

Principle			Proposal	Benefit	Action	Measure	Progress to date																																										
Recruitment and Selection	Principle 1	<i>Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.</i>	1.1 Monitor retention rates of academic staff.	To review and increase retention rates for Early Career Researchers at Northumbria over this action plan period	Continue to monitor: (a) how many research staff on fixed term contracts get an extension and (b) how many are moved to a permanent contract. Responsibility: HR ODA	This is difficult to measure over the period however we have been transferring colleagues to open-ended contracts and establishing new roles as open-ended wherever possible over this period.	<p>Complete</p> <p>Fixed term Contract Researchers 1 January 2016 to 31 July 2019</p> <table border="1"> <thead> <tr> <th>Faculty</th> <th>ADSS</th> <th>B&L</th> <th>E&E</th> <th>HLS</th> <th>Overall Totals</th> </tr> </thead> <tbody> <tr> <td>Number of new starters</td> <td>28</td> <td>5</td> <td>52</td> <td>59</td> <td>144</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Faculty</th> <th>ADSS</th> <th>B&L</th> <th>E&E</th> <th>HLS</th> <th>Overall Totals</th> </tr> </thead> <tbody> <tr> <td>Number extended once</td> <td>2</td> <td>0</td> <td>14</td> <td>21</td> <td>37</td> </tr> <tr> <td>Number extended twice</td> <td>3</td> <td>0</td> <td>5</td> <td>11</td> <td>19</td> </tr> <tr> <td>Number extended three times or more</td> <td>0</td> <td>0</td> <td>4</td> <td>13</td> <td>17</td> </tr> <tr> <td>Overall Totals</td> <td>5</td> <td>0</td> <td>23</td> <td>45</td> <td>73</td> </tr> </tbody> </table> <p>We have successfully extended employment beyond the original end date in around 30% of cases through securing additional internal or external funding.</p> <p>Researchers on fixed term contracts also receive the same terms and conditions of employment as comparable permanent staff which includes, where appropriate, proactively working with the individuals well in advance of their contract end date to explore alternative redeployment opportunities. Our Staff Survey 2018 showed that contract researchers feel they are paid fairly and are satisfied with the non-salary benefits the University provides (77%).</p>	Faculty	ADSS	B&L	E&E	HLS	Overall Totals	Number of new starters	28	5	52	59	144	Faculty	ADSS	B&L	E&E	HLS	Overall Totals	Number extended once	2	0	14	21	37	Number extended twice	3	0	5	11	19	Number extended three times or more	0	0	4	13	17	Overall Totals	5	0	23	45	73
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			1.2 Review and improve support provided to research staff nearing the end of their fixed term contracts ensuring a consistent approach.	To increase retention rates for Early Career Researchers	HR to develop an online resources pack for staff nearing the end of their contract term. Responsibility: HR ODA	Completion of resources pack for staff who are nearing the end of their contract.	<p>Complete</p> <p>HR has developed a booklet and guidance is available to support staff with preparations for interviews. Staff are also signposted to relevant online resources e.g. Vitae.</p> <p>Every contract researcher is assigned a line manager, who undertakes local induction, regular 1-1s and typically also acts as the research mentor. Our line</p>																																										

