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**HREiR Action plan template for institutions (2023-2026)**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | **Details** |  |  |  |  |  |  |  |  |
|  | **Institution name:** | **University of Worcester** |  | **The institutional audience\* for this action plan includes (only include direct beneficiaries; complete or delete, as appropriate):** |
|  | **Cohort number:** | **14** |  | **Audience (direct beneficiaries of the action plan)** | **Number of** | **Comments** |
|  | **Date of submission:** | **23 June 2023** |  | Research staff | 20  |   |
|  | **Institutional context:** |  |  | Postgraduate researchers | 196  |   |
|  |  | Research and teaching staff | 300 |   |
|  |  | Teaching-only staff |   |   |
|  |  | Technicians |   |   |
|  |  | Clinicians |   |   |
|  |  | Professional support staff |   |   |
|  |  | Other (provide numbers and details): |   |   |
|  |  |  |  |  |  |  |  |  |  |  |
| ***Complete for submission*** | ***To be completed only when reporting on action plan*** |
|  | **Obligation** | Action | Carried over from previous action plan? | Deadline | Responsibility | The targeted impact of the action(success measure) | Comments (optional) | Progress update | The actual impact of the action (reporting against the success measure) | Outcome (ongoing/carried forward/no further action) |
| **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. Publish Concordat on internal research webpage.
2. Promote Concordat in Staff induction.
3. Promote Concordat in PGR induction.
4. Continue to disseminate resources for managers of researchers to all managers and promote in core training and development training.
 |  a-c  | a. 09/23b,c. 09/23 and ongoingd. 09/23 and ongoing  | 1. RO
2. DPVC Research
3. LRD
4. Head of OD and SRDL
 | 1. >90% of researchers engage in UW Staff Induction.
2. >90% of PGR students attend induction.
3. Increasing engagement with resources for managers across the lifespan of the HREIR AP
 |   |   |   |   |
| ECI2 | Ensure institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers. | 1. Continue to engage in periodic review of all relevant policies as per institutional policy including EIA.
2. Ensure that all current versions of all relevant policies and procedures are made available through the internal research webpages.
3. Provide for researchers through the Career Development stream of the SRDP - awareness raising sessions on relevant UW policies.
4. Continue to disseminate managers guide to all managers of researchers and promote in core training and development training.
 |  a-b | 1. 09/23 and ongoing
2. 09/23 and ongoing
3. 10/23 and ongoing
4. 09/23 and ongoing
 | 1. Head of OD
2. Head of OD
3. SRDL
4. SRDL
 | 1. All relevant policies reviewed in line with institutional policy.
2. All current versions of policies are available to all researchers.
3. Increasing engagement across the life span of the HREIR AP from researchers with the career development stream.
4. Increasing engagement with resources for managers across the lifespan of the HREIR AP.
 |   |   |   |   |
| 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. Embed in institutions processes opportunities to gather feedback from researchers at least annually through a range of approaches including internal surveys.
2. Work with SRN to identify core themes focusing on research culture and environment and monitor patterns and report to UWRKEC.
3. Analyse on a bi-yearly basis attendance and feedback on engagement with SRDP and report trends to UWRKEC.
4. Use data from a-d to develop future HR and Research Policy and Practice.
 |   | 1. 01/24
2. 09/24
3. 12/23 and ongoing
4. 09/24 and ongoing
 | 1. Head of OD
2. SRN Leads
3. RKEF(PC) and SRDL
4. Head of OD, SRDL, DPVC Research
 | 1. Annual cycle of feedback established with increasing engagements from researchers over the life space of the HREIR AP.
2. Develop in UWRKEC a response to address core themes identified by the SRN.
3. Analysis completed and increasing engagement with the staff researcher development programme over the lifespan of the HREIR AP.
4. Over the lifecycle of the HREIR AP develop specific policy and reflect on its impact.
 |   |   |   |   |
| 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. Embed a mentoring culture at all levels in the University using a range of approaches at university and school level, for example UW mentoring scheme, research groups, University, and school induction.
2. Review existing practice and data on the uptake of university mentoring and consider if alternative approaches need to be developed to support colleagues at specific career stages, e.g., ECR.
3. Seek feedback from and represent and report on the views of the SRN at UWRKEC.
 |   | 1. 01/25
2. 07/24
3. 09/23 and ongoing
 | 1. CDRKEs and Head of OD.
2. CDRKEs and Head of OD
 | 1. Increasing researcher engagement with research mentoring across the lifespan of the HREIR AP.
2. Increasing researcher engagement with research mentoring across the lifespan of the HREIR action plan.
3. SRN views represented at all CRKESCs and evidence of impact on policy and practice across the lifespan of the HREIR AP.
 |   |   |   |   |
| **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. |   |
| ECI3 | Promote good mental health and wellbeing through the effective management of workloads and people. | 1. Continue to highlight the need to embed good mental health and wellbeing and workload management for researchers through guidance in resources for managers of researchers and RLP.
