highlights the locations of services and activities that all students and staff can access to help promote and improve their positive wellbeing and to encourage all attendees at the university to take steps to look after their mental health and wellbeing. The map was developed as part of the ongoing Postgraduate Researcher (PGR) mental health and wellbeing catalyst project in the IIB funded by the Office for Students and Research England. The map covers two campuses, Liverpool and Leahurst, and contains information for all students, staff and visitors on where to find places to Be Active, to Connect, to find Support, To Take Time Out and to Eat Well. Activities and services highlighted on the wellbeing map include items such as where to find university support services, walking for health meeting points, accessible shower facilities, prayer rooms, health centres, bookshops and cafés and healthy eating options. Staff and</p>	Achieved December 2018 and now business as usual.

				<p>students are encouraged to use these facilities to help improve their mental and physical health, wellbeing and happiness. The map was released in conjunction with the University's 2019 <a href="#">Wellbeing Week</a> [intranet link], a week-long series of events and activities to highlight the important role wellbeing plays in staff's lives.</p> <p><b>Example of impact on research staff and illustration of good practice: S&amp;E School of Physical Sciences:</b> In conjunction with World Mental Health Day 2019, the School of Physical Sciences Wellbeing group launched the new School of Physical Sciences Wellbeing Room located in the Department of Chemistry. This room is available to all staff and students in the School who need a quiet and calming space to relax for a while. The School aims to provide a supportive environment that builds a fulfilling, productive and happy work place. All (research, academic and support) staff join our open and collaborative decision making processes (e.g. via regular <a href="#">School of Physical Sciences Researcher Forum</a>), through departmental meetings for which committee minutes are published. (See Section 2.6.5 of this document)</p> <p>(See Section 7.2.1 of the 2020-2022 Action Plan)</p>	
Clause #	Concordat clause outline and action(s) 2017-2019	Lead	Success measure (2017-2019)	Progress	Timescale for Completion
F.7.2	<p><b>The signatories agree:</b></p> <p>a) to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.</p> <p>b) to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</p> <p>c) to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</p> <p>d) to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in Research Online Survey (CROS).</p> <p>e) to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).</p>			<p>Achieved 2011. Liverpool's engagement with the Researcher Development Concordat is managed and operationalized by The Academy, building on our initial award of the HR Excellence in Research badge in 2011 and renewal in 2014. The PVC Research &amp; Impact has senior responsibility for the Concordat implementation and established a Concordat Steering Group (CSG) to build on the work of the previous Concordat Implementation Group and Research Staff Development Task &amp; Finish Group. The CSG meets every 6-8 weeks and provides the key operational mechanism for driving forward initiatives within our institutional Action Plan and is constituted to enable real, on the ground activity to happen, whilst ensuring support from the University's senior leaders. Critically, the CSG includes significant representation from the researcher community at all levels, ensuring a consistent reflection on the realities of the researcher experience at Liverpool. <a href="#">Terms of reference and membership of the CSG</a> are reviewed on an annual cycle and the work of the Group is fully embedded within the operation of the University. In addition, the Director of the Academy continues to place Researcher Development as a key priority for the Academy, having appointed a Research Staff Developer to lead on this work and assume responsibility for servicing the forward action plan 2017-19. This priority has been extended to the 2020-2022 period with the appointment of a second permanent Research Staff Developer in another newly-created post whose remit includes the Academy's actions within the forward action plan.</p>	Completed 2011 and part of core practice.

Abbreviations:

**APA** – Academic Professional Apprenticeship Standard  
**APVCsR&I** – Associate Pro-Vice Chancellors for Research and Impact from each Faculty  
**APVC RE&PR** – Associate Pro-Vice Chancellor for the Research Environment and Postgraduate Research  
**APCs** – Article Processing Charges  
**CROS** – Careers in Research Online Survey  
**E&D** – Equality and Diversity  
**FSE** – Faculty of Science and Engineering  
**HEIF** – Higher Education Industrial Fund  
**HR** – Human Resources  
**HSS** – Faculty of Humanities and Social Sciences  
**IACD** – Institute for Ageing and Chronic Disease  
**IGH** – Institute for Global Health  
**IIB** – Institute of Integrative Biology  
**IPHS** – Institute of Population Health Sciences  
**ITM** – Institute for Translation Medicine  
**LDC** – Liverpool Doctoral College  
**N8** – A Research Partnership collaboration of the eight most research intensive Universities in the North of England, incl. Liverpool

**OA** – Open Access  
**OD** – Organisational Development  
**PDP** – Personal Development Plan  
**PDRA** – Post Doctoral Research Associate  
**PIRLS** – Principal Investigators and Research Leaders Survey  
**PIs** – Principal Investigators  
**PS** – Professional Services  
**PVC R&I** – Pro Vice Chancellor for Research and Impact  
**RDF** – Researcher Development Framework  
**RPI** – Research Partnerships and Innovation Department  
**RSA** – Research Staff Association  
**RSO** – Research Support Office  
**SOTA** – School of the Arts  
**The Academy** – The Leadership, Organisational, Staff & Academic Development Academy  
**TTF** – Tenure Track Fellowships  
**WAM** – Workload Allocation Model.

Note: The Concordat Steering Group meet every 6-8 weeks. Additional fora will be coordinated by The Academy to take forward specific development focused actions within the Implementation Plan.