

HREiR Action plan template 2022-2025

Details

Institution name:	Durham University
Cohort number:	5
Date of submission:	Jul-22
Institutional context:	Overall responsibility for reviewing and evaluating progress against our action plan sits with the Research Culture Committee (RCC) which replaced the Concordat Implementation Group (CIG) in 2021 and has a wider remit to oversee research culture development across the University. The RCC takes a holistic view of 'research' and 'research culture' and is dedicated making positive changes impacting Researchers (n=400), Research and Teaching staff (n=1467), Technicians (n=90) and PGR Students (c1700). It is Chaired by the Deputy Pro-Vice Chancellor for Research (Professor Jane Macnaughton). The group includes representatives from HR Business Partnering, the Researcher Development Programme based in the Durham Centre for Academic Development (DCAD), the Equality and Diversity Team, Research and Innovation Services (RIS), the Library, Careers Advisor, the Chair of the University's Technical Manager's Network and academic staff from the University's four faculties. Research staff membership is provided via the chair of the Research Staff Association (RSA), who is elected by the research staff community and represents the voice of contracted researchers within the University. The RCC reports to University Research Committee which is a formal committee of Senate. The RSA meets regularly with its members to feedback issues to the RCC to contribute to institutional decision making. The HR Excellence in Research Award forms part of a larger package of university strategies and implementation mechanisms that positively impact our researchers' career and

The institutional audience* for this action plan includes (only include)

Audience (direct beneficiaries of the action plan)
Research staff
Postgraduate researchers
Research and teaching staff
Teaching-only staff
Technicians
Clinicians
Professional support staff
Other (please provide numbers and details):

Complete for submission

	Obligation	Action	Carried over from previous action plan?	Deadline	Primary owner	Responsibility	The targeted <u>impact</u> of the action (success measure)	Comments (optional)
Environment and Culture								
Awareness and engagement								
The aims of these obligations are to work towards an open and inclusive research culture, and to ensure broad understanding and awareness of this amongst researchers.								
ECI1	Ensure all relevant staff are aware of the Concordat.	1) Raise awareness of the concordat via the Newsletter and Research Staff events.and SharePoint 2) Raise awareness with PIs to include Concordat in grant applications. 3) Develop a research staff development needs analysis based on the Concordat. 4) Ensure that the Concordat is detailed on the induction checklist.	1- 4 Yes	1) from Nov 22 2) From Nov 22 3) From Nov 22 4) prior to October 22	DCAD	DCAD/RIS	1) Monitor page views, achieve >500 views in 2022-23. Monitor awareness via CEDARS 2023. Revamp research staff newsletter (perhaps using MS Sway) achieve >100 views per issue 2) Include Concordat in grant writing workshops and feedback 3) DNA >40 active users 4) check for compliance	

HREiR Action plan template 2022-2025

ECI2	Ensure institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers.	1) Embed new processes. Continue to review the success of new policies and feedback any issues or challenges that arise. 2) Ensure research representatives are involved in relevant consultations and are able to feedback.3) All policies subject to an appropriate equality impact assessment.4) Provide four annual, Faculty based, workshops around the promotion and progression process.5) All staff are required to completed the EDI 'required learning' on a 3 year basis. 6) Produce a researchers (online) handbook with links to key info	1) Yes 2) Yes 3-6) No	1) report to RCC September 22 2) ongoing 3) 4) first tranche completed by August 2023 5) monitor August 22/23/24 6) Septemberr 2023	RIS/HR-OD/ EDI Unit	HR-OD/RIS/EDI Unit	1) Policies currently under review. The review also includes assessing costs and impacted staff groups.2) 3) 4) Monitor attendance at workshops for Researchers that provide updates on policies and procedures relevant to them. Monitor number of sucessful promotion cases for Research staff, comparing figures against previous years. Monior awareness via CEDARS 23 and upcoming Pulse survey.5) >95% compliance based on Oracle data 6) Website and toolkits under review. Revamp project expected summer 2022	
ECI6	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and using the outcomes to improve institutional practices.	1) Institutional participation in CEDARS report to RCC and provide official feedback to researcher communities. 2) Annual research staff and PGR focus groups report to RCC and feedback to researcher communities	1) Yes reworded 2) Yes reworded	1) Spring 2023 2) Summer 2023	DPVCR	DPVC/RCC	This kind of cultural change is challenging to measure but we plan to track it in the following ways: 1. Page views and feedback given through the Research Culture Sharepoint Site; 2) Attendance and feedback monitoring at online and in person communication sessions in relation to the Flourish Project.	The DPVC is leading on a major review of research culture in 2022-25 with actions in relation to : Researcher Career Development; PI support; Time for Research; Rewarding what we value. This road map will be developed in autumn 2022 with specific actions to be determined.
ECR1	Encourage researchers to 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.	1) Launch new research staff mentorship programme 2) Complete audit of all researcher induction materials to make sure that these are fit for purpose. 3) Create Durham RSA website. 4) Ensure representative membership of RSA across all Faculties 5) Double the membership of Durham RSA 6) Citizenship added to key activities in progression and promotion for academic year 2022-2023. 7) New Staff Code of Conduct policy.	1 - 7) No	1) Summer 2022 2) - 3) Summer 2023 4) Spring 2024 5) Summer 2024 6) - 7)	DPVCR	DCAD/RCC/HR/DP VCR	3-5) The Research Culture team and DCAD plan to use some of our Research Culture funding to support the RSA with administrative help for its development. That will enable better advertising, more events and recording of numbers attending events. 5) We intend to double the membership and also ensure at least two events for the RSA per term. Researchers and members of the RSA have already contributed to Reserach Culture Values workshops, and	Researchers have been invited to contribute to Research Culture Values workshops in May and June 2022. They will also be invited to a town hall meeting to discuss their specific issues in relation to research culture to inform the ongoing Road Map.
Wellbeing and mental health								
The aims of these obligations are to champion positive wellbeing amongst researchers, both through appropriate training and enabling new ways of working.								

