HREiR Action plan template July 2020 to July 2022

UNIVERSITY OF WOLVERHAMPTON

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HR EXCELLENCE IN RESEARCH

	Details	
Institution name:	**The University of Wolverhampton**	**The institutional audience* for this action plan includes (complete or delete, as appropriate):**
Cohort number:	**10**	
Date of submission:	**Deadline extended to 8th July 2020**	

Audience	#	Comments
Research staff	40	
Research and teaching staff	324	For those staff with significant responsibility for research.

	Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update (to be completed for submission)	Outcome/ result
Environment and Culture							
Institutions must:							
ECI1	Ensure that all relevant staff are aware of the Concordat	ECI 1 The Researcher Development Concordat will be published on the Research Web Pages and announced within University of Wolverhampton newsletters. The Researcher Development Concordat Committee will cascade the information within the University.	Publication of the new Concordat and the Researcher Development Concordat signatory letter on the Research web pages	July 2020	Research Policy Unit (RPU), External Engagement Directorate		
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	ECI2.1 All research policies and procedures are to be reviewed periodically as per the policy review schedule and communicated	ECI2.1 All policies and procedures to be published on website by December 2020.	Dec-20	Research Policy Unit (RPU)		
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 for those reporting issues	No further actions prioritised within gap analysis. Mental Health and Wellbeing for all staff is supported through the University's 'Staff Wellbeing Hub', Employee Assistance Programme and Occupational Health Service. The University Health and Wellbeing Committee has recently refreshed its strategy and Terms of Reference and reports directly into the University Health and Safety Committee chaired by the VC. The Chair of the Health and Wellbeing Committee is a member of the Researcher Development Concordat Committee providing a robust link between these two strands of work. University Policies and Procedures exist to support those reporting issues such as bullying and harassment etc.... They have recently been refreshed. Five new mandatory eLearning modules have been produced to support managers to understand new policies.	No further action - this will be taken forward by the Health and Wellbeing Committee.	No further action	No further action		
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	ECI4.1 Increase the awareness of Athena Swan and Race Equality Charter activities and principles	ECI4.1 Awareness of Athena Swan increased from 71% of respondents (CROS2019) to 85% in CEDARS 2021	2021	Athena Swan and REC Self Assessment Team		
		ECI4.2 Provide enhanced learning and development for managers of research in inclusivity and diversity	ECI4.2 Promotion of new 'Managing a Respectful Workplace' workshops to research managers with a view to ensuring that 50% have completed this training July 2022	July 2022	Organisational Development (OD) team		
		ECI4.3 Continue the work associated with the clarity of criteria for the Conferment of Professors and Readers etc... The new process includes an 'Individual Circumstances Panel' to consider any cases where an individual wishes to declare individual circumstances in consideration of their application. The aims of this is to support equality and diversity.	ECI4.3 Drive the percentage of females applying for conferment as a Reader, Associate Professor or Professor to 50% (baseline 2020 45%)	July 2022	HR Service		

ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	ECI5.1 Improve the research environment through Research Centres and Institutes	ECI5.1 All Research Centres and Institutes must have defined presence internally and externally by end of 2021 with annual reporting on enhancements.	2021	Directors of Research Institutes and Heads of Centres		
		ECI5.2 Embed research integrity in University researcher development programmes	ECI5.2 Increased awareness evidenced in CEDARS (baseline 43% CROS2019)	2021	Doctoral College		
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	ECI 6.1 Separate out and understand the voice of the research community within Employee Engagement Surveys.	ECI 6.1 Currently, completion rate for engagement surveys of academic staff is 37%. Work to raise this to 45% within next two years and to separate out comments from the research community for analysis and action planning. Bring data from Employee Engagement surveys to the Researcher Development Concordat Committee for discussion and action planning following each survey	From next full survey (October 2020) onwards	OD team		
Funders must:							
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies						
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers						
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						
Managers of researchers must:							
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Managers of research will need to take part in the learning and development outlined in ECI 4.2	Measures deadlines and responsibilities are described in the relevant sections above.				
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Managers of research will need to be part of the work to improve research environments outlined in ECI 5.1 and must support the Doctoral College in achieving action ECI 5.2.	Measures deadlines and responsibilities are described in the relevant sections above.				
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	Managers of research will need to be aware of the actions outlined in ECI 3 and use this to signpost as appropriate.					
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Managers of research will need and be part of the actions outlined in ECI 2.1	Measures deadlines and responsibilities are described in the relevant sections above.				
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Managers of research will need to play a full part in the actions outlined in ECI 5.1, ECI 5.2 and driven by the Directors of Research Institutes and Heads of Centres	Measures deadlines and responsibilities are described in the relevant sections above.				
Researchers must:							
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 will need to be aware of and understand the implications for themselves of the activities outlined in ECI 5.1 and ECI 5.2	Measures deadlines and responsibilities are described in the relevant sections above.				
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	Researchers will need to be aware of and understand the implications for themselves of the activities outlined in ECI 5.1. They will need to be able to draw on this information when working within the University and with Funders	Measures deadlines and responsibilities are described in the relevant sections above.				

ECR3	Take positive action towards maintaining their wellbeing and mental health	Researchers will need to be aware of the information outlined in ECI 3 and make use of the services available to them to support wellbeing and mental health	Measures deadlines and responsibilities are described in the relevant sections above.				
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	Researchers will need to be aware of the policies and procedures outlined in ECI 3 and will need to ensure their understanding of the competency framework outlined in EI5.1	Measures deadlines and responsibilities are described in the relevant sections above.				
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Researchers will need to be involved in the actions outlined in ECI 5.1, ECI 5.2	Measures deadlines and responsibilities are described in the relevant sections above.				
Employment							
Institutions must:							
EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	No further actions prioritised within gap analysis. The University has recently implemented anonymous shortlisting and reviewed its recruitment policy and processes to ensure inclusive selection and appointment. The HR Service continues to embed this activity and is involved in the membership of the Researcher Development Concordat Committee to ensure that this can be evaluated on a regular basis as required.	No further action - this will be taken forward by the HR Service as part of the Workforce Development Plan 2019 - 21.	No further action	No further action		
EI2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	The University carried out a major review of induction and launched a new process in January 2019 which has six key criteria, measured through a '30 day new starter quuestionnaire' (measures being 1 - Pre-employment score, 2 Faculty / Directorate support, 3 Availability of resources, 4 Induction training, 5 Induction leadership, 6 HR Support). These measures are reported to the Corporate Management Team (CMT) on an annual basis. The Dean of Research is part of the CMT group.	Evaluation scores will continue to be reported to CMT on an annual basis.

Evaluation scores will be brought to the Researcher Development Concordat Committee twice per annum to agree any further actions specific to researchers. This action plan will be monitored by this Committee as a standing agenda item. | Annually and ongoing

Twice per annum and ongoing | OD Team

OD Team | | |
| EI3 | 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 | Please see ECI4.3 above | ECI4.3 | ECI4.3 | ECI4.3 | | |
| EI4 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent | EI4.1
Project management development to be offered to all research managers.

EI4.2
Refresh and renew the University leadership and management development offering | EI4.1
Project Management workshop for research managers to be designed in collaboration between Project Support Office and OD team. Offer this to all research managers and monitor uptake. Achieve 25% uptake by July 2022.