2. Emphasise in UW staff appraisal training a focus on mental health and wellbeing for researchers.
3. Promote UW EAP provision through staff and school inductions for researchers and ongoing staff development sessions.
 |   | 1. 09/23 and ongoing
2. 09/23 and ongoing
3. 09/23 and ongoing
 | 1. Head of OD and SRDL
2. Head of OD
3. Head of OD
 | 1. Increasing engagement with resources for managers across the lifespan of the HREIR AP.
2. UW Staff Appraisal updated to include a focus on wellbeing for researchers.
3. Induction processes at all levels include reference to EAP.
 |   |   |   |   |
| ECI4 | Ensure managers of researchers are effectively trained in relation to wellbeing and mental health. | 1. Promote and deliver the expanded blended wellbeing training programme to managers of researchers including mental health first aid, suicide prevention, menopause awareness
 |   | 1. 12/23 and ongoing
 | 1. Head of OD
 | 1. >90% of managers of researchers engage with wellbeing training programme over the lifespan of the HREIR AP.
 |   |   |   |   |
| ECM3 | Ensure managers promote a healthy working environment that supports researchers' wellbeing and mental health. | 1. Ensure managers engage with and promote the Researcher Wellbeing Guide.
2. Include information on Wellbeing in the guide for managers of researchers and update as required.
3. Ensure promoting a health working environment is embedded in core HR practices that managers enact.
 |   | 1. 12/23 and ongoing
2. 09/23
3. 12/23 and ongoing
 | 1. Head of OD
2. Head of OD
3. Head of OD
 | Seek regular anonymised feedback from SRN about wellbeing. Also include survey of researchers. HRBPs to identify and flag to Head of OD any wellbeing trends in areas where researchers are working. |   |   |   |   |
| ECM4 | Ensure managers consider fully flexible working requests and other appropriate arrangements to support researchers. | 1. Provide updates and guidance for managers on UW’s policy and procedure on flexible working to enable them to fully consider requests.
 |  Yes | 1. 09/23 and ongoing
 | 1. Head of OD
 | 1. More than 90% of researchers report being supported in their working practices.
 |   |   |   |   |
| ECR3 | Ensure researchers take positive action towards maintaining their wellbeing and mental health. | 1. Promote well-being at work training to all researchers through SRN, wellbeing guide and Staff Development Wellbeing Strand.
 |   | 1. 09/23 and ongoing
 | 1. Head of OD
 | 1. Increased engagement of researchers with wellbeing training throughout the lifespan of the HREIR AP.
 |   |   |   |   |
| **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. |   |
| 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. | 1. Promote the revised Bullying and Harassment Policy to all researchers including for new staff through induction and signpost to researchers the provision of RSOs.
2. Seek to include a researcher in the pool of RSOs.
 |   | 1. 09/23 and ongoing
2. 07/24
 | 1. Head of OD
2. Head of OD
 | 1. Direct measures of bullying and harassment include complaints and any raised by research staff will be dealt with using the current policy and procedure.
2. The role of RSO to be promoted to all researchers; two of the current officers are experienced in research.
3. Indirect measures include sickness absence levels and exit interviews, and both will be monitored for researcher involvement. By HRPBs.
 |   |   |   |   |
| ECM3 | Ensure managers encourage reporting and addressing incidents of discrimination, bullying and harassment. | 1. Embed good practice through the work of HRBPs with relevant managers, including the revised Bullying and Harassment Policy and RSOs.
 |  Yes | 1. 09/23 and ongoing
 | 1. Head of OD
 | 1. HR case work associated with researchers does not result in retention risks and/or ET cases.>60% of researchers familiar with reporting mechanisms and are comfortable to report.100% of researchers not felt bullied or harassed.
 |   |   |   |   |
| 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. | 1. Continue to highlight the available mechanisms, though induction and staff development.
2. Continue to require researchers to complete mandatory EDI training which includes reference to bullying and harassment procedures and how to report.
 |   | 1. 09/23
 | 1. Head of OD
 | 1. Increasing engagement with EDI training during the lifespan of the HREIR AP.
2. All researchers to complete EDI training on appointment and every 2 years during employment.
 |    |   |   |   |
| **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. | 1. Continue to ensure that managers of researchers undergo EDI training that is mandatory for all staff in the form of an e-learning course that has to be completed every 2 years.
2. Promote to managers other courses where EDI is addressed e.g., recruitment and selection, and appraisal.
 |   | 1. 09/23 and ongoing
2. 09/23 and ongoing
 | 1. Head of OD
2. Head of OD
 | 1. 90% managers engage with EDI training during the lifespan of the HREIR AP.