HREiR Action plan template 2022-2025

ECI3	Promote good mental health and wellbeing through the effective management of workloads and people.	<ol style="list-style-type: none"> 1) Launch of new pan-University Health & Wellbeing Strategy 2) Health & Wellbeing Strategy Implementation Group 3) Launch of the DU Working Principles (ways of Working/Workload) 4) Staff survey - MADE@DU Creating a Caring Culture 15 September and pulse survey. 5) Joanne Race, UEC Lead on Health & Wellbeing on staff and Jeremy Cook, UEC Lead for students. 6) Launch suite of Health & Wellbeing workshops to support managers and staff. 7) Run Health & Wellbeing Cafes for all staff. 8) Provide Mental Health First Aiders for staff. 9) Launch UEC Lead Workload Steering Group for Academic and PS staff. 10) Embed Health & Wellbeing into all the HR-OD leadership programmes. <p>see ECM3</p>	1) Yes 2-11) No	1 -10) progress report to September 22 RCC 4) September 22	HR-OD	HR/RIS/SSWD	1-10) Successful launch of wellbeing initiatives 1-10) CEDARS 2023 to show 80% feel able to take positive action to support their mental health and wellbeing. Detail of awareness assessed through annual focus groups.	Several wellbeing initiatives have already happened these need to be more widely promoted to staff so they can make informed support choices. Initiatives include: Health & Wellbeing Strategy, Health & Wellbeing Hub, Concerns Policy, Mental Health First Aiders (see links section)
ECI4	Ensure managers of researchers are effectively trained in relation to wellbeing and mental health.	<ol style="list-style-type: none"> 1) All staff complete the EDI 'required learning' at induction stage 2) Promote OD learning and development programme to research staff including Skills Boosters, EAP and SilverCloud support mechanisms alongside DCAD and RIS development programmes 3) Embed Supporting Health and Wellbeing is embedded into all leadership programmes. 4) Introduction of institutional Mental Health First Aiders 	No	1) Feedback to RCC in September 23 2) September 22 (and each newsletter thereafter) 3)From Sep 22 4) completed May 22	HR-OD/RIS	HR/OD/DCAD/RIS	1-4) Reduction in Occupational Health referrals (re: wellbeing and mental health issues). Measured against 21-22 data Reduction in Staff Concerns.	<p>All staff to complete the EDI 'required learning' programme on Oracle Learn by the end of January 2023 and refresh every 3 years.</p> <p>Courses are all made available on the Oracle Learning platform.</p> <p>Occupational Health information is available on the HR-OD webpages.</p> <p>All Staff</p> <ul style="list-style-type: none"> • Time Management – 'Manage your energy not your time' • Stress and Resilience • Ease the Load • Focusing on Self-confidence and Assertiveness • Mental Health Awareness for individuals Managers • Confident Wellbeing Conversations for Managers • Menopause Awareness for Managers • Mental Health in the Workplace: skills for managers <p>Mental Health training modules for line managers available on Oracle</p>

