Keele University

HREiR Action plan template (2021 - 2023)

Keele UNIVERSITY

HR EXCELLENCE IN RESEARCH

	Details			
Institution name:	Keele University	The institutional audience* for this action plan includes (complete or delete, as appropriate):		
Cohort number:	9	Audience	FTE	Comments
Date of submission:	26-Nov-21	Research staff	502.168	FTE equivalent. Includes both research only (99.56) and research & teaching (402.608)
		Postgraduate researchers	535	Total number, not FTE
		Research and teaching staff		Included in definition of 'research staff'
		Teaching-only staff		
		Technicians		
		Clinicians		
		Professional support staff		
		Other (please provide numbers and details):		

	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) The Concordat will also continue as a regular item on University Research Committee (URC) & Senate. 2) The Concordat is already referenced in the Staff induction programme and PGR student induction, but to further support this a welcome email to new research staff will signpost the Concordat and related support, e.g. Careers, KDA, Organisational Development relevant forums.	1) Concordat discussed at URC, at least once per year. All new research staff starting from 1st January 2022 have received a signposting email and related support (including Concordat). 2) Minimum of 50% of research staff to report 'some understanding' of Concordat in 2023 CEDARS survey (up from 35.8%).	Nov 2023 July 2023		1) Concordat is now regular topic on University Research Committee agenda. It is flagged at induction and will also be incorporated firmly within new 'Research Induction Programme' to be launched February 2024. 2) From 40 responses to CEDARS, 30% reported some understanding, which is in line with national average but has not yet met our target (noting low response rate to survey may be a factor)	Carried forward
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Institutional research related policies undertake Equality & Diversity Analysis and are communicated via relevant research committees, research leaders forum, research staff forum. A communications strategy will be developed for researchers, to ensure they receive clear communications, are made aware of institutional practices and policies, and researchers understand where to find support/information	1) Researcher Communications Strategy developed in consultation with researchers (including HREiR group) and implemented. 2) University Research Committee to have a standing item on Equality and Diversity, which cascades to Faculty Research Committee's. 3) Minimum of 85% of research staff reporting that 'institution is committed to equality and diversity in 2023 CEDARS survey (up from 83.6%)	July 2022 Nov 2021 July 2023	Communications Officer, PVC Research & Innovation	1) A suite of improvements to research communications have been made during the period, with improved communication of research-related matters through internal staff newsletters, staff intranet content, website content and monthly Research at Keele newsletters. The Research at Keele Newsletter now features information related to policy updates/new policies. Updates on research policy matters are incorporated within the quarterly Senate update session for professional services staff after each Senate meeting. 2) Equality and Diversity agenda item incorporated within Research Culture on the University Research Committee agenda. 3) CEDARS data indicates that 65% of researchers agree that the institution is committed to equality and diversity (noting low response rate to survey may be a factor)	No further action - work on EDI continues at institutional level, overseen by EDI Steering Group
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	In 2021, a new Dignity and Respect Policy Statement was approved and is supported by updated Procedures for staff to raise a complaint of bullying or harassment and an anonymous reporting tool. A new workload allocation model was introduced in 21/22. We will seek feedback on the effectiveness of these new interventions through our Athena Swan Institutional Survey which will run in November 2021.	1) Athena Swan Institutional Survey launched Nov 2021 2) Summary of findings for staff who undertake research shared with HR EiR group, to analyse and take action accordingly 3) Minimum of 60% of research staff to report that institution "actively promotes the importance of good mental health and wellbeing of staff" in 2023 CEDARS survey (up from 53.8%).	Nov 2021 Mar 2022 July 2023	Deputy Director of HR	1) Athena Swan Institutional Survey closed on 6 March 2023. 2) Summary of findings for staff who undertake research has been collated and will be shared with Research Culture Committee. Many Athena Swan survey respondents indicated that they were experiencing high workloads, with some free text comments linking this to issues of health and well-being. The mean Likert score on a 5-point scale for agreement with the statement "*My current workload is manageable .*" was at the neutral point (3.0) for male staff (on E&R and R-only contracts) but below this, at 2.6 for their female peers. Comments relating to balancing demands of their work and caring responsibilities were largely made by female staff. This gender inequality is likely exacerbated when workloads are high. Free text comments relating to well-being largely repeated concerns about workload. Likert scores for experiencing Bullying & Harassment were low (i.e. good) at 1.8 for women and 2.1 for men and staff generally knew how to report issues (Likert score 3.6F & 4.0M) but there is scope to improve knowledge on this and on how to access mental health support (Likert score 3.5F & 3.7M) and confidence in asking for this support (Likert score 2.9F & 3.2M). These findings will be considered by the Research Culture Committee and have been used to identify a series of actions that have been included in the HR EIR 2023-25 action plan. 3) CEDARS data indicates that 45% agree that the institution actively promotes the importance of good mental health and wellbeing of staff	No further action - work on mental health and wellbeing will continue through a variety of projects.