2. Ensure that applying the practice is monitored by way of interface with the HR teams.
3. > 80% of researchers agree that UW is committed to EDI in internal and external surveys.
 |   |   |   |   |
| ECR2 | Ensure researchers act in accordance with employer and funder policies related to equality, diversity and inclusion. | 1. Promote the need to engage with EDI Training.
 |  Yes | 1. 09/23 and ongoing
 | 1. Head of OD
 | 1. >90 of researchers engage with EDI training over the lifespan of the HREIR AP.
 |   |   |   |   |
| **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 Research Integrity Concordat through webpages and events
2. Embed Research Integrity Concordat in induction for researchers (staff)
3. Promote Epigeum Research Integrity training to all researchers.
4. Embed training on Research Integrity into guidance and resources for managers of researchers.
 |  a- b. | 1. 03/24
2. 09/23
3. 01/24
4. 09/23 and ongoing
 | 1. RKEF(PC)
2. DPVC

ResearchStaff Development Research Integrity Cluster Lead1. SRDL
 | 1. Increasing number of Research Ethics Proposals approved at College Research Committee at round 1.
2. Increasing engagement with RI training over the life span of the HREIR AP.
 |   |   |   |   |
| ECM3 | Ensure managers report and address incidents of poor research integrity. | 1. Develop and deliver for Managers of Researchers and HODs Researcher Management Training to help managers embed the principles discussed in the Manager of Researchers Guidance and include research integrity in the training
 |   | 1. 06/24
 | 1. Head of OD and Staff Development Research Integrity Cluster Lead
 | 1. Over 50% of managers engage with training in year 1 with a year on year increase during the lifespan of the HREIR AP.
 |   |   |   |   |
| ECR2 | Ensure researchers act in accordance with employer and funder policies related to research integrity. | 1. Promote to researchers the need to engage with EDI and Epigeum Research Integrity Training on the SRDP.
2. Monitor percentage of staff Research Ethics Proposals approved at CRKESC Round 1.
 |  | 1. 09/23 and ongoing
2. 09/23 and ongoing
 | 1. SRDL and RKEF(PC)
2. RKEF(IG)
 | 1. > 80% researchers attend EDI training and Research Integrity Training.
2. Increasing number of Research Ethics Proposals approved at CRKESC at round 1.
 |   |   |   |   |
| ECR4 | Ensure researchers use available mechanisms to report staff who fail to meet the expected standards of behaviour in relation to research misconduct. | 1. Ensure that researchers engage with training and associated guidance on research misconduct that forms part of the RDP (staff and student).
 |  | 1. 06/24
 | 1. LRD and SRDL.
 | 1. 100% of new PGRs have undertaken training on research misconduct. 100% of new research staff have undertaken training on research misconduct.
 |   |   |   |   |
| **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. |   |
| 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. | 1. Embed the organisation’s approach to policy development and consultation set out in the new EIA Process through the work of CDRKEs and Co-ordinators.
2. Ensure that research staff and PGRs are represented on UWRKEC and CRKESCs.
3. Support the ongoing development of the SRN to provide a forum for researchers to discuss and feedback to the institution.
 |  | 1. 06/24 and ongoing
2. 09/23 and ongoing
3. 09/23 and ongoing
 | 1. Head of OD.
2. CDRKEs.
3. SRDL
 | 1. Briefing on EIA to be attended by all CDRKEs and Co-ordinators.
2. Research Staff and PGR reps elected to UWRKEC and CRKESCs; evidence of engagement with committees through at least 75% attendance of reps.
3. Network continues to flourish, and feedback received at each UWRKEC.
 |   |   |   |   |
| 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. Ensure managers of researchers are represented on CRKESCs.
 |  | 1. 10/23 and ongoing
 | 1. CDRKEs
 | 1. managers of researchers elected to UWRKEC and CRKESCs.
2. Evidence of engagement with committees through at least 75% attendance of reps.
 |   |   |   |   |
| EM5 | Engage with opportunities to contribute to relevant policy development within their institution. | 1. Ensure managers of researchers continue to be represented on CRKESCs.
2. Report quarterly to UWRKEC on issues raised at SRN meetings.
 |   | 1. 10/23 and ongoing
 | 1. CDRKEs
 | 1. Managers of researchers elected to UWRKEC and CRKESCs.
2. Evidence of engagement with committees through at least 75% attendance of reps.
3. UWRKEC receives and addresses the issues received by SRN.
 |   |   |   |   |
| 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. Ensure that research staff and PGRs are represented on UWRKEC and CRKESCs.
2. Continue to promote the SRN, led by researchers to feed into policy development.
 | Yes | 1. 10/23 and ongoing
2. 09/23 and ongoing
 | 1. CDRKEs.