HREiR Action plan template 2022-2025

ECM3	Ensure managers promote a healthy working environment that supports researchers' wellbeing and mental health.	<ol style="list-style-type: none"> 1) Raise awareness of the Institutional Mental Health First Aiders Advisers (MHFA), launched May 2022. 2) Raise awareness of the Staff Concerns Hub/Code of Conduct 3) Promote the Wellbeing Hub 4) Promote the EAP 5) Health & Wellbeing included in all staff induction checklist 6) Operational management programme 7) VC welcome induction 8) Health & Wellbeing strategy and action plan. 9) Applying for Accreditation of Mental Health Charter AY 23-24. 10) Promote 10 days (pro rata) professional development time given for Researchers 11) Raise awareness of the recently updated Family Friendly policies (namely maternity/paternity policies) 12) Promote the use of Wellness Action plans and stress risk assessments 	No		HR-OD/ Health & Safety	HR/OD/RIS/DCAD/E DI Unit/Health & Safety	<p>1-10 Report on research staff trends in annual report to Research Management Committee. CEDARS 2021 to show 80% feel able to take positive action to support their mental health and wellbeing. Detail of awareness assessed through annual focus groups.</p> <p>Monitor MHFA referrals.</p> <p>Monitor Staff Concerns raised.</p> <p>Work towards achieving the Mental Health Charter as an institution for AY 2023-2024.</p> <p>Review of Hybrid working</p>	There are a number of initiatives across the university designed to promote a healthy and flexible working environment including: Trial of Hybrid working, updated family friendly policies and wellness action plans - these all require promotion to make sure they become embedded. There are also a number of key responsibilities (eg Andy Mulligan, Health & Safety Lead on institutional responsibility on all H&S matters including stress. and Louise Huscroft, Occupational Health, Wellness Action Plans, Stress Risk Assessments, Occupational Health referrals)
ECM4	Ensure managers consider fully flexible working requests and other appropriate arrangements to support researchers.	<ol style="list-style-type: none"> 1) Annual review of existing policies 2) Monitor flexible working requests from research staff 3) Raise awareness of the recently updated Family Friendly policies (namely maternity/paternity policies) 4) Use Wellbeing/Research Cafes and dialogue to promote these relevant policies. 	No		HR-OD/ RIS	HR-OD/RIS	Monitor flexible working requests from research staff.	
ECR3	Ensure researchers take positive action towards maintaining their wellbeing and mental health.	<ol style="list-style-type: none"> 1) Actively promote all Health & Wellbeing through the Wellbeing Hub e.g. through Teams sites; wellbeing cafes and Dialogue 2) Actively promote Health & Wellbeing at the Research Culture cafes. 3) Raise awareness of the Institutional Mental Health First Aiders (MHFA), launched May 2022. 4) Health & Wellbeing as part of the University Induction checklist 			HR-OD/ RIS	HR/RIS/DCAD	<ol style="list-style-type: none"> 1-4) Reduction in Occupational Health referrals re: mental health and wellbeing. (compare with 21-22 data. 3) Monitor attendance levels amongst research staff Monitor uptake of MHFA's 	
Bullying and harassment								
The aims of these obligations are to eliminate bullying and harassment in the research system, tackled through progressive policies and secure mechanisms to address incidents.								

