HREiR Action plan template (2021-2023)

UNIVERSITY OF LEICESTER

hr — HR EXCELLENCE IN RESEARCH

	Details	
Institution name:	**University of Leicester**	**The institutional audience* for this action plan includes:**
Cohort number:	**3**	
Date of submission:	**24/09/2021**	

Audience (beneficiaries of the action plan)	Number of	Comments
Research staff (RS)	509	
Early Career R & T academic staff (ECRs)	181	For approximate count, considered as: junior academic position and/or not fully research years of appointment
R only Clinicians		Total captured within RS and ECR numbers

	Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update (to be completed for submission)	Outcome/ result
Environment and Culture							
Institutions must:							
ECI1	Ensure that all relevant staff are aware of the Concordat	1) To hold a launch event for the new action plan for all academic and research staff in Jan-Feb 2022 2) For all new research staff, upon joining to receive a welcome email from the Doctoral College that includes the Concordat details and signpost to the committee responsible monitoring concordat actions	Measured through CEDARS. To increase responses for awareness or understanding of the researcher development concordat to 65% of all responders (current level 60%) To have ECR responses with some awareness at 75% (current level: 49%) To increase response rate to CEDARS to min. 20% of the eligible audience	Aug 23 Aug 23	Doctoral College		
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers				Doctoral College with Policy Holders		
ECI3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	1) Staff health and wellbeing offerings to continue to be advertised and circulated 2) Doctoral College to communicate out policy reminders and to share relevant resources available min. twice per year to managers of researchers and ECRs, RS 3) Problem resolution framework to be published and communicated out 4) Doctoral College to work with other internal provides to continue annual Researcher Wellbeing day in May	Establish a baseline for RS uptake of current health and wellbeing sessions. ECR-RS-CE-SC to set target for 2023 CEDARS - to see reduction in those that have felt discriminated against to 15% and an increase in those reporting discrimination to 10% Wellbeing day - increase in uptake from RS/ECR community year on year of 5%	July 22/23 Aug 23 June 22/23	Health and Wellbeing Doctoral College		
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health						
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	1) Launch revised University Code of Research Conduct 2) Ensure cross-linking on intranet pages relating to researchers development and conduct	CEDARS - increase in those reporting awareness of the Research Integrity Concordat to increase by 10% to 55% to decrease those that report "don't know" about the internal promotion of research integrity and conduct to 10%	Aug-23	Research Integrity Chair		
ECI6	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices						
Funders must:							
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies						
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers						

ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions					
Managers of researchers must:						
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work					
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	see ECI5				
ECM3	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	see ECI3				
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	1) To promote the use of job sharing, through case studies in ECRs/RS through appropriate guidance material for managers and ECR/RS collated and hosted on HR and Doctoral College intranet pages 2) Ensure guidance for flexible working is circulated to managers of researchers	Measured through CEDARS: decrease in managers feeling unconfident in managing flexible working requests from 21% to 15% Maintain perception that requests for flexible working are treated fairly at 67%	Aug-23		
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution					
Researchers must:						
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students					
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion					
ECR3	Take positive action towards maintaining their wellbeing and mental health	see ECI3	CEDARS - mental health and wellbeing training, 10% reduction in "would like to do" and 10% increase in "have done"	Aug-23	Health and Wellbeing Doctoral College	
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	see ECI3				
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution					
Employment						
Institutions must:						
EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices					
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) to provide a welcome email upon joining, with signposting to intranet pages holding the detailed information 2) to provide an institutional welcome for research staff and ECRs twice per year 3) to ensure RS & ECR leads in each College are made aware of new starters and are invited to regular College forums	Measured through CEDARS. i) to increase offer of institutional induction to all new research staff to 100% ii) to increase offer of College induction to 50% iii) perceived usefulness of institutional induction to increase to 45% of responses (10% increase)	Aug-23	Doctoral College	

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) publish clear guidance for career pathways, promotions and regrading criteria	CEDARS - fair treatment with regards to promotion and progression increasing to 35%	Aug-23	HR		
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	1) Organisational Development to continue to provide suite of leadership, line management and related training 2) Doctoral College to facilitate provision of project management training 3) to advertise and raise awareness of existing online training/self-guided packages for Leicester staff	Measured yearly through attendance numbers, attendance demographics, sessions provided, session names and session feedback. Reported to ECR-RS-CE-SC - baseline created by Aug 22 and targets set by committee for Aug 23	Aug 22 Aug 23	Organisational Development Doctoral College ECR-RS-CE-SC		
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						
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) HR to provide guidance on how fixed term contracted research staff can move to open-ended subject to funding contracts 2) HR to generate strategy to decrease use of repeat fixed term contracts and better utilisation of open-ended subject to funding contracts	CEDARS - a 10% increase of ECRs/RS on open-ended subject to funding (from 24% to 35%). Likewise decrease in fixed term contracts by at least the same percentage.	Aug-23	HR		
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						
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies						
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security						
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression						
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels						
Managers of researchers must:							
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	1) Organisational Development to continue to provide suit of leadership, line management and related training 2) for additional elements on leadership for managers of researchers to be made available 3) to advertise and raise awareness of existing online training/self-guided packages for Leicester staff	Measured yearly through attendance numbers, attendance demographics, sessions provided, session names and session feedback. Reported to ECR-RS-CE-SC - baseline created by Aug 22 and targets set by committee for Aug 23	Aug 22 Aug 23	Organisational Development Doctoral College ECR-RS-CE-SC		
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding						
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers						
EM4	Actively engage in regular constructive performance management with their researchers	1) provide and communicate out guidance for managers of researchers for supporting their career development both outside of appraisals and as part of appraisal discussions	CEDARS - 10% increase in those reporting receiving career development reviews with their managers also maintaining usefulness level of over 80% for appraisals	Aug-23	HR and Doctoral College		

