### Environment and Culture

#### EC1
- **Ensure that all relevant staff are aware of the Concordat**
  - **Action**: Staff are introduced to the Concordat at the Research Induction sessions, and details are circulated regularly in the Research newsletter. **ACTION AGREED:** Develop a communication and advocacy plan to take part in the CEDARS survey. Evaluate results of this to identify impact and actions to inform our policy and practice. Feedback to research staff through this process.
  - **Details**: Town hall and comms strategy put in place for Autumn 2022. Initial target of 50% staff engagement in 21/22 CEDARS, followed by a discussion of the results at Research Leaders meeting and at a bespoke meeting with Research Staff.
  - **Responsibility**: RSG
  - **Date of submission**: 28 January 2022
  - **Outcome result**: The 2023 CEDARS process has not yet been published. The University is currently undertaking a review of its research areas, therefore it may not be an appropriate time to launch CEDARS - action delayed until 2022/23 when the future shape of research at the University is known. Delay advocacy until Autumn 2022, and engagement at 50% in 2022/23 survey process.

#### EC2
- **Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well communicated to researchers and their managers**
  - **Action**: All policies are published on the website and intranet, and inclusivity, transparency and equity are embedded within our REF Code of Practice. The University has an E&D policy and is working towards Athena Swan accreditation. There is an all staff induction and a research induction for new staff which introduces them to Bath Spa policies when they join the institution. Online induction sessions have been launched as a result of C19 and materials are being developed that staff can access through the intranet. University is working towards Athena Swan accreditation. **ACTION AGREED:** Research induction materials to be made available to all staff on SULIS intranet from Jan 2021.
  - **Details**: Target of 70% of new staff to attend a research induction session, and all materials to be online by Jan 2022.
  - **Responsibility**: RSG
  - **Date of submission**: Jan 2021
  - **Outcome result**: The 25/26 SULIS pages have been updated to include induction materials. An average of 40% of academic staff invited attended a session across the 2019-2021 period. **ACTION CARRIED FORWARD**

#### EC3
- **Promote good mental health and wellbeing, for example through the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues**
  - **Action**: There are university policies in place relating to employee wellbeing, equality and transparency that are available and disseminated to all staff. Adherence and experiences of the impact and effectiveness of these are monitored through annual staff surveys. The WLP is still in pilot phase and in development, with tariffs to be agreed at School level. The Research Development programme runs sessions on mental health and wellbeing and these are offered to academic staff, researchers and PhD. The University also subscribed to a Lithuania programme which is available to all academic staff. **ACTION AGREED:** WLP and workload tariffs to be implemented across the university by end of 2022/23 academic year. Mindfulness sessions, online provision, and a new room for staff in main house all support wellbeing initiatives. We will link in with PVC (Student Experience) on the university wide wellbeing initiatives and explore and develop opportunities for management training in this area.
  - **Details**: Mindfulness podcasts ‘mindful moments’ to be launched in Autumn 2020. WLP tariffs to be piloted and launched by start of 21/22 academic year.
  - **Responsibility**: HRM, PVC AP
  - **Date of submission**: Autumn 2021, October 2021
  - **Outcome result**: The mindfulness podcasts were refreshed for Autumn 2021 and have been launched. A series of workshops to support staff was held across the Autumn and are currently being evaluated (Nov 21). The WLP tariff pilot is underway and will be reviewed at the end of 2021/22. **ACTION PARTIALLY COMPLETED**

#### EC4
- **Ensure that managers of researchers are effectively trained in relation to equality, diversity, wellbeing and mental health**
  - **Action**: There is a range of Line Management training on offer at the University, and a Line Managers Forum to develop a leadership community to discuss these issues as well as management issues more generally. REF E&D training has been put in place for all those involved in the identification of staff and outreach. **ACTION AGREED:** Work with HR to ensure that training and development opportunities are disseminated to all research staff, and to monitor completion rates of mandatory training.
  - **Details**: One of the key themes of the 2021 Professoriate is on wellbeing, and how to support this across our leadership community.
  - **Responsibility**: RSG
  - **Date of submission**: 31/07/2021
  - **Outcome result**: As of November 2021 completion rates are as follows: Unconscious Bias - 55%, Equality and Diversity training - 64%. The Professoriate was held in April 2021 and was focussed around the topic ‘Learning for the Future’. This included a session on Professorial Wellbeing: Responding, Learning and Sharing. **ACTION COMPLETED**

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**Institution Action plan template - 20/21**

<table>
<thead>
<tr>
<th>Obligation</th>
<th>Action</th>
<th>Success measure (SMART)</th>
<th>Deadline</th>
<th>Responsibility</th>
<th>Progress update (to be completed for submission)</th>
<th>Outcome result</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Environment and Culture</strong></td>
<td><strong>EC1</strong></td>
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</table>
ECG Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity.

The University has a Code of Good Practice for Research, and sets out how it complies with the UK Research Conducual to Support Research Integrity in its Approach to Research Integrity and Ethics. All academic staff are required to complete a mandatory on-line research integrity training programme. The University complies with the Concordat on Research Ethics and Integrity, and reports annually to the Board of Governance on progress against its principles. There is an academic misconduct policy which is currently being refreshed in line with the new Concordat and UKRI updated guidance, and sits within the University's Capability and Conduct Policy. There is a University Ethics Panel (UEP) with representation across all academic schools, and an external member - this reports to the University Research and Ethics Committee. HOI work closely with ethics lead and reviewers in their own schools and allocate workload to lead and reviewers UEP. Two tier oversight of ethics and integrity: REC and UEP. Each have an external member. UEP: Adopting new 'standard set by UKRO and ARMA. ACTIONS AGREED: There will be a new suite of on-line materials launched in 2021 and staff will be encouraged to complete this as part of their refresh training. - Workshops for academic staff will be embedded as part of this process. - Academic misconduct policy to be revised in line with new UKRO guidelines.