HREiR Action plan template 2022-2025

ECI3	Promote a healthy working environment through effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues.	<ol style="list-style-type: none"> 1) Launch of a new pan-University Health and Wellbeing strategy (HR-OD). 2) Launch of the new Staff Code of Conduct & Staff Concerns Policy (Concerns Hub) 3) Work towards the actions of the Race Equality Charter (REC) 4) Concerns, Bullying & Harassment Advisers (CBHA). New learning and development programme organised to support the advisers. 5) New learning and development programme, Respect, Values & Behaviours (RVB). 6) Inclusive Culture programme for Leaders and Managers. 7) SkillBoosters: The effective bystander training. 8) Employee Assistance Programme. 9) Staff support through the New Mental Health First Aiders. 10) Health & Wellbeing is promoted through the HR-OD leadership programmes. 	1-10) Yes these are a more detailed breakdown of previous		HR-OD	HR-OD/EDI Unit	<p>Reduction in Occupational Health referrals re: mental health and wellbeing.</p> <p>Monitor uptake of MHFA's</p> <p>Monitor the CBHA's referrals</p>	<p>HR launched a new Staff Code of Conduct and Concerns policy in April 2022. A sharepoint concerns Hub has been made available to support staff.</p> <p>OD provide regular wellbeing cafes. A Microsoft Teams site also supports this agenda.</p> <p>OD EDI L&D team have developed a learning and development workshop for the new CBHA for end of May 2022. The CBHA report to the EDI unit.</p> <p>OD EDI L&D team launched the RVB programme for staff from February 2022.</p> <p>OD Team launched Inclusive Culture programme for managers and leader from November 2021.</p> <p>The EDI unit are responsible for the Report + Support tool.</p>
ECM3	Ensure managers encourage reporting and addressing incidents of discrimination, bullying and harassment.	<ol style="list-style-type: none"> 1) Launch of the new Staff Concerns Policy and Concerns Hub. 2) Emphasis on promoting policies and processes and attendance at relevant training. 3) Report and Support tool 4) Work towards the actions Race Equality Charter (REC) 	Yes		HR-OD	HR-OD/EDI Unit	Monitor reporting on a 1/4 basis.	HROD Concerns Policy and Hub to support staff.
ECR4	Ensure researchers use available mechanisms to report staff who fail to meet the expected standards of behaviour in relation to discrimination, harassment and bullying.	<ol style="list-style-type: none"> 1) Continued emphasis to maintain, promote and support existing policies as per ECM3 	Yes		HR-OD	HR-OD	Monitor reporting on a 1/4 basis.	HROD Staff Concerns Policy and Hub to support staff.
Equality, diversity and inclusion								
The aims of these obligations are to ensure managers and researchers are trained in-, aware of- and adopt practices enhancing equality, diversity and inclusion.								
ECI4 / ECM1	Ensure managers undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work.	<ol style="list-style-type: none"> 1) Provide suitable EDI learning and development events along with online materials for research managers. (See EC14) 2) Promote the EDI learning and development available. 3) Required learning every 3 years: HR-OD: Equality, Diversity and Inclusion training 4) EDI embedded into all HR-OD leadership programmes. 5) RIS to promote and monitor if managers are carrying out relevant learning and development opportunities to support EDI. 6) Inclusive Induction process for Academic and PS colleagues who will hear about the HR-OD and DCAD learning and development available. 			HR-OD/EDI/RIS/DCAD	HR-OD/DCAD/RIS/EDI Unit	Monitor, review and evaluate EDI learning and development through Oracle Learn.	<p>There is a range of EDI development resources already available to staff EDI 'required learning' (included in induction programme)</p> <p>EDI Leadership Programmes (as follows) Inclusive Leadership Programme Aurora Leadership Programme; Transforming Leadership Programme; Diversifying Leadership Programme.</p> <p>Open Course Programme EDI 'required learning' Respect, Values & Behaviours Unconscious Bias Anti-Racism</p> <p>Further Reading/eLearning 17 EDI Skill Boosters BookBoon</p>