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ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	All staff are required to complete a mandatory training module of Equality in the Workplace, and a new Unconscious Bias mandatory module will launch in October 2021. A module on Managing Health & Safety is being updated to become Managing Health, Safety and Wellbeing (HS&W) in the Workplace which will launch in 2022.	1) 100% completion rates for all equality related mandatory training. Unconscious bias training launched by December 2021. Minimum of 75% of attendees of unconscious bias training to rate outcome of the training as effective in improving EDI consideration on their day to day actions. 2) HS&W training developed and launched by Dec 2022 3) 10% increase in the number of managers completing HS&W training and 20% increase for ther number of research staff completing by Summer 2024. Completion rates currently stand at 84% completion for Managerial and Specialist and 42% for Research staff. 4) HS&W training promoted to managers of research staff by Summer 2023	Dec 2021 Dec 2022 Dec 2022 Sept 2023	Organisational Development Manager	1) Completion rate currently stands at 90.1% (October 2023) for 'Equality in the Workplace' mandatory training. A new module 'Bias Awareness' was launched in December 2022 and completion currently stands at 75.8%. 2) Mandatory training on Health and Safety in the Workplace was launched in 2021 via internal communications to all-staff and senior manager communications. Health and Safety Awareness Mandatory training completion rates currently stands at 89.9% (October 2023) 3) HS&W training completion rates for managers is at 96%, Completion rates for research staff is at 80% (October 2023) 4) All mandatory training is highlighted via internal communication methods and as part of the annual appraisal (SPRE/PPRE) processed. Managers have access to reports on mandatory training and are asked to monitor and remind staff on completions. Completion of mandatory training is also a requirement for promotion and Keele Excellence Awards.	Completed
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	We will continue to raise the profile of research integrity and reproducibility through inclusion in research staff induction programme, attendance at Research Leaders Network by the Academic Lead for Research Integrity and Improvement and the Faculty Research Integrity Champions, including an update from the Academic Lead to University Research Committee and dedicated webpages and resources for all researchers to access.	1) Research reproducibility incorporated into staff induction programme 2) By January 2022, research staff will complete Keele University Research Assurance System (KURAS) for all new projects, to ensure all legislative responsibilities are met 3) Updated Research Integrity and Improvement webpages/resources released 4) Minimum of 75% of research staff report institution "promotes the highest standards of research integrity and conduct" in CEDARS survey (up from 71.6%)	August 2022 January 2022 January 2022 July 2023	PVC R&I and Director of Research Strategy Delivery	1) Updated Research & Innovation pages have been released. These contain information about open research, research integrity, research misconduct and how to contact the research integrity team at Keele. This content is overseen and maintained by the Research Integrity & Improvement Committee and is regularly updated in line with sector developments. Researchers are sign-posted to these pages as part of the current research and innovation induction process to raise awareness and provide information regarding resources and training opportunities. The staff induction programme is in the process of being updated to include a self-directed learning activity checklist for users to work through over a 6 month period, introducing the concepts of research integrity, open research, research culture and how research and innovation support at Keele operate. 