ECG Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices

This the Research and Ethics Committee meets 4 times per year and discusses these issues. Membership includes representatives across our research community (ECR/Reader/Mid-Career Researcher and Professors). There are termly meetings with the Research leadership community to discuss issues around research environment, culture and strategy, and this is a regular topic of meeting with our Unit of Assessment Leaders for REC. We have not set up a Researchers Forum for our Research Only Fixed Term Contract (FTC) staff due to the small numbers involved, but we engage with them directly on a range of issues through training and development, and one-to-one consultations. There is FTC research staff representation in the HR Excellence in Research working group. ACTIONS AGREED: Take part in the combined CROS/PRLS (CEDARS) survey and evaluate results of this to identify impact and actions to inform our policy and practice. An annual meeting for FTC and research only staff will be set up to discuss relevant issues and to feed into the Concordat review to assess how they can best engage with research initiatives across the university, and will inform the bespoke training that is put in place through the Researcher Development programme. Will also explore opportunities for more informal networking.

ECPD Including requirements which promote equitable, inclusive and positive research cultures and working conditions in relevant funding calls, terms and conditions, grant reporting, and policies

RSO reviews updated to terms and conditions and ensures that institutional policies comply, or are revised and introduced as result of funder requirements. ACTIONS AGREED: Work with research leads to ensure that all staff are aware of funding opportunities, and are supported to apply where appropriate. 1/2 funding workshops to be offered as part of RDP each academic year.

ECPF Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers

ACTION AGREED: Work with HoS and HR business partners to explore flexible working patterns as part of bid development and approval processes.

ECPF2 Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognize personal contexts, and promote positive research cultures and working conditions

ACTION AGREED: Equality Impact Assessment to be developed to review staff who apply for funding opportunities, and action plan developed to address any positive action.

ECPF3 Manage all research calls to the best end:

- Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work

The University has a suite of on-line training which all managers are required to complete. Equity & Diversity training was also put in place for all those involved in the identification of staff and outputs for REC. ACTIONS AGREED: HR: to track completion of these on-line modules through new system in 20/21 - Launch of new Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU.

- 60% of staff have completed the on-line E&D training modules on unconscious bias and equality and diversity. First cohort 2020-21.

- 31/07/2021 HRI/ISO Roll-out of ethics training is ongoing, supported by a series of workshops. This included a staff, and a workshop for PhD students, which will be repeated in Spring 2022. The review of the Academic Misconduct policy was delayed, and will be completed by the end of the 21/22 academic year. Owing to a number of reasons, we have not yet rolled out mandatory ethics training this year. Staff will be completed for the annual report to Board of Governors in June 2022. Enhanced ethics training is being planned for staff and PhD students and supervisors in May/June 2022, using additional HEQR funding ring-fenced for this purpose.

- Launch of new programme and target of 60% completion by 31st July 2022 and 98% completion by end of July 2023.

- Workshops on Research Ethics’ available to all staff and PhD researchers, with bespoke follow-up workshops available to UEP and to Ethics Reviewers in Schools.

- Academic Misconduct policy to be approved by 31 July 2022.

- 31 July 2022 ISO CEDARS has been delayed until the next round as set out above. PVORE has met with FTC research staff and this will be an ongoing event. “The Network” is being run now by the FTC researcher community and they have been allocated a small budget to support their development. A new ESR network has been put in place for 2021/22 academic year, supported by external facilitation. Evaluation of the ESR network and the FTC network will take place in the summer to inform the 2022/23 programme. HRExWG will review CEDARS outputs to inform advocacy work for the 2023/4 survey.

- Initial target of 50% staff engagement in 21/22 CEDARS, followed by a discussion of the results at Research leaders meeting and at a bespoke meeting with Research Staff

- Annual meeting for 2020/21 set up for June/July 2021

- The Network: bespoke series of online workshops on topics chosen by the FTC cohort is running throughout 2020-21 which offers an important place for networking across BSU. Continue this in some form for 2021/22

- 60% of staff have completed the on-line E&D training.

- 31 July 2022 ISO Research integrity training is ongoing, supported by a series of workshops. This included a staff, and a workshop for PhD students, which will be repeated in Spring 2022. The review of the Academic Misconduct policy was delayed, and will be completed by the end of the 21/22 academic year. Owing to a number of reasons, we have not yet rolled out mandatory ethics training this year. Staff will be completed for the annual report to Board of Governors in June 2022. Enhanced ethics training is being planned for staff and PhD students and supervisors in May/June 2022, using additional HEQR funding ring-fenced for this purpose.

- ACTIONS AGREED: Equality Impact Assessment to review staff undertaking E&D modules to inform the bespoke training that is put in place through the Researcher Development programme. Will also explore opportunities for more informal networking.

- First cohort 2020-21

- ACTIONS AGREED: Take part in the combined CROS/PIRLS (CEDARS) survey and evaluate results of this to identify impact and actions to inform our policy and practice.

- Launch of new annual Research & Enterprise Leadership Programme

- Track completion of these on-line modules through new system in 20/21

- Complete. Equality & Diversity training was also put in place for all those involved in the identification of staff and outputs for REC.

- ACTIONS AGREED: HR: to track completion of these on-line modules through new system in 20/21 - Launch of new Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU.

- 31/07/2021 HRI/ISO Review of on-line training will be undertaken by UEP, followed a review of systems to enforce compliance. The first cohort of the RAE Leadership programme was presented to SLG in July 21. It has been agreed that this will be a programme that is launched every two years, to allow the new leaders a year to embed their learning and practice. Analysis of training to be undertaken in Feb 2022 for review by UEP, and to inform annual report to BoG.