HREiR Action plan template 2022-2025

ECR2	Ensure researchers act in accordance with employer and funder policies related to equality, diversity and inclusion.	1) Emphasis policies and processes 2) Staff to work in accordance with the Staff Code of Conduct 3) Promote research information on funder policies through RIS business partner			HR-OD/ RIS	HR- OD/RIS/DCAD/EDI unit	Staff clear on working practices, policies and obligations.	
Research Integrity								
The aims of these obligations are to ensure managers and researchers are trained in-, aware of- and maintain high standards of research integrity, and are able to report infringements or misconduct.								
ECI5 / ECM2	Ensure researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity and professional conduct.	1) Promote existing Research Integrity training to staff and students via communication channels 2) Develop RI training offering as part of development of Research Training framework. 3) Quantify and report on research integrity incidents 4) Provide Research Integrity toolkit. 5) Improve awareness of the Research Integrity Concordat	1) Yes reworded 2) No 3) No 4) Yes 5) Yes	1) big push September/October 22/23/24 2) Review Sept 23	RIS	RIS/DCAD	1) Ensure that consistent messages go out on all comms channels. CEDARS 23 >70% have completed research integrity training 3) Reduction in the number of reporting misconduct / poor conduct cases 2) Increased uptake of RI training modules (ca. +10% on 2021/22 baseline) Greater numbers of faculty accessing ethics and governance toolkits. (ca. +10% on 2021/22 baseline) 4) To refresh in SharePoint 5) CEDARS 2023 to show that <50% "never heard of the research integrity concordat")	1) New suite of training modules live 2022. 2) Reviewed policy will nbe launched after approval. 3) Misconduct monitored as part of annual report. Other options to review and undersand quality of research process / conduct in scope of strategy and MI review. (will also be covered by Flourish)
ECM3	Ensure managers report and address incidents of poor research integrity.	1) Publicise research integrity and research misconduct policies, and routes for raising concerns	1) No	1) Report to RCC September 23	RIS	RIS/HR-OD/DCAD	1) Reduction in the number of complaints relating to mangerial inaction on reported instances. (Baseline to be established 2022/23) >70% have completed research integrity training. CEDARS 2023 to show that <50% "never heard of the research integrity concordat") Report on research staff trends in annual report to Research Management Committee.	Under discussion. I would expect that the research dvelopment framework under development by RIS and DCAD will start on ECR and move to middle career and so on. Need to discuss with HR how poor integrity (picked up outside misconduct process) can be captured.
ECR2	Ensure researchers act in accordance with employer and funder policies related to research integrity.	1) Develop RI training offering as part of development of Research Training framework. 2) Link to relevant training, resources and policies from ethics approval and grant award notifications	1) 2)		RIS	RIS/DCAD/HR	1-2.) Increased uptake of RI training modules (ca. +10% on 2021/22 baseline)	Existing provision to be mapped by trainign project. Additional to be created.
ECR4	Ensure researchers use available mechanisms to report staff who fail to meet the expected standards of behaviour in relation to research misconduct.	1) Communicate reporting mechanisms and availability of RIS Policy Team as informal contact for advice. 2) Promote Research misconduct policy	1) 2)		HR-OD/ RIS	HR-OD/RIS		There is a specific expectation from funders (e.g. Wellcome) that there is a mechanism for Researcher's to 'whistleblow' where they believe their institution has engaged in policy or
Policy development								
The aims of these obligations are to encourage all researchers to actively contribute to the development of policies driving positive change at their institution.								

HREiR Action plan template 2022-2025

E17	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.	1) Policies and practices are already in place. Use our new PI network to ensure opportunities are cascaded to researchers to engage them more directly in developing policy. 2) Researchers targetted to engage in consultation and decision-making in relation to DU's 'Flourish@Durham' research culture project.	Yes	1) monitor Sept 22 RCC 2) Monitor Sept 22/23	DPVCR	RIS/RCC/DPVCR	1-2) Attendance of chair of RSA on RCC and follow up meeting with chair on issues raised. Researchers (N=30) have attended consultation meetings May-July on the Flourish Project and we will record hits on the website and feedback given on the project. Researchers invited to attend in person event on the Project in October 2022. Researchers and members of RSA will be invited to participate in a working group on career diversity in academic year 2022-3. CEDARS 2023 "not participating in decision making" reduce to 10%	There have been a number of initiatives designed to increase research staff participation in key decision making and policy. Key to this has been the involvement of the Chair of RSA on RCC
ECM5	Encourage managers to engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.	1). Research managers and leaders sit on RCC from each faculty 2) Managers targetted to engage in the development of Flourish@Durham.			DPVCR	RIS/RCC/DPVCR	See information in E17 above.	Policies etc. sent out for broad faculty based and public consultation.
EM5	Engage with opportunities to contribute to relevant policy development within their institution.	As E17			DPVCR		See information in E17 above. We will record participations and encourage and support this.	
ECR5	Encourage researchers to consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.	1) Research staff representatives sit on RCC and Research Committee 2) Open invitation to join relevant T&F groups e.g. Colleges & Research, Open Science. 3) Utilising Research Culture SharePoint and other mediums to facilitate open advertisement to the broadest possible audience. 4) provide a clear feedback mechanism and routes for further comment on outcomes of Research Culture Consultation.				RIS	1) Increase in the number of 'new' members 2) Increase in 'trust' and other associated measures as recorded in the staff survey and annual staff Focus Groups	
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community.	As above						There is work that needs to be done on citizenship and bringing more people in. Senate effectiveness review may be helpful
Employment								
Recruitment and induction								
The aims of these obligations are to ensure recruitment of researchers is open and fair and researchers receive effective inductions into the organisation.								
E11	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices.	1) Policies and practices are already in place. Ensure these are regularly communicated to researchers via existing channels. 2) All vacancies are advertised externally at grade 7 and above (unless there is a named researcher on the grant which has been approved) 3) All Chairs and panel members need to undertake required learning prior to taking part in recruitment	yes		HR-OD/ RIS	HROD /DCAD/RIS	Recruitment panels have had the essential Chairs training for requirement. Monitor attendance at the training through Oracle Learning.	Monitor and compare the number of research vacancies filled each quarter/year