							managers are proactive in supporting the professional development of PDRAs and several systems are in place to facilitate this support. Where appropriate, HR alerts to line manager prompt targeted 1-1 pre-exit discussions where career planning and future employment options are discussed.
			1.3 Review and develop research-specific induction framework for use at faculty level and below; ensure inclusion of key information, opportunities, expectations and obligations with regard to research.	Research staff would have a smoother start and transition to NU	Continue annual review: monitor, review and update the Induction Guide and related processes. From Sept 2017, Research Induction materials from RIS to be incorporated in new HR induction online resource. Responsibility: HR ODA & RIS RDM	Development of new induction materials.	Complete New starter information is available at https://one.northumbria.ac.uk/sites/ns/Pages/Welcome.aspx and researchers are invited to a University wide welcome event. This was revised in 2018 and has positive feedback, and will be refined and relaunched during September 2019.
			1.4 Review appraisal arrangements for research staff	Ensure PDA process is effective for identifying research development needs	A new Performance Development and Appraisal (PDA) process was implemented in September 2014 and revised in 2016. Online PDA was implemented for all staff in 2017. Responsibility: HR ODA	Number of completed PDAs by academic years: 2016/17 completion rate was 93%	Complete The PDA process is comprehensive and encourages colleagues to reflect on their achievements over the year, and plan for the future which includes identifying their individual development needs, resources and the support they need to ensure they are successful. Career planning discussions also take place at least annually. Our Staff Survey 2018 showed that 95% contract research staff are engaged in the 2018/19 PDA round. Our CROS 2019 data showed that 80% of respondents found the PDA process useful.
			1.5 Participate in 2017 CROS and PIRLS surveys and ensure feedback is shared with the Concordat Working Group, HR and Faculties	Opportunity to gather anonymous views of research staff about their experiences, career aspirations and career development opportunities	Surveys ran April-May 2015 with an excellent response rates as follows: CROS: total of 34 responses (out of potential 84) = 40%. This was significantly above the sector response rate of 28% PIRLS: total of 150 responses (out of potential 331) = 45%. This was significantly above the sector response rate of 25%. Both represent significant increases on the previous 2013 surveys. Take part in 2017 CROS & PIRLS surveys with the option of including institution-specific questions. Responsibility: RIS RDM	Results of CROS & PIRLS surveys 2017. An increase in participation rates for CROS/PIRLS 2017	Complete Northumbria had a response rate of 19.6% for CROS and 12.8% for PIRLS in 2019. Feedback from the surveys has been used to inform and plan development activities in the forward plan and to assess actions in the 2016-18 plan. The response rate has dropped and an action is included in the Action Plan 2019-21 to address this (Action 2.3). Northumbria's CROS and PIRLS Surveys 2019 highlighted that some measures of Concordat implementation appear to be more positive than is the case nationally (e.g. appraisal review). There is further development needed in specific areas (and further analysis of results) e.g. PIRLS 2019 building a research group 48.9% vs 64.4%, PI support to develop research staff 41.7% vs 55.1%, and from CROS 2019 institutional research induction 30% vs 37.7%, undertaking training in career management 8.3% vs 17.9% which has fed into the forward plan.