EI4.2
Launch new offering for start of academic year 2020/21. Monitor uptake within research community. Achieve 25% uptake by July 2022 | Jul-2022

Jul-2022 | OD team

OD team | | |
| EI5 | Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation | EI5.1
Introduce competency framework which defines the behaviours, knowledge and skills valued by the University for all staff (including managers). Build this into the appraisal process. | EI5.1
Competency framework to be launched September 2020.
Competencies to be built into appraisal process May 2021
Measure awareness of competency framework - minimum 60% by July 2022 as measured within Employee Engagement surveys. | Sept 2020

May 2021

July 2022 | OD team

OD team

OD team | | |
| EI6 | 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 | No further actions prioritised within gap analysis. Progress with FTC has been a focus for the past two years and success is reported on within this submission. It is felt that there are now other priorities. A watchful eye will be kept on this given the context of Covid 19 | No further action | No further action | No further action | | |

EI7	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	No further actions prioritised within gap analysis. Researchers and their managers are included within all consultation within the University. Recently this has included, for example, VC Roadshows regarding the 2030 Strategy, consultation regarding the new competency framework etc.... This will continue and will be combined with actions within ECI 6	No further action	No further action	No further action		
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies						
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security						
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression						
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels						
Managers of researchers must:							
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	Opportunities outlined in the following actions are all suitable for managers of research dependant on their training needs - ECI 4.2, EI4.1, EI 4.2, PCDI 1.1, PCDI 1.3, PCDI 1.4, PCDI 4.1, PCDI 4.2, PCDI 6.1 and PCDI 6.2	Measures deadlines and responsibilities are described in the relevant sections above.				
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant	Managers of research will need to take part in the actions outlined in ECI 2.1 and ECI 2.2. They will also need to be aware of the activities in ECI 3	Measures deadlines and responsibilities are described in the relevant sections above.				
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Managers of research will need to be aware of and contribute towards ECI 4.3 and EI 1	Measures deadlines and responsibilities are described in the relevant sections above.				
EM4	Actively engage in regular constructive performance management with their researchers	Managers of research will need to take part in EI 5.1 (please note, the University appraisal process and policy was updated last year and includes a section specifically for Research Managers where they are not the Line Manager).	Measures deadlines and responsibilities are described in the relevant sections above.				
EM5	Engage with opportunities to contribute to relevant policy development within their institution	Managers of research will need to take part in ECI 2.1, ECI2.2 and ECI 1.3	Measures deadlines and responsibilities are described in the relevant sections above.				
Researchers must:							
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	Researchers will need to show an awareness of activities within ECI 2.1, ECI 2.2, ECI 3	Measures deadlines and responsibilities are described in the relevant sections above.				
ER2	Understand their reporting obligations and responsibilities	Researchers will need to partake in performance reviews and the new competency framework in EI5.1	Measures deadlines and responsibilities are described in the relevant sections above.				
ER3	Positively engage with performance management discussions and reviews with their managers	Researchers will need to be involved in activities described in EI5.1	Measures deadlines and responsibilities are described in the relevant sections above.				
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Researchers will need to take part in discussions about and raise their personal knowledge about ECI2.1 and ECI2.2, ECI 4.1, ECI 5.1 and ECI 5.2. They will need to take part in Employee Engagement activities described in ECI 6.1	Measures deadlines and responsibilities are described in the relevant sections above.				
Professional and Career Development							
Institutions must:							