2. RKEF(PC)and SRN leads.
 | 1. Researchers and PGRs are elected to CRKESCs
2. Evidence of engagement with committees through at least 75% attendance of reps.
3. Attendance at SRN increases throughout the lifespan of the HREIR AP.
 |   |   |   |   |
| ER4 | Recognise and act on their role as key stakeholders within their institution and the wider academic community. | 1. Encourage researchers to engage with the Research Governance Structures through representation on CRKESCs.
2. Promote engagement with SRN to enable systematic feedback to appropriate stakeholders.
3. Ensure that researchers build opportunity to engage with wider academic stakeholders through identifying appropriate activities in appraisal/mentoring.
 | Yes | 1. 09/23 and ongoing
2. 09/23 and ongoing
 | 1. CDRKEs
2. RKEF(PC) and SRN Leads
 | 1. Researchers are represented on all CRKESCs.
2. 80% researchers regularly organise and engage with SRN.
3. 100% of researchers report they have been able to access funding for conferences and external meetings. 100% of researchers report they have opportunities to participate in decision making processes in surveys.
 |   |   |   |   |
| **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. |   |
| EI1 | Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices. | 1. Ensure that recruitment processes and documents identify open, transparent, and merit-based criteria and focus on research and learning and teaching.
2. Ensure that policies and procedures for recruitment and selection are easily accessible through the HR website.
 |  Yes | 1. 09/23 and ongoing
2. 09/23 and ongoing
 | 1. Head of OD.
 | 1. At least 70% researchers identify the recruitment process as fair, inclusive, transparent, and merit-based in surveys.
2. At least 90% of staff complete EDI training across the lifespan of the HREIR AP.
3. 90% of managers of researchers have undertaken ‘Recruitment and Selection’ training across the lifespan of the HREIR AP.
4. At least 80% of researchers believe UW is committed to equality and diversity in surveys.
5. at least 80% of researchers had not experienced discrimination at work in surveys.
 |   |   |   |   |
| EI2 | Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position. | 1. Review university induction annually to ensure currency in relation to UW policies.
2. Work with CDRKEs to ensure effective induction at School level.
 |   | 1. 09/23 and ongoing
2. 06/24
 | 1. DPVC Research.
2. Head of OD and CDRKEs.
 | 1. All newly appointed researchers to attend University induction.
2. School RKE induction enacted in all schools on at least an annual basis.
 |   |   |   |   |
| **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. |   |
| 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. | 1. The reward and promotion schemes set out clear criteria and procedures that researchers can follow.
2. There is scope of disclosing any equality related circumstances that might have an impact on career development.
 |   | 1. Scheme criteria are reviewed annually prior to publication from 09/23 onwards.
2. Equality- related circumstances can be disclosed from 09/23 onwards.
 | 1. UEB and HR support for schemes, plus Chairs of panels.
2. HR support to promotion and reward panels.
 | 1. Increase in number of applications for reward/promotion by researchers from the baseline of 22/23.
2. Increase in the number of applications from researchers disclosing equality related circumstances, from the baseline of 22/23.
 |   |   |   |   |
| EM3 | Managers commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers. | 1. Recruitment and reward schemes are subject to EIA process and outcomes are considered by appropriate groups. This provides evidence of managers commitment to and application of these processes.
 |   | 1. Scheme criteria, process, applications and awards subject to EIA at appropriate stages in the process from 09/23 onwards.
2. Members of panels and UEB informed about EIA outcomes from 09.23. onwards
 | 1. Head of OD
2. Head of OD
 | 1. Increase in number of applications and awards from researchers, from the baseline of 22/23.
 |   |   |   |   |
| **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. | 1. Engaging managers of researchers with guidance and resources that focus on grant funding through one-to-one advice and staff workshops.
2. HRBPs to engage managers of researchers with training focused on employment legislation and changes to local policies.
 |   | 1. Guide for managers of researchers includes relevant policies and to be promoted from 09/23 onwards.
2. From 09/23 all HRBPs attend academic school leadership teams to provide regular updates on law and local policy changes and deliver training.
 | 1. Head of OD
2. HRBPs
 | 1. 100% of managers of researchers aware of the guide by means of regular updates.
2. 100% of managers of researchers invited to attend relevant workshops on changes to employment and local policies.
 |   |   |   |   |
| ER1 | Researchers ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder. | 1. Engage researchers with induction for researchers to ensure understanding of institutional context, and on-going communications about changes to policies.
2. Seek help from SRN group to alert researchers to any changes.
 |   | 1. All newly appointed researchers invited to attend the various\* induction sessions from 09/23 onwards.
2. Changes to policies affecting researchers sent to them, from 09/23 onwards.
3. Briefings to SRN at regular intervals from 09/23 onwards.
 | 1. Head of OD
2. Head of OD
3. Head of OD
 | 1. 100% newly appointed researchers attend various\* induction programmes – Weekly Welcome, Corporate Induction, Academic focussed induction which includes research strategy and context.