2) KURAS (Keele University Research Assurance System) was implemented in October 2021. This is an online, cloud-based system that has been configured to enable researchers to submit an application for research ethics review - internal policy states that all projects, irrespective of funding arrangements, that involve humans and/or their tissue or data must go through this process. To date, 417 applications and 117 amendments have been processed through the system. Additional mandatory questions have been added to the application process that highlight the need for open access, including data as this has been the focus of Keele's Research Integrity action plan 2020-23. Colleagues in the Research and Innovation Support (RaISE) teams (n=32) have received training on research integrity and provide support to academic colleagues on research ethics and integrity and are also able to refer them to the Faculty Research Integrity Champions. Work is still ongoing to ensure that all projects, irrespective of whether they require a favourable ethical opinion for funding purposes, go through the questionnaire in KURAS to provide a framework for researchers to consider the research integrity, particularly the open access aspects of their project. 3) Our internal & external research integrity pages have been updated to showcase Keele's commitment to Open Research, including staff case studies, details of Open Research Prize winners, and a variety of training resources. There has been significant progress on hitting the targets set out within the 3-year Open Research Action Plan, which was approved Nov 2021. 4) CEDARS indicates that 50% of researchers agree that the institution promotes the highest standards of research integrity and conduct.	Completed - we will continue to promote research integrity through various improvement projects
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	Regular surveys continue to be conducted to iteratively receive feedback and make improvements to research environment and culture. Internal surveys include RaISE survey for research staff interacting with RaISE support team, along with taking pulse of research staff. The external CEDARS (Culture, Employment and Development in Academic Research Survey) will be participated in regularly, to provide external benchmarking data. As will the external PRES (Postgraduate Research Experience Survey).	At least 2 research staff surveys conducted per year, which are reviewed and improvement actions considered at relevant research committee (and HR EiR meeting)	July 2023	Director of Research Strategy Delivery, KDA (Researcher Developer)	A survey has been added to new online mandatory supervisor training which all supervisors must complete every 24 months. CEDARS is conducted every 2 years. Low completion rates indicate a need to review existing approaches to capturing researcher feedback, with more surveys not likely to achieve required outcomes. On that basis, in addition to our standard surveys, in 2022, we launched a series of Research Culture Cafes, which aim to provide a more engaged approach to receiving feedback on, and making improvements to, research culture. In 2022-23 we ran 5 of these events with a total attendance of 73.	Carried forward - new more effective tools to gain researcher feedback to be investigated, including launch of a new Research Culture app.
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	All staff are required to complete a mandatory training module of Equality in the Workplace, and a new Unconscious Bias mandatory module will launch in Winter 2021.	100% completion rates for all equality related mandatory training. Current completion for equality related mandatory training is 78% for those in Managerial and Specialist Positions.	Dec 2022	Organisational Development Manager	Current completion rates for Equality in the Workplace is 90.1% (all staff), for those in Managerial and Specialist positions completion rates are 97% (October 2023). Bias Awareness was introduced in December 2022 and overall completion is at 75.8% as of October 2023	Completed (the 100% target did not account for those on long-term leave (e.g. maternity), which are included in data on training completion).