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Recognition and Value	Principle 2 <i>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.</i>	2.1 Continue to develop and review career development framework, based on Vitae Researcher Development Framework for all academic staff including research managers and mentors	To develop the research and professional skills of academic staff	In Sept 2016 an Academic Development and Researcher Training programme (ADRT) was introduced, with the inclusion of defined pathways for different career stages, e.g. Early Career Researcher and Principal Investigator together with links to the Vitae Researcher Development framework. The programme includes two Professional Development workshops 'Leadership style and personal impact' and 'Influencing and Networking' which are scheduled to commence January 2017. A new programme for Next Generation Large Award Holders began in 2016 for a nominated group of 11 Early Career Researchers (See Principle 4) Continuous review of provision including further development of online training materials using Articulate software. Work with Marketing on internal communications to launch the 2017-18 ADRT to improve increase awareness across all academic staff. Responsibility: HR ODA & RIS RDM	ADRT attendance/evaluation	Complete We have significantly invested in researcher development programmes to support researchers. This was reflected positively in the CROS 2019 results which showed that 77% of our contract research staff had engaged in career and personal development and 46% had a career development plan. Our Next Generation of Large Award Holders Programme is aimed at our future research leaders and supports ECRs to achieve their first big grant. The programme has over 90% satisfaction rates, and one of our graduates recently received their first £1M+ grant, from NIHR. NGLAH cohort 2017/18: 12 members of staff. This programme is oversubscribed and will be extended in future years. ADRT attendance 2016/17: 382 ADRT attendance 2017/18: 348 There was a slight decrease in attendance in 2017/18 but this is due to our face-to-face training moving to online delivery. This was in response to academics wishing to complete training at a time to suit them and at their own pace, and a lot of training sessions not being filled. Training sessions have therefore been better attended as we have streamlined programmes and provided online alternatives to reduce drop out rate. Ethics training moved to a HR e-Learning module and so this is not included – this accounts for the higher figure in 2016/17 when this was delivered face-to-face. Feedback was reviewed and informed 2018/19 training programme including more Faculty based sessions which was the key criticism from the 2017/18 ADRT.
		2.2 Implement a Research Data Management Policy	Increase staff awareness of requirements, promote good practice and procure a Research Data Management repository. Provide appropriate staff training and resources to academic staff	University Research Data Management Policy adopted within EPSRC deadline 2015 and training presentation made available to staff and students online. Continue to promote Research Data Management and good practice within the University. Northumbria University plans to procure a repository for Research Data in 2018/19 followed by a period of increasing awareness and providing training. Responsibility: Library & RFPM	Research Data Management policy adopted and updated in 2018 in line with GDPR requirements. GDPR training launched August 2018 as a mandatory online module for all staff. Research Data Repository procurement process for Figshare is near	Complete Research Data Management good practice has been promoted via online and in person training and continued work of RDM working group members, the Research and Funding Policy Managers Team when working with academic staff on bid development and, more recently by the Library's specialist Research Data Librarian who has developed a comprehensive suite of online resources for staff, available via the Library's webpages. The RDM policy is online and available here . GDPR training launched August 2018 as a mandatory online module for all staff. 2,675 have completed to date (01/2019) or 90.6% of eligible staff. This was an excellent start, and as training is mandatory we expect to have a

			To develop staff's research and professional skills Research Data Management policy remains fit for purpose		completion; implementation process is ongoing. Pilot planned for early 2019 with a hard launch planned for Spring 2019	rolling completion rate of around 97% due to staff changes. Ongoing Research Data Repository procurement is now a project led by the Library. Research Data Repository procurement process for Figshare and implementation process is ongoing. Pilot date tbd. Development of more extensive online interactive training on Research Data Management and Data Protection was completed in June 2019.
		2.3 Review bi-annual Northumbria Staff Survey results following surveys in 2014 and 2016.	Pulse survey due June 2017 Review results in Sept 2017	The survey ran from September to October 2016. 2016 response rate achieved was 66% compared to 72% in 2014. The areas which have seen improvements are, Pay and conditions, Equality and Diversity, Work life balance and Line Management. Faculties are preparing Action Plans to address specific issues. A Pulse survey will be going ahead in June 2017 to conduct a temperature check - Pulse survey results to be examined and action plans created to address areas for improvement. Responsibility: HR ODA	Action Plan from Pulse Survey results (June 2017)	Complete A Pulse survey was held in June 2017 to conduct a temperature check at this point. The response rate was 57% and three quarters of questions showed a positive movement from where they were in the Staff Survey in 2016. The change was encouraging and showed us clearly where we had more work to do. Action plans were then adjusted/created as appropriate. Data for academic staff only is not available from Pulse Survey, making meaningful analysis for Concordat progress difficult. In 2018 the University surveyed colleagues to understand our overall levels of employee satisfaction, motivation and pride, and the factors which are contributing to it. The Staff Engagement Survey had a good response rate of 52% from contract research staff. All contract research respondents said that they have a good working relationship with their colleagues. The vast majority also feel their manager is supportive, communicates well and provides constructive feedback and acknowledges when they do their job well; they are clear about what they are expected to achieve in their role; and their work gives them a sense of personal achievement. Almost all said they are proud to work for the University (93%) and would recommend the University as a great place to work (86%). In our Staff Survey 2018 there were some areas where our contract research staff report they feel less satisfied which included, how optimistic they are about their opportunities for career progression (53%); how the University recognise and appreciates good performance (55%); and the support in place to help colleagues to manage their health and well-being. These results have fed into actions for the forward-looking plan 2019-21.
		2.4 Collaborative approach to REF 2021 preparations through the REF Planning Group and ECR Forum.	Ensure academic staff are kept up to date with latest REF planning developments and are included in discussions on the	ECR Forum held on HEFCE consultation on next REF. REF briefing sessions held for staff. REF consultation with all academic departments and UCU on REF policy.	REF Planning Group agrees and shares a NU strategy for the REF, including a specific session for ECRs on understanding the REF and REF planning.	Complete Northumbria has undertaken a collaborative approach to REF 2021 preparations consulting with many staff representative groups, including the ECR Forum. This ensures academic staff, including ECRs, are engaged with the latest REF planning developments and strategy. An ECR Forum was held on the HEFCE consultation for REF 2021 and this is positively reflected in our CROS results,