2. All changes notified prior to implementation.
3. SRN update provided every 12 weeks.
 |   |   |   |   |
| ER2 | Researchers understand their reporting obligations and responsibilities. | 1. Induction programme for researchers to set out these responsibilities for, research integrity, and other reporting requirements.
 |   | 1. Induction session with DPVC Research includes these requirements and the procedure to follow. Session arranged by HR OD Team. All newly appointed researchers invited from 09/23
 | 1. DPVC Research and Head of OD
 | 1. All researchers confirm their understanding of their obligations in a survey in December 2023.
 |   |   |   |   |
| **People management** |   |
| The aims of these obligations are to ensure that researchers are well-managed and have effective and timely performance reviews. |   |
| EI4 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent. | 1. Engage line managers of researchers in newly curated set of training opportunities including EQ, leadership styles and change management.
2. Provide access to resources for project management training by way of in person workshops and on-line learning.
 |   | 1. All managers identified and given access to a range of development platforms for line management, from 09/23 onwards.
2. Project management resources curated and shared with managers, from 09/23 onwards.
 | 1. Head of OD and HR OD team
2. Head of OD and HR OD team.
 | 1. More than 75% of managers have engaged with at least one line management workshop/e-learning session by 06/24
2. More than 50% of managers have engaged with at least one project management resource by 06/24.
 |   |   |   |   |
| 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. | This forms part of a wider consideration of the culture within the organisation.1. A review will be informed by a staff survey in autumn 2023.
2. Alongside this is the implementation of a new HR system which will enable more effective gathering and analysis of key information about people management.
 |   | 1. Survey of all staff in 10/23 to gather views on culture.
2. New HR system roll out to start 04/24.
 | 1. Head of OD, UEB to receive reports.
2. HR system project team plus champions.
 | 1. Response rate from all staff survey to be at least 60% as a sound basis for future action.
2. Identify the key elements to be implemented first, to include appraisal tracking.
 |   |   |   |   |
| EM1 | Managers undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care. | 1. Managers have been invited to engage in several cross-organisational programmes to enhance their management capabilities.
 |   | 1. All managers to be reminded of the development opportunities from 09/23 onwards.
 | 1. Head of OD
 | 1. Monitor take up by managers and provide ‘nudges’ where low participation is identified.
 |   |   |   |   |
| EM4 | Managers actively engage in regular constructive performance management with their researchers. | This is being developed through several mechanisms. 1. Training provided for appraisers now includes advice for more frequent and regular discussions.
2. Several academic areas are reviewing their approach to performance management.
3. The new HR system will provide enhanced capability for recording and reporting.
 |   | 1. This is ongoing as part of the staff development programme.
2. This review to be collated by 12/23 and recommendations made.
3. System roll-out from 04/24 onwards
 | 1. Head of OD
2. Head of OD
3. HR system project team plus champions
 | 1. Monitor take up by managers and provide ‘nudges’ where low participation is identified.
2. Revised advice to be issued 01/24.
3. Identify the key elements to be implemented first, to include appraisal tracking.
 |   |   |   |   |
| ER3 | Researchers positively engage with performance management discussions and reviews with their managers. | 1. Evidence from local survey in March 2023 indicates that PDRs have taken place and found to be helpful.
 |   | 1. Seek views of SRN again in March 24.
 | 1. Head of OD
 | 1. Gather responses from at least 50% of researchers.
 |   |   |   |   |
| **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. | 1. Continue to utilise current FTC procedures to ensure that researchers are effectively redeployed and moved to open ended contracts where appropriate. Reports are made to relevant committees.
 |   | 1. The process for handling FTCs is well established and managed by the HRBPs
2. The HR OD team provide support to individuals for redeployment
 | 1. HRBPs
2. HR OD team
 | 1. All FTCs are managed well in advance and individuals provided with support that is appropriate to their individual needs.
 |   |   |   |   |
| **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. Continue to deliver the Career Development Stream started in 2022/3 within the SRDP.
2. Review the format, scope, and reach of the university research mentoring scheme to ensure it meets the needs of researchers at each career stage and amend if appropriate.
3. Ensure all researchers have the option of engaging with a research Mentor appropriate to their career stage.
4. Review the format, scope, and reach of the university research compact document and its link with staff appraisal to ensure it meets the needs of researchers at each career stage and amend if appropriate.
5. Consider the requirement for external career development for researchers in the context of UW staffing.
6. Carry out a Researcher Career Stage Review (RCSR) Project,that identifies and describes University of Worcester’s research careers into 5 phases.
7. Use the outcomes of the RCSR to identify a relevant training pathway for all researchers.
8. Develop training and development to meet the needs of each career stage: ECRs, Mid-Career, New Research Leader, Senior Research Leader and Second career Academic.