- 30 June 2021 HRI/ISO First cohort of RAE leadership programme complete. Next
<table>
<thead>
<tr>
<th>Action Number</th>
<th>Description</th>
<th>Status</th>
<th>Date/Target</th>
<th>Responsible Body</th>
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<tbody>
<tr>
<td>ECO42</td>
<td>Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct</td>
<td>New</td>
<td>31 July 2022</td>
<td>RSO</td>
</tr>
<tr>
<td>ECO43</td>
<td>Promote a healthy working environment that supports researchers’ wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity</td>
<td>New</td>
<td>31 July 2022</td>
<td>RSO</td>
</tr>
<tr>
<td>ECO44</td>
<td>Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers</td>
<td>New</td>
<td>30 June 2021</td>
<td>RSO</td>
</tr>
<tr>
<td>ECO45</td>
<td>Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution</td>
<td>New</td>
<td>30 June 2021</td>
<td>PVCRE</td>
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The University undertakes a staff survey each year which allows staff to flag up any areas of concern. We are also intending to participate in the new (joint CEDARS survey next year) which addresses some of these issues. Researchers are required to undertake annual appraisals which gives them the opportunity to discuss any ongoing concerns. The University also has an academic misconduct policy which sets out how the university responds to any issues raised. ACTIONS AGREED: There will be a new suite of on-line Research Integrity & Ethics materials launched in 20/21 and staff will be encouraged to complete this as part of their refresher training.

- Workshops for academic staff will be embedded as part of this process.
- Launch of new annual Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU

Launch of new programme and target of 60% completion by 31 July 2022 and 98% completion by end of July 2023.

Worksshops on ‘Research Ethics’ available to all staff and PhD researchers, with bespoke follow-up workshops available to UEP and to Ethics Reviewers in Schools.

First cohort 2020-21

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The University has in place a series of policies which address these issues - Harassment Policy, Grievance Policy, Capability and Conduct, and is developing its academic misconduct policy. Experience and compliance with these policies are monitored through the annual staff survey. This is evaluated and discussed at a Staff Survey Working Group and managers are required to put actions in place to address concerns raised. The university also has an employee wellbeing policy, and staff are encouraged to address any issues of concern on an ad hoc basis with their Line Managers, and through the annual appraisal process. ACTIONS AGREED: Continue to publicise and disseminate policy and procedures in this area and monitor impact and effectiveness through the annual staff survey.

- New academic misconduct policy to be introduced through meetings with research staff in schools through a staff consultation process. Bullying and Harassment policy to be reviewed in line with particular needs of research only staff (in relation to Line Management).
- Launch of new annual Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU

Academic Misconduct policy to be approved by 31 July 2022.

First cohort 2020-21

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The University has flexible working and job-sharing policies, and a flexi working scheme which is open to all staff. Discussions take place between the postaward team and PIs if researchers require special working arrangements, and these are considered in line with funder terms and conditions where appropriate. ACTIONS AGREED: Continue to work with HR to ensure that training and appropriate arrangements are disseminated to all research staff. Access to work issues and inclusivity to be incorporated as part of this process e.g. those raised by the Disabled Staff network. Line Managers of FTC researchers in particular to be trained in these issues.

- Launch of new annual Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU

Equality Impact Assessment to review staff undertaking research bidding activities to be developed, with an EIA annual review to include analysis of PT staff and positive actions identified

First cohort 2020-21

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The Pro-Vice Chancellor (Research & Enterprise) chairs a termly Research Leaders meeting, where these sort of issues are discussed. Researchers are also represented on the Research and Ethics Committee, and town meetings are set up to deal with specific policy initiatives such as REF, and the development of the University 2030 strategy. Research Leaders are actively involved in the development of the 2030 Research Strategy, and in discussions around research environment and culture. ACTIONS AGREED: Continue to roll out a range of focus groups to further develop the research strategy throughout 2020 e.g. via town hall meetings for PGR students and staff constituencies. In particular these could address issues raised in the staff and CEDARS surveys.

- Launch of new annual Research & Enterprise Leadership Programme which covers these topics and supports the development of a cross-university cohort of research leaders with the opportunity for them to shape the research culture and environment at BSU

Research Strategy Town Hall meeting to be arranged for January 2021 to consult on final version of 2030 research and enterprise strategy

First cohort 2020-21
Researchers are encouraged to join a Research Centre or Group which best represents their area of research expertise, and to take part in its activities. These include seminars, talks, workshops and grant writing meetings. There is a research mentor scheme in place to support Early Stage Researchers (ESRs) and Three Strategic Research Leaders also mentor and support colleagues in their research activities. All new staff are invited to research induction events and there is a PGR student induction programme. The Researcher Development Programme is open to all academic staff and research students and offers an opportunity for staff and students to share good practice and engage with each other as part of their professional development.

**ACTIONS AGREED:** Strategic Research Centres to develop their leadership across the community, and in mentorship of new Research Centre leaders. - Continue to provide ESR staff with mentors, and to embed 360 mentorship programmes into R&E Leadership programme
- The Researcher Development Programme continues to be open to all academic staff and research students and offers an opportunity for staff and students to share good practice and engage with each other as part of their professional development.

New annual scheme for ESFs launched October 2020 and is monitored across the year. RELP mentoring launched November and monitored until June 2021. This will be an annual ongoing programme.

High levels of engagement with the workshops (online at present due to Covid) and continued positive feedback.