EM5	Engage with opportunities to contribute to relevant policy development within their institution					
Researchers must:						
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder					
ER2	Understand their reporting obligations and responsibilities					
ER3	Positively engage with performance management discussions and reviews with their managers	1) Doctoral College to encourage all ECR and RS to have an appraisal as a minimum 2) to establish a baseline for uptake of the new online system in the first year and set a target for the next period at ECR-RS-CE-SC	CEDARS as with EM4 Uptake to be monitored by ECR-RS-CE-SC and target increase set if/as needed	Aug 23 Jul 22	Doctoral College	
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community					
Professional and Career Development						
Institutions must:						
PCDI1	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	1) RS and ECR to have access to training outlined in EM1 2) Doctoral College, Library services, Organisational Development and other providers to continue provision of training that encompasses the RDF 3) HR to continue to ensure that professional development time is listed on new job summary forms and protected at 10 days pro rata	Measured yearly through attendance numbers, attendance demographics, sessions provided and session names. Reported to ECR-RS-CE-SC CEDARS - training and development activities, seeing 10% conversion from "not undertaken but would like to" to "undertaken"	July 22 July 23 Aug 23	Organisational Development Doctoral College HR ECR-RS-CE-SC	
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	1) PDDs process is being revised for new online system, specific guidance for conducting appraisals with research staff to be developed 2) Organisational Development to continue standard provision of appraisal guidance and training 3) uptake and completion of discussions to be monitored and reminders sent for those not completing at the local School/Dept. level	CEDARS - confidence in conducting appraisals to remain above 70%, those requiring additional development for appraising staff to decrease to 20% CEDARS - those receiving an appraisal to increase to 90% and usefulness to increase to 70%. Uptake rate to be reported to ECR-RS-CE-SC annually	Aug 23 Aug 23 Jan 22	Organisational Development Doctoral College ECR-RS-CE-SC	
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	see PCDR2 & 3				
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills					
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) monitor and report on next destination data for research staff 2) continue to provide invited speakers from varying sectors to the "Evening Career Event" series 3) Track CEDARS responses to aspire/expect to exit survey results and adjust provision accordingly	Increase response rate of exit surveys completed by research staff to 50% Alignment of exit surveys with CEDARS aspire/expect responses	Aug 23	Doctoral College	
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews					
Funders must:						
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning					
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes					

PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit					
Managers of researchers must:						
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	see PCDI2				
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	1) research leaders and those with previous careers in industry to be encouraged to be mentors in the pan institutional researcher mentoring scheme	Measure of matches whilst ensuring no mentees are without a mentor match. Set target for second year through ECR-RS-SC-CE Have mentors fulfilling research leadership and non-academic career guidance roles.	Aug 22/23	Doctoral College ECR-RS-CE-SC	
PCDM3	Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development					
PCDM4	Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours					
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	see EM1				
Researchers must:						
PCDR1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year					
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	1) Start roll out of pan institutional mentoring for researchers 2) Doctoral College to continue provision of evening career events with invited alumni and other guest speakers 3) Employability workshop series to continue, which includes non-academic career options	Uptake of mentoring, baseline to be established in first year by Aug 22. Target increase for % of those offered to be determined by ECR-RS-CE-SC by Sept 22 Count of sessions and attendance, with baseline established by Aug 22. Target increase for Aug 23 to be determined by ECR-RS-CE-SC Sept 22 Count of sessions and attendance, with baseline established by Aug 22. Target increase for Aug 23 to be determined by ECR-RS-CE-SC Sept 22	Aug 22/23 Aug 22/23 Aug 22/23	Doctoral College ECR-RS-CE-SC	
PCDR3	Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications	1) to encourage research staff to have a career development plan and include this within the PDD/appraisal guidance documents 2) to provide examples of career development plans on our intranet pages 3) to continue provision of 1-2-1 employability consultations and employability training for Research Staff	CEDARS - question set 30 on career planning. To have 40% with a clear career development plan. To have 75% with a formal record of their CPD. To report to ECR-RS-CE-SC on provision and attendance of sessions. Useful feedback of 90% for these sessions	Aug 23 July 22/23	Doctoral College ECR-RS-CE-SC	
PCDR4	Positively engage in career development reviews with their managers					
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	1) Doctoral College to continue communications on what formal PGR supervision looks like and to provide supervisor training 2) Doctoral College to report to ECR-RS-CE-SC number of research staff formally involved in supervision, to establish baseline	CEDARS - 5% increase in value of contributions to supervising research students	Aug-23	Doctoral College ECR-RS-CE-SC	

| PCDR6 | Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation | 1) Research and Enterprise Division, with Doctoral College, continue to provide bespoke training to RS and ECRs for grant applications
2) To promote opportunities for knowledge exchange and commercialisation through the Leicester Innovation Hub, STAR, and Space Centre | CEDARS - a 5% increase to the value of contributions to grant/funding applications, knowledge transfer and commercialisation | Aug-23 | Doctoral College ECR-RS-CE-SC | | |

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