9. Support managers through training to use the RCSR when reviewing career development with researchers
 |   | 1. 09/23 and ongoing
2. 06/24
3. 06/24
4. 06/24
5. 06/25
6. 12/23
7. 09/24
8. 09/24
9. 09/24
 | 1. SRDL.
2. CDRKEs and Head of OD.
3. CDRKEs.
4. CDRKEs and Head of OD.
5. Head of OD.
6. CDRKEs and RKEF(PC).
7. CDRKEs and SRDL.
8. CDRKEs and SRDL.
9. Head of OD.
 | 1. Engagement from researchers with the Career Development Stream increases over the lifespan of the HREIR AP.
2. Research mentoring scheme review completed and policy and approach to mentoring communicated to all researchers and managers of researchers.
3. All current researchers offered the opportunity to work with a mentor and all new entrants offered the opportunity to work with a mentor.
4. The Research Compact document is reviewed and policy and approach communicated to all HOSs and relevant managers.
5. Report to UWRKEC submitted.
6. Review completed and staff aligned with relevant research career stage.
7. h. 2024/5 SRDP aligned with research career stages and opportunities provided for each stage.
8. in 24/5 training provided to enable managers to engage with RCSR during appraisal.
 |   |   |   |   |
| PCDI6 | Monitor, and report on, the engagement of researchers and their managers with professional development activities. | 1. Evaluate the SRDP annually as a basis for further development.
2. Review appraisal practice to ensure that professional development for researchers is discussed and documented.
3. Gather and review data annually on the engagement of researchers with SRDP.
4. Gather and review data annually on the engagement of researchers and engagement wider professional development.
5. Report to UWRKEC trends in engagement by researchers on professional development activities.
 |   | 1. 05/24 and ongoing
2. 05/24 and annually
3. 05/24 and annually
4. 05/24 and annually
5. 06/24 and annually
 | 1. SRDL and RKEF(PC)
2. Head of OD.
3. RKEF(PC).
4. Head of OD.
5. SRDL.
 | 1. Incremental changes implemented year on year during the lifespan of the HREIR AP.
2. Implementation of new HR system from 2024 onwards provides an opportunity to track appraisals by completion and content. Prior to this information will be sought from a sample of researchers.
3. Data gathered to identify trends and action taken to inform the future development of the programme.
4. Data gathered to identify trends and action taken to inform the future development of the programme.
5. Report discussed and submitted annually, and action taken to address any significant trends.
 |   |   |   |   |
| 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. Ensure through management training and guidance that manager of researchers are aware of supporting researchers to engage with professional development for a minimum of 10 days per year.
2. Embed this requirement in training and development for managers provided by HR.
3. Establish quarterly a professorial network to provide support, development and mentoring for new professorial appointees.
4. Review the existing RLP to ensure that it meets the needs of staff in the different career stages identified in PCDI1
 |   | 1. 09/23 and ongoing.
2. 06/24.
3. 06/24
4. 06/24
 | 1. Head of OD.
2. Head of OD.
3. CDRKE for Health and Science.
4. SRDL.
 | 1. A greater number of researchers report engaging with a minimum 10 days of professional development during the lifespan of the HREIR AP.
2. in 24/25 training for managers includes specific guidance on the needs of researchers.
3. Network established with developmental role articulated.
4. RLP aligned directly with the RDCSP stages and pathways established to provide researchers with career structure and development.
 |   |   |   |   |
| 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. Ensure that all researchers develop good practice in taking ownership of their careers by developing their Research Compact document in preparation for appraisal.
2. Ensure that all researchers engage in the annual cycle of UW appraisal scheme with their manager and actively self-identify their development needs.
3. All researchers proactively identify specific activities and events to generate 10 days professional development per year and record using appropriate identified UW mechanisms.
 |  b-c | 1. 09/24 and ongoing
2. 09/23 and ongoing
3. 09/23 and ongoing
 | 1. Researchers.
2. Head of OD.
3. Researchers.
 | 1. >80% of research staff report using the Research Compact to plan and manage their research career.
2. SRN report majority of researchers actively engage with mentor.
3. At least 90% of researchers report engaging with appraisal in the previous 12 months in internal and external surveys.
4. >80% report using the research compact for recording professional development activity.
 |   |   |   |   |
| **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. Continue to develop the needs of researchers in training on UW staff appraisal, by developing case studies and workshop examples that relate to the needs of researchers.
2. Provide, through the Managers of Researchers Guide, guidance on conducting staff appraisals.
 |   | 1. 09/24
2. 09/23 and ongoing
 | 1. Head of OD.
2. Head of OD
 | 1. >90% managers of researchers engage with appraisal training during the life span. of the HREIR AP.