				REF planning strategy.		Briefing paper to CWG 05.02.2019	<p>(CROS 2019, tells us that over 60% of contract research staff have an understanding of REF).</p> <p>We received the news that Northumbria’s REF2021 Code of Practice has been approved by Research England and the Equality and Diversity Panel (EDAP) with no changes required. Research England has agreed that the Code of Practice meets the four stated principles set out in the REF2021 guidance: transparency, consistency, accountability and inclusivity. This is an important milestone and puts us in an excellent position to push on with our REF plans.</p> <p>Ongoing The Code will now be used to inform key decisions in our REF preparations and will add real value and provide a useful point of reference for colleagues as we approach the REF submission in November 2020.</p>
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Support and Career Development	Principle 3	<i>Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.</i>	3.1 Monitor promotions at each grade	Demonstrate internal career opportunities for all grades and genders	Data covering promotions and transitions to AP and Professor has been prepared (Oct 17) and will be released for wider circulation once reviewed by UE. Responsibility: HR ODM & EDM	Numbers of new recruits measured against number of leavers.	<p>Complete During the period of our Corporate Strategy 2013 – 2018 and the first year of the University Strategy 2018 – 2023, we have tracked overall promotion rates for colleagues on research/teaching and research contracts. We therefore are able to provide a more comprehensive set of data as follows:</p> <table border="1"> <thead> <tr> <th>Date</th> <th>Total number of colleagues employed on research/teaching and research contracts in post on this date</th> <th>Aggregate total number that have been promoted since 1 September 2013*</th> <th>Overall percentage*</th> </tr> </thead> <tbody> <tr> <td>30.9.2016</td> <td>1,312</td> <td>185</td> <td>14%</td> </tr> <tr> <td>30.9.2017</td> <td>1,323</td> <td>251</td> <td>19%</td> </tr> <tr> <td>30.9.2018</td> <td>1,414</td> <td>287</td> <td>20%</td> </tr> <tr> <td>30.9.2019</td> <td>1,450</td> <td>358</td> <td>25%</td> </tr> </tbody> </table> <p>* This figure is staff in post on the relevant date, so does not include in-year leavers who may have been promoted.</p> <p>This data shows year-on-year increases in the number of colleagues who have successfully achieved promotion. Currently 25% of our current staff on research/teaching research contracts have either (1) been employed since September 2013 and been promoted during this time; or (2) joined us after September 2013 and since been promoted.</p> <p>Ongoing We will continue to track this data which in future will also include a breakdown by gender.</p>	Date	Total number of colleagues employed on research/teaching and research contracts in post on this date	Aggregate total number that have been promoted since 1 September 2013*	Overall percentage*	30.9.2016	1,312	185	14%	30.9.2017	1,323	251	19%	30.9.2018	1,414	287	20%	30.9.2019	1,450	358	25%
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			<p>3.2 Develop and monitor the new University sabbatical schemes which commenced 2016</p>	<p>To monitor take-up for sabbatical schemes: research, enterprise, engagement or teaching and learning and to gain feedback on effectiveness of sabbatical scheme from departments and faculties.</p> <p>Monitor continued applications from staff for sabbaticals and end-of-sabbaticals reports to ensure consistent staff interest in the scheme and that sabbatical periods enable staff to achieve their intended aims. Also need to ensure that staff at all career stages/grades are able to access sabbatical schemes.</p> <p>Responsibility: HR ODM</p>	<p>Staff sabbatical reports i.e. for all career frameworks (Research/Teaching/ by academic year & semester.</p> <p>Data to include gender split, Grade, key career points</p>	<p>Ongoing</p> <p>We have seen a positive growth in the number of colleagues being supported to undertake a sabbatical (+26% in 3 years). Northumbria’s academic sabbaticals are paid.