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| ECM2 | Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct | We will continue to raise the profile of research integrity and reproducibility through inclusion in research staff induction programme, attendance at Research Leaders Network by the Academic Lead for Research Integrity and Improvement and the Faculty Research Integrity Champions, including an update from the Academic Lead to University Research Committee and dedicated webpages and resources for all researchers to access. | 1) Research reproducibility incorporated into staff induction programme

2) By January 2022, researchers will complete Keele University Research Assurance System (KURAS) for all new projects, to ensure all legislative responsibilities are met

3) Updated Research Integrity and Improvement webpages/resources released | August 2022

January 2022

January 2022 | PVC R&I and Director of Research Strategy Delivery | See action ECI5 | Completed - we will continue to promote research integrity through various improvement projects |
|---|---|---|---|---|---|---|---|
| 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 | Encourage Managers to complete a new module on Managing Health, Safety and Wellbeing (HS&W) in the Workplace (launch in 2022) | 1) HS&W training promoted to managers of research staff by Summer 2023

2) 10% increase in the number of managers completing HS&W training and 20% increase for ther number of research staff completing by Summer 2024. Completion rates currently stand at 84% completion for Managerial and Specialist and 42% for Research staff. | July 2023 | Organisational Development Manager | 1) Mandatory training on Health and Safety in the Workplace was launched in 2021 via internal communications to all-staff and senior manager communications. Health and Safety Awareness Mandatory training completion rates currently stands at 89.9% (October 2023)

2) HS&W training completion rates for managers is at 96%, Completion rates for research staff is at 80% (October 2023) | Completed |
| ECM4 | Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers | The University has a Flexible Working Policy and is embedding agile working across the Institution, through local Standard Operating Procedures which include agile working arrangements and covid safe measures.

Analysis of staff accessing the flexible working policy by staff group will be undertaken.

Feedback on flexible working by staff group will be gathered and analysed through the Athena Swan Institutional Survey.

PGR students can now apply for a 0.8 FTE mode of attendance and Distance Learning. Numbers will be monitored and analysed through internal and external surveys. | 1) Data on flexible working requests for research staff will be shared with the HR EiR group, to analyse and identify appropriate actions.

2) Feedback from Research staff will be provided to the HR EiR group to analyse and identify appropriate actions.

3) PGR registrations will be reviewed by the KDA and fed back to appropriate University Committees

4) Minimum of 75% of research staff to report that their institution treats them fairly in terms of requests for flexible working in 2023 CEDARS survey (currently 74.6%). | Mar 2022

Mar 2022

Mar 2022

July 2023 | Deputy Director of HR | 1) Full analysis of formal flexible working requests has been undertaken for a 3 year period. The analysis does not present any concerns that flexible working is not available to research staff, with the vast majority of requests accepted. Policy wording has been updated to clarify that requests are welcomed from all staff for any reason.

2) Athena Swan Institutional Survey launched. Survey closed 6 March 2023. Summary of findings for staff who undertake research has been collated but not yet shared with the group. Many Athena Swan survey respondents indicated that they were experiencing high workloads, with some free text comments linking this to issues of health and well-being. The mean Likert score on a 5-point scale for agreement with the statement "My current workload is manageable." was at the neutral point (3.0) for male staff (on E&R and R-only contracts) but below this, at 2.6 for their female peers. Comments relating to balancing demands of their work and caring responsibilities were largely made by female staff. This gender inequality is likely exacerbated when workloads are high. Free text comments relating to well-being largely repeated concerns about workload. Likert scores for experiencing Bullying & Harassment were low (i.e. good) at 1.8 for women and 2.1 for men and staff generally knew how to report issues (Likert score 3.6F & 4.0M) but there is scope to improve knowledge on this and on how to access mental health support (Likert score 3.5F & 3.7M) and confidence in asking for this support (Likert score 2.9F & 3.2M). Keele will be establishing a new Research Culture Committee in January 2024, which will contain appropriate professional services staff and research staff. HR EiR will be a key action for that committee

3) Review of PGR registrations is a standing item for Faculty PGR Committees and reported regularly to University Research Committee

4) CEDARS indicates 82.3% agree/strongly agree with the statement | Completed |
| ECM5 | Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | The University is currently developing an action plan to respond to the government's R&D People and Culture Strategy. The governance of the work to be undertaken to further our positive research culture will be via the University Research Committee which reports to Senate. We will use the Research Leaders Network to highlight opportunities and to work with all stakeholders and to develop meaningful and impacting policies.

Internal auditors UNIAC to undertake a review of the research environment via audit of Research Delivery Equality, Diversity, and Inclusion in Research Post award processes | 1) Address the key issues highlighted in the UNIAC audit of the Research Environment: Research Delivery Equality, Diversity, and Inclusion in Research Post award processes

2) Complete development of action plan in response to R&D People and Culture Strategy

3) Complete majority of tasks in action plan | Sep 2022

Jan 2022

Sep 2023 | PVC R&I and Director of Research Strategy Delivery | 1) All UNIAC actions in relation to EDI are now complete, leading to new projects including the creation of the new Research Culture Commitment and ongoing work around workload allocation.