Launch of new Research Integrity programme and target of 80% completion by 31 July 2021 and 90% completion by end of July 2022

- R&E Leadership cohort will present recommendations on improving research integrity and enterprise strategy.
- Mindfulness podcasts ‘Mindful moments’ to be launched in Autumn 2021.
- Professoriat event to be held in April 2021. Mindfulness podcasts launched and workshops have taken place in Autumn 2021. Programme is currently being reviewed for follow-up events.
Provide effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position

There is a general staff induction programme for all staff, introducing them to the University and its policies and processes. The Research Office also offers a research induction workshop for all new academic starters, in collaboration with Library Services. All new ESR staff are offered a research mentor, and have a discussion with their UOA Leader in relation to whether they can be identified as "Significantly Responsible for Research" or an "Independent Researcher" for REF purposes. **ACTIONS AGREED:** Develop a virtual version of the Research induction programme, with interactive video links for the intranet for those that cannot attend. Offer follow-up one-to-one sessions with RSO staff where required.

- RSO staff to co-facilitate RDP workshops on relevant issues such as funding, bid development, project management etc

Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances

The University has an annual round of promotions to Heads and Professors in three routes: Research; Creative Enterprise and Innovation and Teaching and Learning. All pathways have clear criteria that are circulated to all staff, and promotion workshops are offered to all interested candidates at the start of each annual round. There is an annual VC Awards scheme with categories to recognise teams and individuals, and the research office has a regular newsletter that highlights research successes and achievements. **ACTIONS AGREED:**

- Further developing coaching sessions for promotion pathways.
- Develop a spotlight section on the Research Newsletter for research staff.
- Roll out Research Matters initiative to showcase research success across university.

**One-to-one coaching meetings offered to those Research leaders who were unsuccessful in their applications for the REF Leadership Programme but who intend to go for promotion in the next five years. All those successful applicants on the course will benefit from bespoke support in this area.**

Spotlight at least 10 research staff across 2020-21.

Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent

The University has a range of Management training in place, and has a Line Managers forum which encourages the sharing of good practice and promotes professional development. The RDP runs training workshops in research leadership and management, and in project management for PIs and Co-Is leading research projects. **ACTIONS AGREED:** Review the leadership training programme and create a pathway specifically for research leaders in collaboration with PVC External in collaboration with the creative leaders network.

**Project Management training offered to all staff through the RDP.**

**New Research & Enterprise Leadership Programme launched in 2020-2021.**

Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation

All staff are required to undertake an annual appraisal and transparent promotion criteria are in place for academic staff. Research only staff are eligible to apply for promotion if they meet the criteria, and can also apply for a job regrade through the development of a business case with their Line Manager within the research job family if their role changes substantially. Research staff are eligible for redeployment and these avenues are explored at the end of fixed term contracts. The workload allocation model is being piloted at the moment, with a view to roll out across all academic schools in the 21-22 academic year (delayed due to Covid-19). **ACTIONS AGREED:** Continue to work with HR and PVC Operations to input into research elements of the Workload Planner.

**New Workload Planner will be launched in 2021-22.**

Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress

Where funding allows, research only staff can be appointed on open-ended contracts. At the end of a fixed term contract period, redeployment opportunities are made available to affected staff, and other funding routes and opportunities are discussed. PVCs and FTO staff have the option to remain in contact with the university through our Visiting Research fellow scheme, which allows them continued access to a Bath Spa email address, Library resources and support for the development of research grant applications. HR are involved in the identification of research roles at application stage, and are discussed. PhD alumni and FTCR staff have the option to remain in contact with workshops planned as part of the RDP in 2021/22.

**Consultation meetings on job security for contract researchers offered each year with the PVC/CRE and RSO team.**

**Seed funding programme to be launched in Dec 2020 which will offer opportunities for RA support.**

Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making

Research staff are embedded within academic school communities through Research Centres and Groups, and are encouraged to take part in university-wide research initiatives. The RDM Manager has one-to-one discussions with all of our FTO research staff and keeps in touch through a range of research development initiatives. Researchers take part in Town Hall meetings and other events related to discussions on research policy, and there is an ERC/FTC representative on the University's Research and Ethics Committee. **ACTIONS AGREED:** Continue to offer opportunities for research staff to engage in workshops and focus groups. Research Leader meetings feed into Research and Ethics Committee and termly Research Forums are put in place for researchers to discuss their work and explore interdisciplinary collaborations, culminating in the annual Research Festival.

**New Research & Enterprise Leadership Programme launched in 2020-2021, with outcome of presenting to SLG on their suggested culture-changes.**

**This was successfully completed. The next bake will be completed by 2020/21.**

**Funders must:**

- Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting and policies.

**RSO reviews updated to terms and conditions and ensures that institutional policies comply, or are reviewed and introduced as result of funder requirements.** **ACTIONS AGREED:** RSO to discuss any funder requirements with HR changes implemented in line with funding requirements.

**July 2022 - RSO/OPR This is an ongoing review.**
**EP2** Review the impact of relevant funding call requirements on researchers’ employment, particularly in relation to career progression and lack of job security

**ACTION AGREED:** RSO to discuss any funder requirements with HR

Changes implemented in line with funding requirements

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<th>Action</th>
<th>Notes</th>
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<tr>
<td>July 2022</td>
<td>RSO/HR</td>
<td>This is an ongoing review.</td>
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**EP3** Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide guidance for career progression

**ACTION AGREED:** PVCRE to discuss the issue of research staff promotion pathways when university financial position allows

Develop promotion pathway for researchers as part of the 2021/22 review

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<tr>
<td>July 2022</td>
<td>PVCRE</td>
<td>This is on hold due to financial restrictions</td>
</tr>
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</table>

**EP4** Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels

**ACTION AGREED:** RSO continues to support all research staff in applying for funding and provides funding development workshops. As part of the application process, discussions are held with HoS about contract extensions if bids are successful.

Continue to provide funding funding and developing application workshops as part of the 2021/22 RDIP.