</p> <p>Number of Sabbaticals which were supported is as follows:</p> <table border="1"> <thead> <tr> <th>Faculty</th> <th>Totals 2016/17</th> <th>Totals 2017/18</th> <th>Totals 2018/19</th> <th>Totals 2019/20</th> <th>Overall Totals</th> </tr> </thead> <tbody> <tr> <td>Arts Design and Social Sciences</td> <td>38</td> <td>47</td> <td>46</td> <td>36</td> <td>167</td> </tr> <tr> <td>Business and Law</td> <td>23</td> <td>29</td> <td>41</td> <td>34</td> <td>127</td> </tr> <tr> <td>Engineering and Environment</td> <td>17</td> <td>20</td> <td>22</td> <td>19</td> <td>78</td> </tr> <tr> <td>Health and Life Sciences</td> <td>4</td> <td>5</td> <td>20</td> <td>15</td> <td>44</td> </tr> <tr> <td>Overall Totals</td> <td>82</td> <td>101</td> <td>129</td> <td>104</td> <td>416</td> </tr> </tbody> </table> <p>Currently developing further MI data on staff sabbatical scheme to monitor ECR uptake and gender equality.</p>	Faculty	Totals 2016/17	Totals 2017/18	Totals 2018/19	Totals 2019/20	Overall Totals	Arts Design and Social Sciences	38	47	46	36	167	Business and Law	23	29	41	34	127	Engineering and Environment	17	20	22	19	78	Health and Life Sciences	4	5	20	15	44	Overall Totals	82	101	129	104	416
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		<p>3.3 Review and develop Northumbria University’s Research Ethics and Governance Handbook and Training Resources</p>	<p>Up to date legislative awareness and compliance</p> <p>Implement ethics online system with academic staff and all students by the end of 2017-18.</p>	<p>Research Ethics and Governance Handbook revised annually in consultation with all relevant parties and approval of the Research Ethics Committee. The Handbook is available on the University Ethics and Governance web page.</p> <p>Increased take up of staff and students using the Ethics Online system for their project’s ethical approval.</p> <p>Responsibility: Ethics Steering Group</p>	<p>Updated ethics and governance training, handbook and guidance by October 2018</p>	<p>Complete</p> <p>Progress update from the Ethics Steering Group:</p> <table border="1"> <thead> <tr> <th>Number of Approvals by Faculty</th> <th>Year 1</th> <th>Year 2</th> </tr> </thead> <tbody> <tr> <td>Arts Design and Social Sciences</td> <td>242</td> <td>626</td> </tr> <tr> <td>Business and Law</td> <td>191</td> <td>1136</td> </tr> <tr> <td>Engineering and Environment</td> <td>288</td> <td>1314</td> </tr> <tr> <td>Health and Life Sciences</td> <td>965</td> <td>1152</td> </tr> <tr> <td>Others e.g. Academic Registry & Intl Dev etc</td> <td>0</td> <td>2</td> </tr> <tr> <td>Total</td> <td>1686</td> <td>4230</td> </tr> </tbody> </table>	Number of Approvals by Faculty	Year 1	Year 2	Arts Design and Social Sciences	242	626	Business and Law	191	1136	Engineering and Environment	288	1314	Health and Life Sciences	965	1152	Others e.g. Academic Registry & Intl Dev etc	0	2	Total	1686	4230															
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		<p>3.4 Support continued development of the University-wide ECR Forum, now open to final year doctoral students</p>	<p>University-wide cross-disciplinary space for ECRs to develop support mechanisms</p>	<p>The ECR Forum continues to meet regularly with senior academics and the PVC (Research and Innovation) and is led by ECRs. Since 2016, the ECR Forum is open to final year doctoral students. In 2016, 125 ECRs have attended the forum.</p> <p>ECRF meetings are regularly well-attended. ECRF continues to ensure that an ECR voice is included in relevant University and faculty discussions i.e. through ECR participation in RAKE/FRAKEs etc.</p> <p>Responsibility: RIS and Concordat Working Group</p>	<p>To deliver three forums per annum by August 2018</p>	<p>Ongoing</p> <p>Two ECRs forums were held in 2017/18. Attendance was down slightly in 2017/18 (98 attendees across two events) which led to a review and refresh of the ECR Fourm and its management group.</p>																																				