2) Research Culture will be an important element of the new Research Strategy, which is being finalised for launch in spring 2024. Keele has developed a Research Culture Commitment and will be launching a related action plan which will be monitored by a newly established Research Culture Committee from January 2024.

3) Majority of actions in plan have been completed | Completed |
| **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 | 1) Development of a voluntary mentoring programme where research staff support newer research staff and students, coordinated by Researcher Developer & Organisational Development, with supportive training provided by Organisational Development

2) Training for existing PGR supervisors to ensure parity and high quality supervision standards are in place across the university | 1) Research staff mentoring programme established with good uptake, possibly rolled out to all academic staff

2) All PGR supervisors undertaken revised training | Jul 2023 | Researcher Developer, Research Staff | 1) Purchase of new mentoring system (SUMAC) to enable the matching of mentors and mentees. System to be launched in early 2024.

2) Mandatory introductory training for new supervisors updated and launched in October 2023. For experienced supervisors, a change to the PGR Code of Practice now stipulates that all staff must complete an online update/reflection module around supervisory practice every 24 months. The "Advancing your Research Supervisory Practice" online module will be launched in December 2023. Three new supervisor focused training days have been organised during 2023-24, along with a further three sessions specifically aimed at experienced supervisors. | Carried forward - we will continue through other action areas, not ECR1 |
| ECR2 | Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion | See ECI2: Communications strategy for researchers which is be developed and implemented to raise researchers' awareness of these policies. Also see ECI5 for actions on research integrity, and ECM1 for actions on Equality, Diversity and Inclusion | See ECI2, ECI5 and ECM1 | | Researchers, Communications Officer | See ECI2, ECI5 and ECM1 | Completed |
| ECR3 | Take positive action towards maintaining their wellbeing and mental health | Researchers to utilise the range of workshops and resources available to staff and students in support of their health and wellbeing, including mental health (which will be highlighted to them via the Researcher Communications Strategy) | see ECI2, ECI3, ECI4 and ECM3 | | Researchers, Communications Officer | See ECI2, ECI5 and ECM1 | Completed |