2. >90% managers of researchers engage with the Managers of Researchers Guide during the life span of the HREIR AP.
 |   |   |   |   |
| PCDI6 | Monitor, and report on, the engagement of researchers and their managers with researcher career development reviews. | 1. Review data on researcher engagement within SRDP and appraisal on an annual basis.
 |  Yes | 1. 09/23 and ongoing
 | 1. Head of OD and SRDL.
 | 1. Year on year growth in engagement of researchers in professional development activity and appraisal.
 |   |   |   |   |
| PCDM1 | Managers engage in regular career development discussions with their researchers, including holding a career development review at least annually. | 1. Managers of researchers consistently use researcher’s compact to identify in appraisal goals and objectives appropriate to the discipline and career stage.
2. Continue to develop the use of the research compact across all schools and monitor engagement with it annually through feedback from the SRN, CDRKEs and School RKE Co-ordinators.
 |   | 1. 09/24 and ongoing.
2. 09/24 and ongoing.
 | 1. CDRKEs.
2. CDRKEs.
 | 1. Research Compact scheme operational in all schools.
2. >80% of researchers have participated in appraisal in all survey.
3. 70% of researchers find appraisal useful in all surveys.
 |   |   |   |   |
| PCDR4 | Researchers positively engage in career development reviews with their managers. | 1. All research staff engage in annual cycle of UW appraisal scheme with their manager and identify relevant career development objectives.
 |  Yes | 1. 09/23 and ongoing.
 | 1. Head of OD.
 | 1. At least 90% of researchers report engaging with appraisal in the previous 12 months in all surveys.
 |   |   |   |   |
| **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. Continue to deliver and develop Career Development strand for Research Staff within the SRDP.
2. Work with UW Careers Service to provide support for researchers.
 |  Yes | 1. 09/23 and ongoing.
2. 06/25
 | 1. SRDL.
2. Head of OD and SRDL.
 | 1. Career Development strand developed and embedded in the RDPs (staff and student)
2. 60% of researchers report they are aware of the support the institution provides for career and professional development and have opportunity to develop their leadership skills in all surveys.
 |   |   |   |   |
| 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. Researchers record career development plans using UW identified mechanisms.
 |  a.  | 1. 09/23 and ongoing.
 | 1. Researchers.
 | 1. >50% of researchers indicate they have a career development plan in all surveys.
 |   |   |   |   |
| **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. |   |
| PCDI4 | Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills. | 1. Carry out a RCSR Project, that identifies and describes UWs research careers into 5 phases.
2. Use the outcomes of the RCSR to identify a relevant training pathway for all researchers.
3. Develop training and development including leadership skills to meet the needs of each career stage: ECRs, Mid-Career, New Research Leader, Senior Research Leader and Second Career Academic.
 |   | 1. 12/23
2. c. 09/24
 | 1. CDRKEs and RKEF(PC).
2. CDRKEs and SRDL.
3. CDRKEs and SRDL.
 | 1. Review completed and staff aligned with relevant research career stage.
2. 2024/5 SRDP aligned with research career stages and opportunities provided for each stage.
 |   |   |   |   |
| 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. Researchers' training and development needs to be identified through the "Research Compact" or other UW process and feed into appraisal where they are enacted by the manager.
2. Managers discuss with researchers during appraisal their wider development needs and seek opportunities for them to broaden their experience.
 |  Yes | 1. 09/23 and ongoing
 | 1. Head of OD.
 | 1. b. At least 60% of researchers have time to develop their research identity and at least 60% have time to develop their broader leadership skills in all surveys during the lifespan of the HREIR AP.
 |   |   |   |   |
| PCDM5 | Managers engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development. | 1. Ensure that managers of researchers develop their own capacity to support others through the UW Management and Leaders Programme.
2. Review content of UW Management and Leaders Programme to ensure its relevance to the managers of researchers.
 |  Yes | 1. 09/23 and ongoing.
2. 06/25
 | 1. Head of OD.
2. Head of OD.
 | 1. 80% of managers of researchers engage with UW Management and Leaders Programme through the lifespan of the HREIR AP.
2. Programme reviewed and refocused as appropriate.
 |   |   |   |   |
| PCDR5 | Seek out, and engage with, opportunities to develop their research identity and broader leadership skills |  |  |  |  |  |  |  |  |  |
| **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. Noting that in 2022 75% of our researchers stated they wished to remain in HE, continue to explore opportunities of working across employment sectors by developing within the SRDP opportunities to explore working with other sectors.
2. Ensure that researchers engage with appropriate aspects of the SRDP (including Career Development strand).
3. Consider extending the mentoring scheme to include working within other sectors.
 |   | 1. 06.24b.
2. 09/23 and ongoing.