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Support and Career Development	Principle 4	<i>The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career</i>	4.1 Carry out ongoing review of research training provision across the University	Annually review academic development programme and respond to feedback to ensure ADRT is relevant and meets the needs of stakeholders.	A new programme for Next Generation Large Award Holders was initiated 2016 for a nominated group of 11 Early Career Researchers (see Action 4). As a result of feedback, ensure future training provision is targeted at changing ECR needs and HEI context. Currently developing research training programmes for 2017/18 in collaboration with faculties and ECRs. Responsibility: RIS	Results of CROS and PIRLS surveys 2017. Attendance and feedback data from 2016/17 and 2017/18 participants informed the development of the 2018/19 ADRT. Delivered to two cohorts of the NGLAH award programme by Dec 2017	Complete NGLAH cohort 2017/18: 12 members of staff. This programme is oversubscribed and will be extended in future years. ADRT attendance 2016/17: 382 ADRT attendance 2017/18: 348 There was a slight decrease in attendance in 2017/18 but this is due to our face-to-face training moving to online delivery. This was in response to academics wishing to complete training at a time to suit them and at their own pace, and a lot of training sessions not being filled. Training sessions have therefore been better attended as we have streamlined programmes and provided online alternatives to reduce drop out rate. Feedback was reviewed and informed 2018/19 training programme including more Faculty based sessions which was the key criticism of the 2017/18 ADRT.
			4.2 Increase ratio of academic staff gaining accreditation of the Higher Education Academy Fellowship scheme.	Staff gain professional recognition, share good practice and benchmark their teaching and learning activities against national guidelines and standards through achieving HEA fellowship accreditation.	Provide support to staff to gain the HEA Fellowship accreditation (FHEA). Responsibility: Academic Registry	Measure Achieve a 10% increase in HEA membership levels year on year to support the fostering of a culture of continuous improvement and to maximise staff engagement with the HEA.	Complete Summary of staff with HEA recognition via NUPRS and other routes by academic year
			4.3 Continued programme of mandatory research ethics training	Ensure staff are up to date with ethics and research integrity training	Continued Faculty Ethics Training sessions run following annual approval of generic content by the University Research Ethics Committee. Sessions form part of the staff Academic Development and Researcher Development Training Programme and the PGR Professional Development and Research Training Programme. Responsibility: RIS	Develop online training materials for all academic staff to access and complete role-specific training every three years No. of staff who have completed core ethics training 2017/18	Complete