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ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	The University has mechanisms in place for staff to report any issues, such as the 'Never OK' campaign. There are also Research Misconduct procedures in place, and Faculty champions who promote reporting of alleged research misconduct. The Communications Strategy (see ECI2) will regularly highlight these mechanisms to research staff	See ECI2		Research Staff, Communications Officer	See ECI2	Completed
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	The University has mechanisms in place for researchers to contribute to policy development (e.g. Research Leaders Forum, Researcher forum, Academic Staffing Standards Group, Research Committees - School, Faculty, University). The Communications Strategy (see ECI2) will regularly highlight these mechanisms to researchers	See ECI2		Researchers, Communications Officer	See ECI2	Completed
Employment							
Institutions must:							
EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	All members of appointment panels must complete Recruitment & Selection training. We are recording the gender and ethnicity profiles of recruitment panels, with the aim of reducing the gender gap in shortlisting and ensuring the proportion of BAME candidates at the application stage is consistent at shortlisting and appointment stags.	1) Gender: 5% reduction in the gender gap in shortlisting and appointments by November 22. 2) Ethnicity: by February 2022; proportion of BAME academic staff to increase to;24.1% at shortlisting and 22.2% at appointment stages.	Nov 2022 Feb 2022	Deputy Director of HR	1) In the four years to 2021-22 women have increasing representation in recruitment from application through shortlisting and appointment, in Research-only and in Education & Research posts, with the exception of (i) 2019-20 for E&R posts (where female representation dropped), and (ii) 2020-21 for R-only staff (where those successful had equal representation to the applicant group). Summed over the 4 years from 2018-19 - 2021-22 inclusive 47% of R-only applicants were female, increasing to 54% at appointment; for E&R this was 35% female, increasing to 45% female at appointment. However, due to leavers and staff converting to E&S contracts, women's representation in research has fallen slightly from 46% of E&R staff in 2018-19 to 44% in 2021-22 and from 53% to 52% in R-only staff. 2) Initial REC data analysis shows that targets were achieved in 2019-20 as follows: % BAME at shortlisting - 34.2% % BAME at appointment - 22.7%	Completed
EI2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	As part of the Induction process, a welcome email is to be provided to all new employees including researchers, highlighting the University corporate 'Keele Welcome', mandatory training for substantive staff and other role-related development.	100% of new Keele employees to receive a welcome email within one month of commencing employment.	Jan 2022	Organisational Development Manager	All new employees receive a welcome email from Organisational Development inviting them to the 'Keele Welcome' event which includes the following elements: Executive Welcome, Equality, Diversity and Inclusion, Information Security, Student Services, Unions Health and Safety. Within welcome email, new employees are encouraged to complete the University Mandatory Training Modules.	Completed
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	New promotions criteria and procedures were introduced for the academic year 20/21. The criteria have been updated to recognise fully the range of contributions in research, knowledge exchange and public engagement. Declaration of personal circumstances are a feature of the application process and applicants are encouraged to declare any such circumstances (including covid) which may have impacted their career. Monitoring of the effectiveness of these changes will be undertaken.	Achievement of our gender and ethnicity representation targets: Professorial: 35% female by November 2022 8.4% BAME by February 2022 Grade 9 (Senior Lecturer): 50% female by November 2022 5.6% BAME by November 2022	Nov 2022 Feb 2022	Deputy Director of HR	Promotions changes have been fully implemented. Current position against targets: Professorial: 35.9% female at 1 May 23 12.0% BAME at 1 May 23 Grade 9: 49.3% female at 1 May 23 12.7% BAME at 1 May 23	Completed
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Along with the Organisational Development training for all staff, Research staff will be provided the opportunity to participate in the HEA programme 'Transitions to Leadership' bespoke programme for research, to ensure 'leadership in action' based on looking inwards before looking outwards.	Minimum 16 research staff completing the programme to develop their research identity and broader leaderships skills	July 2022	Director of Research Strategy Delivery, Researcher Developer	The programme has been suspended in light of feedback from participants indicating a number of areas for improvement. We are in the process of procuring a new programme, which we aim to launch during 2024. Longer-term, we have begun the process of securing funding to establish a programme in collaboration with a number of partner HEIs.	Carried forward - covered through alternative areas to EI4
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	New promotion criteria and procedures launched in 20/21 (see EI3). New workload allocation guidance being implemented in 21/22. A review of the Academic Appraisal systems and forms, including consultation with staff, will be undertaken in 21/22.	1) New appraisal system/forms to launch in 2022-23. 2) Consultation to include views and input from research staff	Sept 2022	Deputy Vice Chancellor, Deputy Director of HR	This action has been superseded. We have identified a revised approach towards ensuring that our people management is championed and embedded. This will focus on monitoring appraisal completions and providing training and other resources to enable meaningful conversations and effective approaches to objective setting.	Carried forward - covered through alternative areas to EI5
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	Review of Fixed-Term Working Policy and Procedure and Redeployment Procedure to be undertaken including an equality impact assessment on the use of Fixed-Term contracts	1) EIA produced on Fixed term contracts 2) Consultation on proposals for change/updates to be undertaken with Unions (UCU) 3) New/updated documents to be approved and published	Apr 2022 Sept 2022	Deputy Director of HR	1) The requirement for a broader review of data was identified, revised completion date is June 2024 2) Linked to the above, the scope of review has been agreed within the local UCU agreement to improve working conditions. 3) As above, this has been moved to June 2024 to allow for the broader data review	Carried forward
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	Research policy and decision making is be made at University Research Committee or University Leadership Group, following wide ranging consultation including Research Leaders Forum, University Leadership Group, School/Faculty Research Committee's, Faculty Executive Groups, Researcher Network, Keele Doctoral Academy, and Academic Staffing Standards Group, all of which have representation from researchers. The Researcher Communications Strategy will promote these opportunities to researchers	See ECI2		PVC Research & Innovation, Director of Research Strategy Delivery	See ECI2	No further action
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies						