HREiR Action plan template 2022-2025

E12	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position.	<ol style="list-style-type: none"> 1) Improve Research Staff focused sessions for institutional induction. 2) DCAD to develop a best practice guide. 3) Include staff induction best practice session in PI leadership training. 4) At departmental level, complete the Induction checklist 5) Implementation of research staff mentor scheme. 6) Inclusive induction process for Academic, Research and PS to promote the HR-OD and DCAD learning and development offer and integrate colleagues into the university community. 	yes		DCAD	HROD/DCAD/RIS	10 CEDARS 2023	
Recognition, reward and promotion								
The aims of these obligations are to ensure the fair and inclusive recognition of researchers as part of their career progression.								
E13	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.	<ol style="list-style-type: none"> 1) Annual Academic Progression Process - guidance on HR webpage 2) Annual ECP/discretionary awards - guidance available on HR webpage 			DCAD/ HR-OD	HR- OD/DCAD/RIS/EDI unit	Monitor the number of research staff promoted each year and nomination for ecp's/discretionary payments and compare to previous years	It is likely to be a specific workstream in Flourish@Durham to review recruitment, progression and promotion specifically with respect to the usefulness of the Narrative CV. New recruitment criteria. Briefing sessions to be held with staff to go through the process and benchmarks.
EM3	Managers commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers.	<ol style="list-style-type: none"> 1) All Chairs and panel members need to undertake required learning prior to taking part in recruitment 2) Required learning every 3 years: HR-OD: Equality, Diversity and Inclusion training 3) All members of DPPC and FPC have to undergo relevant training 			HR-OD	HR-OD/RIS/DCAD/ Faculties	Monitor attendance on relevant training courses.	<p>Recruitment training is available via Oracle Learning.</p> <p>An annual learning and development workshop on the DPPC process is also made available each year.</p>
Responsibilities and reporting								
The aims of these obligations are to ensure that researchers and their managers understand and act on their obligations and responsibilities.								
EM2	Managers familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding.	<ol style="list-style-type: none"> 1. Ensure that relevant codes and obligations are reflected and referenced within Durhams policy framework and toolkits. 2. Ensure that relevant codes and obligations are highlighted to researchers as part of the grant award process (specifically in the latter via the set-up email and meetings. 3. Ensure appropriate training included and promoted. 			RIS	RIS/PIs / HR	1. Track number of non compliance incidents (2022/23 baseline)	Is this about our use of metrics too? We track any breaches of conditions. Provide training and guidance within RIS>
ER1	Researchers ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder.	<ol style="list-style-type: none"> 1) Researchers sign contract of employment 2) All relevant HR policies and procedures are available on the HR web page 3) All staff invited to attend the induction process. 4) There is a comprehensive institutional induction checklist that covers policies, procedures and require learning. 			HR-OD/ RIS	PI/Researchers/RIS		
ER2	Researchers understand their reporting obligations and responsibilities.	<ol style="list-style-type: none"> 1) To be incorporated into local department induction processes. 			DCAD/RIS			Not sure if just covering at induction is sufficient? Obligations (and support available, and wider environment) have changed notably several times over past 10 years in several areas, inc RDM, Open Research, Responsible Metrics.
People management								
The aims of these obligations are to ensure that researchers are well-managed and have effective and timely performance reviews.								