PCDI1	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	PCDI 1.1 Enhance the provision of training	PCDI 1.1 It will be mandatory for all new Post Docs to have a mentor in the next academic year. Programme of enhanced support for bid writing to be offered Academic Year 2020/21	September 2020 and ongoing Academic Year 2020/21	Directors of Research Institutes and Heads of Centres Project Support Office		
		PCDI 1.2 Improve communications systems regarding development opportunities	PCDI 1.2 Detailed action has been agreed by the Researcher Development Concordat group. Progress towards this will be monitored at Researcher Development Concordat meetings.	Academic Year 2020/21	Doctoral College		
		PCDI 1.3 All research staff to be trained in supervising and examining doctorates	PCDI1.3 Schedule of training promoted through range of media. Uptake recorded through staff training records.	Academic Year 2020/21 and ongoing	Doctoral College		
		PCDI 1.4 Implement a system to record the 10 days CPD training required	PCDI 1.4 Explore the functionality of Elements to record CPD activities in 2020. Consult with staff in 2021 and pilot roll-out with system embedded 2022	2022	RPU		
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Please see EI5.1 and EI4.2 above	EI5.1 and EI4.2	EI5.1 and EI4.2	EI5.1 and EI4.3		
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	No further actions prioritised within gap analysis. Senior Managers from within the Careers Service attend the Researcher Development Concordat Committee meetings and this will be kept under review.	No further action - to be taken forward by the Career Service.	No further action	No further action		
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	PCDI 4.1 Establish a mentoring system with mentors who have a wide range of experience in different sectors to provide mentoring for all researchers, including ECRs and PGRs, to include internal peer reivew that encourages paper publication and grant applications and improves the quality of papers.	PDCI 4.1 Review current university wide mentoring system; All Research Institutes and Centres to establish peer mentoring networks.	Academic Year 2020/21	OD team and Directors of Research		
		PCDI 4.2 Launch, promote and monitor uptake of new early career fellowship programme; mid- and senior researcher development programme	PCDI 4.2a) Launch of LPFs in 2020. 4 cohorts of LPFs complete development between 2020 and 2023. PCDI 4.2b) Develop action plan based on CEDARS data by end 2021 PCDI 4.2c) Create at least one annual secondment opportunity to the Doctoral College to develop leadership skills	2023 end 2021 August 2021			
PCDI5	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	Please see PCDI 4.1 above	PDCI 4.1	PDCI 4.1	PDCI 4.1		

PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	PCDI 6.1 All researchers to record professional development activities in Elements	PCDI 6.1 Bi-annual reports on professional development activities provided to Research Institues . Centres	Academic Year 2020/21 and ongoing	RPU	
		PCDI 6.2 Annual Career Development and Researcher Development weeks.	PCDI 6.2 Monitor uptake of activities and attendance to evaluate and improve attendance year on year.	Academic Year 2020/21 and ongoing	RPU & Doctoral College	
Funders must:						
PCDF1	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 pro rata per year, and evidence of effective					
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and					
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit					
Managers of researchers must:						
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	See EM4, Research Managers to be involved in activity EI5.1	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	Research managers to be actively involved in activities within PCDI 1.3 and PCDI 4.1. Knowledge of PCDI 4.2 will be required in order to promote these training opportunities.	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDM3	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	Ensure are appropriate involvement in training activities outlined in the following actions. PCDI 1.1, PCDI 1.3, PCDI 1.4, PCDI 4.1, PCDI 4.2, PCDI 6.12 & 6.2, ECI 4.2, EI4.1, EI 4.2	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDM4	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	Research Managers should activitly show awareness of activities within actions EI4.1 and EI4.2, and promote these to researchers. Research Managers should also be involved in mentoring and development activiites described within PCDI 4.1, PCDI 4.2	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	Research Managers should be actively involved in development opportunities within actions EI4.1 and EI4.2	Measures deadlines and responsibilities are described in the relevant sections above.			
Researchers must:						
PCDR1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	Researchers need to be involved as mentors, mentees and delegates within actions PCDI4.1 and PCDI 4.2	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Researchers must take advantage of all opportunities within actions PCDI3, PCDI 4.1 & 4.1	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDR3	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	EI 5.1 (appraisal process includes discussions re; career aspirations and the development of a Personal Development Plan which encompasses current and future development needs).	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDR4	Positively engage in career development reviews with their managers	Researchers much be involved in activities within action EI5.1	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	Researchers to identify the development opportunities outlined in the following actions which will support this development. ECI 4.2, EI 4.1, EI4.2, PCDI 1.1, PCDI 1.3, PCDI 1.4	Measures deadlines and responsibilities are described in the relevant sections above.			
PCDR6	Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation	To achieve this researchers should work with a mentor who can signpost appropriately as outlined in actions PCDI 4.1, PCDI 4.2,	Measures deadlines and responsibilities are described in the relevant sections above.			

* 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 suport staff; technicians.