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<td>July 31 2021</td>
<td>RSO</td>
<td>There are funding workshops available in the 2021/22 RDIP.</td>
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</table>

Manager of researchers must:

**EMT** Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care

All Line Manager are required to undertake Line Management training and take part in the Line Management forum. **ACTION AGREED:** Review the leadership training programme and create a pathway specifically for research leaders in collaboration with PVC External in collaboration with the creative leaders network


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<td>This was successfully completed. The next intake will be 2022/23.</td>
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**EMW** Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding

RD1 organise staff meetings with PI, finance and HR to go through terms and conditions of grant prior to the start of funded projects. Project Management training is offered through the RDIP for PIs and Co-Is. **ACTION AGREED:** Research Leader meetings to focus on a particular element of legislation and codes of practice as part of each session. Start up meetings continue to be set up with PIs for all new grants, and terms and conditions discussed as part of project management support


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**EMS** Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers

All staff are required to undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process. HR provides LM training for all staff linked to this issues. E&D information related to promotion are evaluated and reviewed on an annual basis and any issues referred to E&D Steering Group for action. **ACTION AGREED:** RSO to continue to work with HR to review E&D recruitment data related to research staff and to take positive action where appropriate. All staff are required to undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process. HR provides LM training for all staff linked to these issues. E&D information related to promotion are evaluated and reviewed on an annual basis and any issues referred to E&D Steering Group for action


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<td>July 31 2021</td>
<td>RSO/HR</td>
<td>This was successfully completed. The next intake will be 2022/23.</td>
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</table>

**EMF** Actively engage in regular constructive performance management with their researchers

All staff are required to undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process. HR provides LM training for all staff linked to this area. This area is also part of discussions at Research Leader Meetings, and Training in Mentoring and Coaching is available to staff through the MAHKP Programme. **ACTION AGREED:** A new research and enterprise development form has been launched to help staff have conversations with a research mentor about their development needs, and to feed this into their annual SDR. Coaching for research leaders is being explored as part of the 2021/22 RDM. HR is monitoring SDR completion manually for 2021/22 and will set a benchmark for completion at the end of this process.

Launch of development forum to eform 2021/2 round of SDRs, followed by evaluation and review for 21/22 round. Review of SDR completions and target set for 2021/22.

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<th>Date</th>
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<tr>
<td>June 2021</td>
<td>RSO/HR</td>
<td>The R&amp;D development form was approved by HoS and launched in June 2021. A review is currently under way at the level of the WLP pilot. The SDR process is now run manually, and completion rates are not accurate. HR will review this in May 2022. Currently “37 SDRs out of 1036 have been marked as being completed since May 2021 but this is a manual process”</td>
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**EMG** Engage with opportunities to contribute to relevant policy development within their institution

All staff are given the opportunity to engage with policy development through Town Hall meetings. Research leaders meetings and the professional Working Groups are also set up and membership sought for specific policy areas (e.g. open access, KE). **ACTION AGREED:** Continue to engage widely on policy developments across the research community.

New Research & Enterprise Leadership Programme launched in 2020-2021, with outcome of presenting to SLG on their suggested culture changes.

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Researcher must:

**ERH** Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder

All staff at the University have an induction season where they are introduced to the university, its policies and procedures, as well as a research and library induction which focuses on support that the University provides for their research activities. There is a start up meeting with the project team at the start of any externally funded awards, where any particular funder terms and conditions can be discussed, and a postaward team supports them through their grant with any funder queries. **ACTION AGREED:** Work is ongoing to ensure that the RSO intranet pages are kept up to date with relevant information to support researchers at the university. There is a dedicated suite of pages on the university intranet pages for staff, and on the website for staff, PhD students and external collaborators. - Research Induction now offered virtually with interactive videos on-line

48% of new staff to attend virtual induction sessions on an annual basis.

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<tr>
<td>31 July 2021</td>
<td>RSO</td>
<td>Research induction and training is ongoing with workshops planned as part of the RDIP. HoS invited attended a session across the 2019-2021 period. SULIS pages have been updated and ‘talking heads’ videos published</td>
</tr>
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</table>
Understanding their reporting obligations and responsibilities

As above, through induction processes. The RSO works closely with research project teams and research staff to support them in their activities. ACTION AGREED: RSO continues to work closely with researchers and their teams.

To actively engage with performance management discussions and reviews with their managers

All staff are required to undertake an annual Staff Development Review with the Line Manager. ACTION AGREED: RSO is working with HR to implement an annual research plan into the SDR process. HR to add how they monitor SDR completions and enforce this across the university. All staff are required to undertake an annual Staff Development Review with their Line Manager.

Recognition and act as key stakeholders within their institution and the wider academic community

Researchers are encouraged to engage in the activities of their academic school and of the research centre or group that they are affiliated to. They are supported to take part in their external academic networks and to attend conferences and workshops. There is an annual research conference at the university that enables staff to showcase their research, and their projects are disseminated through the monthly research newsletter and through the Research Matters initiatives. Researchers are represented on the HR Excellence Working Group and on the University Research & Ethics Committee. ESR staff and PhD students are encouraged to develop and run workshops through the Researcher Development Programme. ACTIONS AGREED: Continue to fund the Journeys in Research series in the Researcher Development Programme and to identify funding sources to support wider researcher development.

Professional and Career Development

Institutions must:

- Encourage researchers to engage with Research Centre activities and will be encouraged to develop and run workshops through the Researcher Development Programme.
- Be open to all staff.

The Researcher Development Programme offers a full range of research-related training opportunities for staff and PhD researchers across the University. This includes centrally run training, externally facilitated online courses (Research Integrity, Research Supervision, Workflows for all aspects of PhD process and experience etc.), funding schemes for ESRs and PhDs to design and run their own training (Journeys in Research Series), bespoke support and training options for Contract Researchers, Mentoring Scheme for ESRs, Writing retreats for PhDs, Writing retreats for staff, etc. ACTION AGREED: 10 days professional development to be ring-fenced for all Research only staff. Recommendation to all HoS that in addition to the 180 hours research time for SRR staff, as best practice, an additional 60 hours be made available for professional and career development (outside of formal scheduled teaching (FST) time).