HREiR Action plan template 2022-2025

EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent.	1) SDU Continue to provide Project Leadership Programme 2) Promote all OD leadership development programmes for Leaders and Managers. 3) Promote OD Leadership programmes supported by Skill Boosters courses to further develop knowledge 4) Promote the OD learning and development offer through Dialogue, briefing sessions etc. 5) OD to introduce an inclusive leadership programme application process through a Expression of interest application form 6) DCAD offer researcher management programmes 7) DCAD and RIS to promote the HR-OD learning and development offer.			DCAD	SDU/HR-OD/DCAD	Managers consistently apply leadership approaches and the University employment policies to ensure effective team working and support of individuals. 6) >15PIs/annum engage with leadership training	
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.	See EI3			HR-OD	HR-OD/DCAD/RIS/EDI Unit		
EM1	Managers undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care.	1) Promote the current offer of OD learning and development through the HRBP, RIS business partners and SRAs 2) DCAD to promote current L&D offer through the HRBPs, RIS business partners and SRAs.	1-2) Yes reworded		DCAD	HR/OD/DCAD/RIS	Managers consistently apply leadership approaches and the University employment policies to ensure effective team working and support of individuals	
EM4	Managers actively engage in regular constructive performance management with their researchers.	1) Promoting annual ADR's and/or feedback given as part of the annual academic progression process 2) Following the Supporting and Managing Performance Regulation when their are concerns with performance 3) Completion of Probation	No		HR-OD	HR-OD/DCAD		The new CV used for the academic progression contains a separate section on Progression and Career Development which will only be shared with the Head of Department and relevant manager to enable further discussions
ER3	Researchers positively engage with performance management discussions and reviews with their managers.	As above			HR-OD	HR-OD/DCAD		
Job security								
The aim of this obligation is to improve the job security of researchers.								
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.	Again part of the Flourish project - looking at contracts, opportunities in house			HR-OD	DPVCR/HR-OD		
Professional and Career Development								
Championing professional development								
The aims of these obligations are to promote the importance of professional development and ensure researchers have the time to engage in it.								
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.	1) Promote development opportunities via Microsoft Teams, email newsletter, webpages and regular events. 2) Deliver regular bespoke themed training sessions in response to RS need. 3) Establishment of Research Staff Awards. 4) Build network of senior research administrators to promote development opportunities. 5) Explore potential for 10 days professional development to be included in contracts.DCAD to launch four-stage career framework, the Durham Researcher Development Award (DRDA) 6) Engage with Liverpool University Prosper programme	1)Yes 2)Yes 3) Yes 4) Yes 5) Yes expanded 6) No	1) Pilot with PhD students in Spring 23	DCAD	DCAD	1) roll out if successful to ECRs in 24-25	
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities.	1) Provide range of CPD activities and use of training booking system to monitor engagement. PIs starting new grants provided with written reminder of these responsibilities.	1) Yes	1) September 23	DCAD	DCAD	1) >350/annum research staff engaging in professional development workshops	

HREiR Action plan template 2022-2025

PCDM3	Managers 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.	1) Promote the learning and development opportunity through HRBPs; RIS BPs; DCAD 2) Promote L&D opportunities in dialogue, on RIS/DCAD/HR-OD webpages	No		HR-OD	DCAD/HR-OD	1) CEDARS 23 50% of staff undertaking 10 days professional development per annum	
PCDR1	Researchers 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.	1) Record development and training undertaken and report in an annual appraisal. 2) Provide an online development needs analysis and portfolio tool based on the RDF to record career development.	Yes		DCAD	DCAD/Careers	1) CEDARS 23 50% of staff undertaking 10 days professional development per annum	10 days CPD is a key strand of the Flourish@Durham strategy
Career development reviews								
The aims of these obligations are to ensure researchers and their managers are engaging in productive career development reviews.								
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers.	1) Policies and practices are already in place. Evaluate and review process and mechanisms. 2) Encourage and publicise researcher engagement in mentoring and training. New PI network will help drive working practices.	1-2) Yes	1) September 22/23/24/ 2) September 22	C&E	C&E		Use the Colleague Conversation Compass as a tool to support meaningful and regular conversations as well as Termly reviews. The new CV used for the academic progression contains a separate section on Progression and Career
PCDI6	Monitor, and report on, the engagement of researchers and their managers with researcher career development reviews.	1) Provide range of CPD activities and use Oracle Learning to monitor engagement. PIs starting new grants provided with written reminder of these responsibilities. 2) Launch of Oracle cloud will log all training which managers will be able to monitor.	1-2) Yes reworded	1 - 2) Monitor September 23	DCAD		1) >350/annum research staff engaging in professional development workshops recorded via the Oracle 2) Monitor research manager engagement	1) We have moved over to Oracle Learning for our training booking we are still assessing its capabilities in terms of reporting
PCDM1	Managers engage in regular career development discussions with their researchers, including holding a career development review at least annually.	1) Promote and communicate progression and promotion process via research staff events, webpages and email. 2) Increase use of Staff DNA to promote career development discussions.3) Ensure that as part of the Academic Progression process managers discuss the information detailed in the part b of the cv titled Progression and Career Development	1-3) Yes reworded	1) starting September 22 2) Relaunch Spring 22	C&E	HR-OD/DCAD/C&E	1 -3) Increase in satisfaction with appraisal process from 61% (CROS 2019) to 80% (CEDARS 2021) 2) Promote DNA to staff and monitor uptake > 30 staff with profiles	The new CV used for the academic progression contains a separate section on Progression and Career Development which will only be shared with the Head of Department and relevant manager to enable further discussions
PCDR4	Researchers positively engage in career development reviews with their managers.	As above	As above	As Above	DCAD	DCAD/C&E/HR-OD	As Above	The new CV used for the academic progression contains a separate section on Progression and Career
Career development support and planning								
The aims of these obligations are to promote researchers' career development planning through tailored support and gathering evidence of professional experience.								
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers.	1) Provision of 1:1 careers support to researchers via the Careers & Enterprise Centre 2) Raise awareness of careers support and encourage registration with the Careers & Enterprise Centre 3) Careers workshops and events as part of Researcher Development Programme 4) Dedicated workshop(s) for research staff on moving out of academia 5) Creation of contact group for researchers that want to receive careers communications.	1-5) Yes reworded	1-5) monitor activity September 23 RCC	C&E	C&E	Monitor levels of engagement (registration; engagement with support) Registration of >60 researchers on the Careers & Enterprise services portal. Target of 25/annum accessing 1:1 support in response to CEDARS	50 research staff registered with C&E 2021. Early evening session (building a professional profile) scheduled for research staff 8th June 2022.
PCDR3	Researchers 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	1) Access to support from C&E in respect of job applications 2) Academic Progression and Promotion Progress and PDPs.			DCAD	DCAD/C&E/HR-OD	CEDARS 2023 > 60% to have a clear development plan and CEDARS 2023 > 65 % maintain a formal record of CPD activities	
Research identity and leadership								
The aims of these obligations are to provide researchers with opportunity to progress in their careers by developing their research identity and leadership capabilities.								