	Total FHEA via NUPRS experiential route	Other routes to recognition	No of staff with Fellowship	Cumulative total	FTE	%
Pre-NUPRS (Sept 2014)	0	255	255	255	1189	21%
2014-15	32	107	124	379	1189	32%
2015-16	87	44	100	479	1189	40%
2016-17	83	18	108	587	1233	48%
2017-18	99	11	118	705	1267	56%

- Note
1. Year of recognition may not be the same as year of application. Only staff still at Northumbria appear in this data
 2. Faculty split is available
 3. NUPRS – Northumbria University Professional Recognition Scheme

Faculty	Arts, Design & Social Sciences	Business & Law	Eng & Env	Health and Life Sciences
Pass rate	96%	84%	93%	96%

Ethics Training core stats from HR, 01.08.2019. The ethics training pass rate is good in two Faculties (over 95%) but remains below optimal for Business and Law and Engineering and Environment. Faculty Research Ethics Directors and

						Ethics Departmental Leads are working with Heads of Departments to ensure full compliance.
		4.4 Implement CRIS (Current Research Information System): PURE with academic staff and postgraduate students.	An increasing number of academic staff access and use PURE. Six monthly review feedback is positive and any areas for improvement are addressed.	System being piloted across five departments in Spring 2017. Full roll-out planned Sept 2017. System aims to enable academics to build their own research web profile and to capture bidding data, publications, impact information, replacing the University's existing PRIP (Personal Research & Innovation Plan) Responsibility: RIS	Complete roll-out of PURE system to academic staff by Dec 2017 Feedback from Pilot. Attendance from roll-out training sessions. Ongoing monitoring of staff using PURE.	Complete The Pure system went live to academic staff on 11 March 2019. Continued support available to staff via Research and Innovation Services.
		4.5 (i) Develop and annual review of mentoring framework to enable all research-active staff access to a research mentor. 4.5 (ii) Develop and implement a Research Mentor training programme for academic staff.	ECRs are supported by senior researchers to develop their career	December 2016 a guide to Research Mentoring was issued together with revised intranet pages including Research Mentor contacts. The session will run in 2017 in addition to developing opportunities for group mentoring and cross-disciplinary mentoring arrangements. Responsibility: Faculties	To promote research mentoring as part of faculty research culture	Ongoing In 2015, 58.8% of CROS respondents confirmed they have a Research Mentor. In 2016, 75% of staff have a Research Mentor. HR developed Research Mentoring training programme in 2016/17. Whilst this is a positive increase we will aim for every ECR and contract researcher to have a research mentor by 2020. Therefore a revised action is included in the 2019-21 action plan to review the mentoring framework to ensure that all ECRs have a mentor by September 2020.

Principle		Proposal	Benefit	Action	Measure	Progress to date	
Researchers' Responsibilities	Principle 5	<i>Individual researchers share the responsibility for and need to proactively engage in their own personal and career development, and lifelong learning.</i>	5.1 Monitor number of academic staff being supported to obtain a doctoral qualification Annual increase in the number of doctoral-qualified staff in line with University Strategy expectations	Staff engaging in their own career development	(a) Numbers, gender split and grade (b) Look at reasons why staff don't complete or begin studies despite being approved and seek to address these issues with faculties/Graduate School Responsibility: Graduate School and Faculties		Complete Totals of staff who were awarded their doctorate at Northumbria while members of staff: 2016/17 Total 21 2017/18 Total 23 Source of data: Graduate School
			5.2 Review relevance and take-up of Leadership and Management Development Programme(s) for researchers	Continued development of senior leaders and managers within the University	The University will continue to offer a range of internally designed Leadership and Management programmes to be delivered to across three levels: Senior Academic Leaders /Professors, Academic Leaders and Future Academic Leaders As part of the Culture Programme which began in 2016, management and leadership development continues to be reviewed. Initial findings will be shared with a number of focus groups to ensure we have understood fully the needs of individuals and the organisation; this is expected to lead to a plan of activity starting in the second quarter of 2017. Between 2012/13 and 2015/16, 322 members of staff have completed Leadership Programmes. Leadership and Management programmes, their take up and participant feedback will be monitored annually and will inform the development of future training programmes. Responsibility: HR	HR attendance data and feedback from participants of Valuing Managers programme	Ongoing The 2 day 'Valuing Managers' Management Development programme began June 2017 and was rolled out through 2017/18 and was delivered to all those with line manager responsibility. Leadership development (utilising MBTI and 360 degree feedback) is currently underway with the University Executive and will be rolled out to the Extended Leadership Team over the next 12 months. Senior leaders have access to coaching and attendance at external leadership events (e.g. run by Advance HE) as part of their ongoing development.