Alignment of hours to be agreed with HoS and built into workload planner pilot in 21/22. New workload planner will allow time spent on researcher development to be logged, and this will be reviewed at the end of the pilot year to see how effectively this is resourced at the moment.

- Opportunities for development offered at all levels both within RDF and in associated programmes (RAE, Leadership Programme and MAs in Researcher Development and Supervising Research). ACTION AGREED: RSO is working with HR to implement an annual Staff Development Review with the Line Manager.

- Need to continue to work with Line Managers and lead researchers to ensure training and development is protected for research staff.

Provide opportunities, structured support, and time for researchers to engage in meaningful career development activities and to develop research and leadership skills.

The R&A development form was approved by SRR and launched in June 2021. A review is currently under way as part of the WLP pilot.

Research staff have allocated hours included in project teams.

All staff are required to undertake an annual Staff Development Review with their Line Manager.

Annual research plan to be discussed with Heads of School in 20/21 for implementation in 2021/22.

The RAE development form was approved by HR and launched in June 2021. A review is currently under way as part of the WLP pilot.

Leadership skills, Research Identity and Research Management are embedded within many of the training sessions across the programme. Leadership is also one of the criteria for promotion. ACTION AGREED: Researchers continue to be encouraged to engage with Research Centre activities and will be mentored by Strategic Research Leaders in this area.

Institutions must:

- Encourage researchers to engage in the activities of their academic school and of the research centre or group that they are affiliated to. They are supported to take part in their external academic networks and to attend conferences and workshops. There is an annual research conference at the university that enables staff to showcase their research, and their projects are disseminated through the monthly research newsletter and through the Research Matters initiatives.

Researchers are represented on the HR Excellence Working Group and on the University Research & Ethics Committee. ESR staff and PhD students are encouraged to develop and run workshops through the Researcher Development Programme. ACTIONS AGREED: Continue to fund the Journeys in Research series in the Researcher Development Programme and to identify funding sources to support wider researcher development.

- Ternary Research Forums will be put in place for researchers to discuss and explore interdisciplinary collaborations, culminating in the annual Research Festival.

Provide training, structured support, and time for researchers to engage in meaningful career development activities and to develop research and leadership skills.

The R&A development form was approved by SRR and launched in June 2021. A review is currently under way as part of the WLP pilot.

Research staff have allocated hours included in project teams.

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Leadership skills, Research Identity and Research Management are embedded within many of the training sessions across the programme. Leadership is also one of the criteria for promotion. ACTION AGREED: Researchers continue to be encouraged to engage with Research Centre activities and will be mentored by Strategic Research Leaders in this area.

Institutions must:

- Ensure that researchers have access to professional advice on career management, across a breadth of careers.

Career development workshops, and a module in Researcher Development with a specific career focus is available each year to the PhD and ESR Community. There is also an ESR Mentoring Scheme and a Coaching Network open to all staff. ACTION AGREED: Strategic Research Leaders to provide mentorship and support for research staff in this area, RSO to build up resource bank to help inform this process.

Career development workshops and the MA in Researcher Development to run in 2020/21.

ESR Mentoring Scheme re-launched and new ERIs and Mentors recruited for 2020-21.

The Network’ launched for Contract Researcher community which includes bi-monthly workshops and bespoke career coaching and advice.

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The Network’ launched for Contract Researcher community which includes bi-monthly workshops and bespoke career coaching and advice.
Recognise that moving between, and working across, various employment sectors can bring benefits to researchers and enhance their career development. RSO continues to work with the Graduate College and Careers Office in this area, and to explore opportunities for fellowships, internships and placements through the Enterprise space - The Studio at Palace Yard Mews. RSO continues to work with External Affiliates on promoting consultancy and business engagement activities for staff.

New

Monitor and report on the engagement of researchers and their managers with professional development activities, and researcher career development needs.

Engagement with Researcher Development Programme is monitored by the Research Development Manager, with records taken of all participation in courses and events. Action agreed: RDM to continue to report on and review training uptake across staff and PhDs in relation to research, HR to continue to report on and review SDR processes and centralised HR training. RSO continues to work with HR on developing a research career plan for discussion as part of SDR process.

New

Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers’ engagement in a minimum of 10 days’ professional development per year, and evidence of effective career development planning.

RSO reviews updates to terms and conditions and evidence that institutional policies comply, or are revised and introduced as a result of funder requirements. Action agreed: Ensure that funder requirements are costed into bids and discussed with the approver for each application. Disseminate funder requirements across the research community and develop research leaders to have career progression training as above.

New

Embed the Concordat Principles and researcher development into research assessment strategies and processes.

Action agreed: Ensure that funder requirements are considered and met when preparing interim and final reports. Embedded into start-up grant meetings.

New

Acknowledging that a large proportion of the researchers we fund will move on to careers beyond academia, and consider how we can encourage and support this within our remit.

Action agreed: Continue to run career development workshops as part of RDP, and embed career progression skills into leadership programme New workload planner will allow time spent on researcher development to be logged, and this will be reviewed at the end of the pilot year to see how effectively this is resourced at the moment.

New

Engage in regular career development discussions with their researchers, including holding a career development review at least annually.

All staff are required to undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process. RSO’s L&M training for all staff linked to these issues. Action agreed: Career development workshops and material to be sourced from across the sector and embedded within research leadership programme. RSO to continue with HR on developing a career research plan for discussion as part of SDR process.

New

Support researchers in exploring and preparing for a diversity of careers, for example, through the use of bespoke postdocs, researchers, training, and secondments.