HREiR Action plan template 2022-2025

PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills.	1) Introduce Development Needs Analysis (DNA) and eportfolio on Pebblepad specific for Researchers. 2) Promote engagement in leadership training opportunities.3) Engage with researchers to identify areas for further development including staff DNA 4) OD and DCAD offer a range of personal and professional development via Oracle Learning and the Open course programme	1-3) Yes 4) Yes reworded	1) Spring 2023	DCAD	HR-OD/DCAD/	1) 20% of Research Staff engaging with DNA.	
PCDM4	Managers 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.	1) Review how many PIs are undertaking training offered. Establish new process to remind PIs if necessary.	1)Yes	1) Autumn 23/24/25	DCAD	HR-OD/DCAD/	1) All new PIs undertake training within 6 months of being awarded funding.	1) Data on number should be available through Oracle Learning
PCDM5	Managers engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development.	1) Promote the research project leadership programme (RPL) to PIs	1) Yes	1) Spring 2023	DCAD		1) >25 PIs/annum complete the leadership training P/A	1) WE are already receiving quite a few enquiries about next year's intake
Diverse careers								
The aims of these obligations are to recognise, value and prepare researchers for the wide range of career options available to them within and beyond research.								
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.	1) Explore potential of University of Liverpool Prosper programme	No	1) June 2023	C&E	C&E		
PCDM2	Managers support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments.	See above	No	1) June 2023	C&E	C&E/DCAD		Mentoring in one form or other occurs in most departments. However, due to covid planned mentoring process and policy work has stalled. However a mentoring lead has been recruited so this will improve in the later half of
PCDR2	Researchers explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments.	1) Access to broad range of employer events and opportunities via registration with Careers & Enterprise 2) Researcher specific careers events featuring employers and alumni 3) Input from former researchers who have moved into different sectors 4) Establishment of a careers focused LinkedIn group for researchers	1-2) Yes reworded 3 - 4) No	1) Review September 23 2) Spread across 22-23 on RPD 3) - 4) Review September 23	C&E	C&E	Monitor levels of engagement (registration; engagement with support)	
PCDR6	Researchers consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and	1) Re advertise the Work Insights scheme - consider new ways to promote this	1) Yes	1) Summer 2023	DCAD	DCAD/C&E	1) 4 sign ups for Work Insights	The Work Insights scheme allows researchers a short internship in a different part of the university for example DCAD or RIS. We had zero uptake last year