

**Environment and Culture - Institutions must:**

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECI1	Ensure that all relevant staff are aware of the Concordat	Staff are introduced to the Concordat at the Research Induction sessions, and details are circulated regularly in the Research newsletter.	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.	Town hall and communications strategy put in place for Autumn 2021. 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	Spring/Summer 2022	Research Support Office (RSO)
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	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.	Research induction materials to be made available to all staff on SULIS intranet from Jan 2021.	Target of 70% of new staff to attend a research induction session, and all materials to be online by Jan 2021.	Jan 2021	RSO
ECI3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support	There are university policies in place relating to employee wellbeing, equality and harassment 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 is in development, with tariffs to be agreed at School level. The Researcher Development programme runs sessions on mental health and wellbeing and these are offered to	WLP and workload tariff to be implemented across the university by end of 22/23 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.	Mindfulness podcasts 'mindful moments' to be launched in Autumn 2020. WLP tariffs to be piloted and launched by start of 21/22 academic year.	Autumn 2021 October 2021	RDM Pro-Vice Chancellor (Academic Planning)

	Obligation	Analysis of existing activity	Action	Success measure (SMART)	Deadline	Responsibility
	for those reporting issues	academic staff, researchers and PhD. The University also subscribed to a Lifeworks programme which is available to all academic staff.				
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	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 outputs.	Work with HR to ensure that training and development opportunities are disseminated to all research staff, and to monitor completion rates of mandatory training.  One of the key themes of the 2021 Professoriate is on wellbeing, and how to support this across our leadership community	60% of staff have completed the on-line E&D training modules on unconscious bias and equality and diversity.  Professoriate event was held in April 2021 and will be an annual event.	31/07/2021 and April 2021	HR/RSO

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECI5	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 set out how it complies with the UK Concordat 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. HoS 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 UKRIO and ARMA.	<p>There will be a new suite of on-line materials launched in 20/21 and staff will be encouraged to complete this as part of their refresher training.</p> <p>Workshops for academic staff will be embedded as part of this process.</p> <p>Academic misconduct policy to be revised in line with new UKRIO guidelines.</p>	<p>Launch of new programme and target of 60% completion by 31 July 2021 and 98% completion by end of July 2022</p> <p>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.</p> <p>Academic Misconduct policy to be approved by 31 July 2021.</p>	31 July 2021 31st July 2022  April 2021  31 July 2021	RSO

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECI6	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	The Research and Ethics Committee meets 4 times per year and discusses these issues. Membership includes representatives across our researcher 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 REF. 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.	Take part in the combined CROS/PIRLS (CEDARS) survey and will 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 and 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.	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	Spring/Summer 2022  July 2021  2020-21	RSO

**Environment and Culture - Funders must:**

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments 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	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	31 July 2022	RSO
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers	RSO reviews updated to terms and conditions and ensures that institutional policies comply, or are revised and introduced as result of funder requirements	Work with HoS and HR business partners to explore flexible working patterns as part of bid development and approval processes	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	20/12/21 and then annually	RSO/HR
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions	RSO reviews updated to terms and conditions and ensures that institutional policies comply, or are revised and introduced as result of funder requirements	Equality Impact Assessment to be developed to review staff who apply for funding opportunities, and action plan developed to address any positive action	EIA to be developed to assess research activities undertaken by academic staff to identify positive actions that can be taken to promote E&D across our research environment, followed by an annual review	20/12/21 and then annually	RSO/HR

**Environment and Culture - Managers of researchers must:**

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECM1	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. Equality & Diversity training was also put in place for all those involved in the identification of staff and outputs for REF.	HR to track completion of these on-line modules through new system in 20/21  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	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  30 June 2021	HR/RSO
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	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.	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 2021 and 98% completion by end of July 2022  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.  First cohort 2020-21	31 July 2021  31st July 2022  April 2021	RSO

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECM3	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	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.	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.	31/07/2022  30 June 2021	RSO/ University Secretary
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	The University has flexible working and job sharing policies, and a flexi working scheme which are 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.	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	31/07/2022 and annually thereafter  30 June 2021	RSO

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	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.	Continue to roll out a range of focus groups to further develop the research strategy throughout 20/21 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	01/01/2021  30 June 2021	Pro-Vice Chancellor (Research & Enterprise) PVCRE

**Environment and Culture - Researchers must:**

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students	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, and 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.	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 programme 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 ESRs launched October 2020 and is monitored across the year. RELP mentoring launched November and monitored until June 2021  High levels of engagement with the workshops (online at present due to Covid) and continuing positive feedback	July 31 2021  reviewed annually July 31 2021	RSO
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	All new academic and research staff are required to complete mandatory on-line research integrity training and are introduced to Code of Good Practice for Research as part of their research induction training. The University induction programme introduces staff to the equality policies, and there are a range of staff networks that staff can join to support Equality and Diversity across the Institution. These include: LGBTQ+ staff network, Disabled staff network, Women's staff network and a Global Inclusivity staff network.	Continue to publicise and disseminate policy and procedures in this area and monitor impact and effectiveness through the annual staff survey. Line Managers actively encourage research staff to take part in these network groups. Promotion of network activities to be highlighted in Research and BSU newsletters.	Launch of new Research Integrity programme and target of 60% completion by 31 July 2021 and 98% completion by end of July 2022	31 July 2021 and 31 July 2022	RSO

	<b>Obligation</b>	<b>Analysis of existing activity</b>	<b>Action</b>	<b>Success measure (SMART)</b>	<b>Deadline</b>	<b>Responsibility</b>
ECR3	Take positive action towards maintaining their wellbeing and mental health	Bath Spa University is committed to providing a safe, healthy and environmentally friendly workplace for all its employees. The University recognises that this duty extends to employee wellbeing and that this includes stress and mental ill health at work. All staff have access to an independent and confidential counselling, information and advice service which is provided by Lifeworks at no cost to employees.	Work with HR to ensure that training and appropriate arrangements are disseminated to all research staff.  One of the key themes of the 2021 Professoriate is on wellbeing, and how to support this across our leadership community	Mindfulness podcasts 'mindful moments' to be launched in Autumn 2020.  Professoriate event to be held in April 2021.	Autumn 2020  April 2021	RSO
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	The university has a whistle blowing policy, and a complaints policy which enables staff to raise issues relating to the behaviour of staff or students. There is also a grievance policy and an academic misconduct policy, which sets out how the university responds to complaints about its staff.	Work with HR to ensure that training and appropriate arrangements are disseminated to all research staff. 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)	Academic Misconduct policy to be approved by 31 July 2022.	July 2022	RSO
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Researchers are encouraged to respond to consultations and attend town hall meetings related to discussions on policy development, research environment and culture. These are open to researchers working remotely so that they can share their views, and recorded for staff unable to attend either in person or remotely. The University Research and Ethics Committee has elected representatives from across the research community, and research centres and groups are asked to report to REC on their activities on a bi-annual basis.	Continue to roll out a range of focus groups to further develop the research strategy throughout 20/21 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.  R&E Leadership cohort will present recommendations on improving research and enterprise culture at Senior Leaders Group at end of programme.	Research Strategy Town Hall meeting to be arranged for January 2021 to consult on final version of 2030 research and enterprise strategy.  SLG meeting in June 2021.	01/01/2021 and June 2021	RSO and PVCRE