3. 06/24.
 | 1. SRDL
2. RKEF(PC) and SRDL.
3. CDRKEs.
 | 1. b. Year on year growth in engagement of researchers in professional development activity throughout the lifespan of the HREIR AP.
 |   |   |   |   |
| 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. | 1. Ensure that researchers engage with appropriate aspects of the SRDP (including Career Development strand).
 |  Yes | 1. 09/23 and ongoing.
 | 1. Managers of researchers and SRDL
 | 1. At least 60% of research staff agree that UW supports them in their wider career development in all surveys across the lifespan of the HREIR AP.
 |   |   |   |   |
| 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. Researchers engage with career development stream of SRDP.
 |  Yes | 1. 09/23 and ongoing.
 | 1. SRDL and RKEF(PC).
 | 1. At least 60% of research staff agree that UW supports them in their wider career development in all surveys across the lifespan of the HREIR AP.
 |   |   |   |   |
| 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 commercialisation. | 1. Embed training and development on knowledge exchange, policy development, public engagement and commercialisation in relevant strands of the SRDP.
 | Yes  | 1. 09/23 and ongoing.
 | 1. SRDL
 | 1. Training and development on knowledge exchange, policy development, public engagement and commercialisation embedded in programme.
 |   |   |   |   |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| \* The Researcher Development 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 Researcher Development Concordat encourages institutions to include other groups who actively engage in research as beneficiaries of their Concordat action plan. These could be postgraduate researchers; staff on teaching and research, or teaching contracts; clinicians; professional support staff; technicians.  |
|  |  |  |  |  |  |  |  |  |  |  |
| **Further hyperlinks and supplementary information****(more rows can be added)** |  | **Abbreviations and glossary** **(more rows can be added)** |  |  |  |
|  | University of Worcester Research and KE Strategy<https://www.worcester.ac.uk/documents/621615-UOW-Strategy-Document-Templates-RKE-Strategy-2020-2025-print.pdf>  |  | **CDRKE** | College Director of Research and Knowledge Exchange |  |  |  |
|  | University of Worcester Research Integrity Policy<https://www.worcester.ac.uk/research/research-integrity-and-ethics.aspx>  |  | **CRKESC** | College RKE Sub-Committee |  |  |  |
|  | University of Worcester HR<https://www2.worc.ac.uk/personnel/>  |  | **DPVC** | Deputy Pro Vice Chancellor |  |  |  |
|  | University of Worcester Staff Researcher Development Pages<https://worcesterbb.blackboard.com/ultra/organizations/_22713_1/cl/outline>  |  | **EAP** | Employee Assistance Programme  |  |  |  |
|  |  |  | **ECR** | Early Career Researcher  |  |  |  |
|  |  |  | **EDI** | Equality, Diversity, and Inclusion |  |  |  |
|  |  |  | **EIA** | Equality Impact Assessments |  |  |  |
|  |  |  | **EQ** | Emotional Quotient |  |  |  |
|  |  |  | **ET** | Employment Tribunal  |  |  |  |
|  |  |  | **FTC** | Fixed Term Contract |  |  |  |
|  |  |  | **HE** | Higher Education  |  |  |  |
|  |  |  | **HOD** | Head of Department |  |  |  |
|  |  |  | **HOS** | Head of School |  |  |  |
|  |  |  | **HR** | Human Resources |  |  |  |
|  |  |  | **HRBP** | HR Business Partner |  |  |  |
|  |  |  | **HREiR AP** | HR Excellence in Research Action Plan |  |  |  |
|  |  |  | **LRD** | Lecturer in Researcher Development  |  |  |  |
|  |  |  | **OD** | Organisational Development |  |  |  |
|  |  |  | **PDR** | Performance Development Review |  |  |  |
|  |  |  | **PGR** | Postgraduate Research |  |  |  |
|  |  |  | **RCSR** | Researcher Career Stage Review |  |  |  |
|  |  |  | **RD** | Researcher Development |  |  |  |
|  |  |  | **RDCSP** | Researcher Development Career Stage Project |  |  |  |
|  |  |  | **RKE** | Research and Knowledge Exchange |  |  |  |
|  |  |  | **RKEF(IG)** | Research and Knowledge Exchange Facilitator (Integrity and Governance)  |  |  |  |
|  |  |  | **RKEF(PC)** | Research and Knowledge Exchange Facilitator (People and Culture)  |  |  |  |
|  |  |  | **RLP** | Research Leadership Programme |  |  |  |
|  |  |  | **RO** | Research Office  |  |  |  |
|  |  |  | **RSO** | Resolution Support Officer |  |  |  |
|  |  |  | **SRDL** | Staff Researcher Development Lead |  |  |  |
|  |  |  | **SRDP** | Staff Researcher Development Programme |  |  |  |
|  |  |  | **SRN** | Staff Researcher Network |  |  |  |
|  |  |  | **UEB** | University Executive Board |  |  |  |
|  |  |  | **UW** | University of Worcester |  |  |  |
|  |  |  | **UWRKE** | University of Worcester Research and Knowledge Exchange |  |  |  |
|  |  |  | **UWRKEC** | University of Worcester Research and Knowledge Exchange Committee |  |  |  |

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