All PhD supervisors and Research Leaders are encouraged to engage with research supervision, in-person, online, and through an MA in Supervising Research. Likewise, Research Leaders are encouraged to act as Mentors on the ESF Mentoring Scheme and the MA in Supervising Research. All mentors are offered bespoke materials and the option to attend an MA Module (Mentoring and Coaching). Action agreed: Research Managers continue to be encouraged to discuss these issues with their research staff, and further guidance and support will be provided through coaching sessions through the RDP. RSO continues to work with External Affiliates on promoting consultancy and business engagement activities for staff.

New

Allocate a minimum of 10 days pro-rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development.

Training workshops are offered in the Research Development Programme. RSO continues to work on developing and supporting the professional development of the researchers managed by participants and involves participants being mentored and mentored by other researchers.

New

Allocate a minimum of 10 days pro-rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development.

RSO collaborated with URCA on leading the public symposium on PDR Employability in 2020 and beyond: New Agendas and Developing Practices (April 2020). Following up from this event, the Researcher Development Manager is working with the Careers service to develop resources and that a placements scheme for PhD Researchers, Enterprise and Innovation is now a pathway in a promotions criteria with specific Readers and Professors promoted in this area.

The University has a Consultancy Policy and provides support for staff engaged in Consultancy activities. Action agreed: RSO will continue to work with the Graduate College and Careers Office in this area, and to explore opportunities for fellowships, internships and placements through the Enterprise space - The Studio at Palace Yard Mews. RSO continues to work with External Affiliates on promoting consultancy and business engagement activities for staff.

New

Career development workshops and the MA in Researcher Development to run in 2020-21.

ESF Mentoring Scheme re-launched and new ERIs and Mentors recruited, with additional pre-planned workshops. Action agreed: RSO/MHR to continue to work with HR on developing a research career plan for discussion as part of SDR process.

New

ESR Mentoring Scheme re-launched and new ERIs and Mentors recruited. Action agreed: RSO will continue to work on and develop SDR processes and centralised HR training. RSO continues to work with HR on developing a research career plan for discussion as part of SDR process.

New

Funders must:

• Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers’ engagement in a minimum of 10 days’ professional development per year, and evidence of effective career development planning.

• Undertake career development sessions as part of this process. HR continues to work with HR on developing a research career plan for discussion as part of SDR process.

• Embed the Concordat Principles and researcher development into research assessment strategies and processes.

• Undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process.

• Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers’ engagement in a minimum of 10 days’ professional development per year, and evidence of effective career development planning.

• Embed the Concordat Principles and researcher development into research assessment strategies and processes. Action agreed: Ensure that funder requirements are considered and met when preparing interim and final reports.

• Acknowledge that a large proportion of the researchers we fund will move on to careers beyond academia, and consider how we can encourage and support this within our remit.

• Engage in regular career development discussions with their researchers, including holding a career development review at least annually.

• Support researchers in exploring and preparing for a diversity of careers, for example, through the use of bespoke postdocs, researchers, training, and secondments.

• Allocate a minimum of 10 days pro-rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development.

• Recognise that moving between, and working across, various employment sectors can bring benefits to researchers and enhance their career development.
Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours.

All PhD Supervisors and Research Leaders are encouraged to engage with training in Research Supervision, in-person, online, and through an MA in Supervising Research. RSO also supports attendance at the NCPE Engage Academy and the Leadership Foundation programmes. ACTION AGREED: RSO to collate a suite of training opportunities and secure funding to support emerging leaders on these programmes, tied into promotion training and criteria. MA modules in Supervising Research and Mentoring and Coaching to run in 2020-21, along with Research & Enterprise Leadership Programme.

Funding made available for supporting research managers on external leadership opportunities, and advertised through RSO.

31 July 2021 RSO

ACTION COMPLETED

Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development.

Research Managers are included in the termly Research Leaders Meetings, which have a focus on their development, and are encouraged to become mentors on the schemes led by the Research Office which also include training opportunities. They are also invited to the HR Line Managers Forum and training series.

ACTION AGREED: Leadership and management training available to be mapped against the three routes to promotion and staff encouraged to attend as appropriate.


One-to-one coaching meetings offered to those Research leaders who were unsuccessful in their applications for the N&E Leadership Programme but who intend to go for promotion in the next five years. All those successful applicants on the course will benefit from bespoke support in this area.

ACTION AGreed: RSO/HR on developing a research career plan for discussion as part of SDR.

31 July 2021 PC/ORE

No successful candidates were offered feedback on their applications. ACTION COMPLETED

Explore and prepare for a range of employment opportunities across different sectors, such as by making use of mentors, careers professionals, training and secondments.

Opportunities for development in this area are offered centrally to PhDs and PhD researchers across the university. This includes centrally run training, externally facilitated online courses (Research Integrity, Research Supervision, Webinars for all aspects of PhD process and experience etc.), funding schemes for ESRFs and PhDs to design and run their own training (Journeys in Research Series), bespoke support and training options for Contract Researchers, Mentoring Scheme for ESFs, Writing retreats for PhDs, Writing retreats for staff, etc. ACTION AGREED: RSO continue to work with HR on developing a research career plan for discussion as part of SDR process. Recommendation to all HoS that in addition to the 150 hours research time for SRR staff, as best practice, an additional 60 hours be made available for professional and career development (outside of formal scheduled teaching (FST) time). Coating methodologies to include 10 days pro rata for all Cuts and PIs on funded projects.

Alignment of hours to be agreed with HoS and built into workload plan to 21/22. New workload plan will allow time spent on researcher development to be logged, and this will be reviewed at the end of the pilot year to see how effectively this is resourced at the moment.

A full Researcher Development Programme will run (predominantly online) to offer training and development opportunities, alongside specialised support through schemes such as the MA in Researcher Development, the Journeys in Research series, and ’The Network’ for Contract researchers, and noting opportunities to engage in Writing Retreats.