Principle		Proposal	Benefit	Action	Measure	Progress to date	
Diversity and Equality	Principle 6	<i>Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.</i>	6.1 Complete process of Athena Swan accreditation. Then continue to look for synergies, share data and good practice between Athena Swan working group and Concordat working group.	Develop University's structures and processes to support EDI.	<p>Bronze accreditation was achieved in October 2015. Northumbria is applying for reaccreditation. Two Departments are currently preparing to apply separately for individual Athena SWAN awards. At least one department must have Athena SWAN Silver before the University can apply for institutional Silver.</p> <p>Responsibility: HR EDM and Athena Swan group</p>	<p>Submission for Athena Swan institutional award.</p> <p>Ensure adequate representation of researcher and EDI issues on Concordat Working Group and Athena Swan Working group.</p>	<p>Completed</p> <ul style="list-style-type: none"> • HR Manager (ED&I) appointed in 2017. • To drive forward progress on ED&I we have introduced new Equality and Diversity leadership responsibilities within Faculties that cover all types of academic staff. • We have reviewed our approach to Recruitment and Selection to ensure that there is gender representation on all recruitment panels. All staff are required to undertake mandatory equality and diversity training. Recruitment and selection training is also mandatory for those who hold specific line management responsibilities. • HR manager for EDI invited to join Concordat Working Group. • Our progress can be measured in the achievement of a reduction in our gender pay gap between 2017 and 2018. At 14.16% our mean gender pay gap is lower than both the sector average and the UK average for all industries, and it is reducing. <p>Ongoing</p> <p>Two listening groups have already been held focusing on flexible working and career progression through the NU Women's Network and feedback from these is currently being analysed.</p> <p>Northumbria will apply for reaccreditation in November 2019.</p> <p>A revised Action is included in the 2019-21 Action Plan to monitor any Athena SWAN actions relevant to Concordat Working Group.</p>

Principle	Proposal	Benefit	Action	Measure	Progress to date
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Implementation and Review	Principle 7	<i>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</i>	7.1 Monitor the implementation of the Action Plan of 2016-18 by progress on relative committees, forums and working groups	Improved staff retention	Engage with research staff on our progress: <ul style="list-style-type: none"> • Academic Training Programme (ADRT) • ECR Forum • ECR Management Group • Concordat Working Group 	Meeting dates, agendas and minutes/meeting notes	<p>Ongoing</p> <p>Review of actions was undertaken at each Concordat working Group meeting:</p> <ul style="list-style-type: none"> • 19.01.2017 • 16.05.2017 • 31.10.2017 • 25.01.2018 • 13.06.2018 • 05.02.2019 <p>Due to staff changes in both Research and Innovation Services and Human Resources actions were not reviewed in the June 2018 meeting. This meant a delay in identifying the problem of procuring data relevant to some actions.</p> <p>A revised action is included in the 2019-21 action plan to monitor the plan at the Concordat Working Group, and to review where high-level strategic reviews of the plan should be undertaken.</p>
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Glossary of Terms:

CROS: Careers in Research Online Survey
ECR: Early Career Researcher
EDM: Equality and Diversity Manager
FHEA: Fellowship of the Higher Education Academy
HR: Human Resources
NUPRS: Northumbria University Professional Recognition Scheme
ODA: Organisational Development Adviser

PDA: Performance Development and Appraisal
PI: Principal Investigator
PIRLS: Principal Investigator and Research Leaders Survey
PRES: Postgraduate Research Experience Survey
RaKE: Research and Knowledge Exchange Committee
RDM: Research Development Manager
REF 2021: Research Excellence Framework
RIS: Research and Innovation Services