July 2022 RSO/TR

On hold for all academic staff as noted above apart from general time as part of WLP tariff. Limited RDP was offered this academic year due to resignation and subsequent vacancy of the RSM postholder. Ongoing monitoring and review of programme.

ACTION CARRIED FORWARD

Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications.

PhDs are particularly encouraged to enroll on the accredited MA Module in Researcher Development, which includes the creation, development and reflection on their career development plans across the module. Sessions on employability are open to staff and PhDs. Promotions workshops offer training in evidencing skills and experience to meet relevant criteria. ACTION AGREED: RSO continue to work with HR on developing a research career plan for discussion as part of SDR process.

Annual research plan to be discussed with Heads of School in 20/21 for implementation in 2021/22

31 July 2022 RSO/1TR

The R&E development form was approved by HoS and launched in June 2021. A review is currently underway as part of the WLP pilot.

ACTION CARRIED FORWARD

Positively engage in career development reviews with their managers.

All staff are required to undertake annual reviews with their staff (SDR) and should undertake career development sessions as part of this process. RSO provides LM training for all staff linked to these issues. ACTION AGREED: RSO continue to work with HR on developing a research career plan for discussion as part of SDR process. RSO to make information available on funding opportunities to staff nearing PhD completion and to ensure that they retain access to emails and are offered visiting researcher opportunities where appropriate.

Annual research plan to be discussed with Heads of School in 20/21 for implementation in 2021/22

31 July 2022 RSO/1TR

The R&E development form was approved by HoS and launched in June 2021. A review is currently underway as part of the WLP pilot.

ACTION CARRIED FORWARD

Seek out, and engage with, opportunities to develop their research identity and broader leadership skills.

Opportunities for development in this area are offered centrally to PhDs and ESFs through the Researcher Development Programme and associated provision. ACTION AGREED: RSO to collate a suite of training opportunities and secure funding to support emerging leaders on these programmes, tied into promotion training and criteria.

A full Researcher Development Programme will run (predominantly online) to offer training and development opportunities, bespoke specialised support through schemes such as the MA in Researcher Development, the Journeys in Research series, and ’The Network’ for Contract researchers.

31 July 2021 RSO

ongoing, plus an ESR network has been put in place for the 2021/22 academic year.

ACTION COMPLETED

Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development per rata per year.

The Researcher Development Programme offers a full range of research-related training opportunities for staff and PhD researchers across the university. This includes centrally run training, externally facilitated online courses (Research Integrity, Research Supervision, Webinars for all aspects of the PhD process and experience etc.), funding schemes for ESRs and PhDs to design and run their own training (Journeys in Research Series), bespoke support and training options for Contract Researchers, Mentoring Scheme for ESRs, Writing retreats for PhDs, Writing retreats for staff, etc. ACTION AGREED: RSO continue to work with HR on developing a research career plan for discussion as part of SDR process. Recommendation to all HoS that in addition to the 150 hours research time for SRR staff, as best practice, an additional 60 hours be made available for professional and career development (outside of formal scheduled teaching (FST) time). Coating methodologies to include 10 days pro rata for all Cuts and PIs on funded projects.

Assignment of hours to be agreed with HoS and built into workload plan to 21/22. New workload plan will allow time spent on researcher development to be logged, and this will be reviewed at the end of the pilot year to see how effectively this is resourced at the moment.

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July 2022 RSO/TR

On hold for all academic staff as noted above apart from general time as part of WLP tariff. Limited RDP was offered this academic year due to resignation and subsequent vacancy of the RSM postholder. Ongoing monitoring and review of programme.

ACTION CARRIED FORWARD

All unsuccessful candidates were offered feedback on their applications.

ACTION COMPLETED

ACTION AGREED: RSO to collate a suite of training opportunities and secure funding to support emerging leaders on these programmes, tied into promotion training and criteria.

All PhD Supervisors and Research Leaders are encouraged to engage with training in Research Supervision, in-person, online, and through an MA in Supervising Research. RSO also supports attendance at the NCPE Engage Academy and the Leadership Foundation programmes. ACTION AGREED: RSO to collate a suite of training opportunities and secure funding to support emerging leaders on these programmes, tied into promotion training and criteria.

MA modules in Supervising Research and Mentoring and Coaching to run in 2020-21, along with Research & Enterprise Leadership Programme.

Funding made available for supporting research managers on external leadership opportunities, and advertised through RSO.

31 July 2021 RSO

ACTION COMPLETED

ACTION AGREED: RSO continue to run and recruit PhD and ESR staff. Funding has been made available for staff leaders and project management training externally and to attend the NCPE Engage Academy.

PC/ORE

New
Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation.

Opportunities for development in this area are offered centrally to PhDs and ESRs through the Researcher Development Programme and associated provision. **ACTION AGREED:** RSO will continue to work with the Careers Office in this area, and to explore opportunities for fellowships, internships and placements through the Enterprise space - The Studio at Palace Yard Mews. RSO continue to work with External Affairs on promoting consultancy and business engagement activities for staff.

Up to 5 fellowships and placements per year to be in place by end of 21/22

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<th>31 July 2022</th>
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KE funding has been offered by Research England and we are exploring with them how we can use this funding to support internships and placements. A new Studio Recovery Fund is in place for 2021/22 aimed at linking academics and students with business and industry. Ongoing work in this area, linked to the KE Concordat Action Plan. 3 academic staff and 2 students have been appointed as fellows and interns.

**ACTION COMPLETED**

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* The Concordat defines researchers as individuals whose primary responsibility is to conduct research and who are employed specifically for this purpose by a higher education institution or research institute. The primary audience is research staff, e.g. postdoctoral researchers, research fellows, research assistants. The Concordat encourages institutions to include other groups who actively engage in research as beneficiaries of their Concordat action plan. These could be postgraduate researchers; staff on teaching and research, or teaching contracts; clinicians; professional support staff; technicians.