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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) Employment policies are listed on the induction checklist, (Induction is managed locally) https://www.keele.ac.uk/intranet/od/staffinduction/inductionplanningformanagers/ which will be promoted to managers of research via the Researchers Communication Strategy. 2) All new supervisors are required to undertake the 'Getting started with Research Student Supervision' training (synchronous and asynchronous). 3) The UKCGE Research Supervisor Recognition Programme to be promoted to staff. 4) Existing supervisors to engaging in ongoing professional development.	1) See ECI2 2) 100% completion rate for all new supervisors. 3) UKCGE uptake to be monitored with success stories used to promote the award further. 4) Ongoing professional development numbers to be monitored and feedback collected, to be reviewed by appropriate University Committees.	July 2023	Communications Officer, KDA/ Researcher Developer	1) See ECI2 2) New online supervisor training to be launched (for new supervisors in in October 2023 for new supervisors and in January 2024 for experienced supervisors. Aligned to this, mechanisms have been put in place to enable us to track completions and will enable us to follow up on mandatory training completions. 3) As of November 2023, 3 Keele staff have completed the full award. There is a new target in the Action Plan with improved methods for increasing engagement with the UKCGE programme 4) A number of schemes for supervisor training have been delivered, but attendance remains lower than targeted. We will continue to develop and trial new initiatives, in active dialogue with academic staff. Our new online training modules will allow us to better collect data on how/what training supervisors feel they need, to better inform decisions moving forwards. Training opportunities for supervisors and all levels of researchers are communicated via the R&I Hub, Research at Keele newsletter and other newsletters (Staff newsletters, KDA newsletter).	Carried forward ('3' to PCDR1)
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	1) Employment policies are listed on the induction checklist, (Induction is managed locally) https://www.keele.ac.uk/intranet/od/staffinduction/inductionplanningformanagers/ which will be promoted to managers of research via the Researchers Communication Strategy. 2) University to introduce a compulsory Research Assurance System for all new projects (and therefore researchers as principal investigators)	1) See ECI2 2) By January 2022, researchers will complete Keele University Research Assurance System (KURAS) for all new projects, to ensure all legislative responsibilities are met		Communications officer, Director of Research Strategy Delivery	1) See ECI2 2) See ECI5	Completed
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	All job descriptions detail the requirement to: "Hold a duty and commitment to the principles and practice of equality and diversity and comply with the University's Dignity and Respect Framework. Duties must be carried out in accordance with relevant Equality and Diversity legislation and University policies/ procedures." This is supported and promoted through our mandatory EDI training (see ECI4)	Measure already met		Managers of research	Measure already met	Completed
EM4	Actively engage in regular constructive performance management with their researchers	As part of the review of Academic Appraisals, we will consider the appropriate training and support to assist managers to implement the new system fully.	Delivery of and engagement with training interventions. 100% of research staff to have participated in the revised appraisals process (currently 86.6%), with a minimum of 70% reporting the appraisal as useful (currently 53.4%) in 2023 CEDARS survey.	Sept 2022 July 2023	Deputy Director of HR	Links to EI5 - project delayed. Data on current SPRE completion for research staff is not available, but a new monitoring process is planned and will be included in new Action Plan. CEDARS indicates that 70% of respondents have had an appraisal in the last two years with 36.6% of those that responded reported that the appraisal system was useful/very useful	Carried forward - to EM1 and EM4
EM5	Engage with opportunities to contribute to relevant policy development within their institution	see EI7	See EI7 and ECI2 (Researcher Communications Strategy)		PVC Research & Innovation, Director of Research Strategy Delivery	See EI7 and ECI2	No further action
Researchers must:		Change all these actions as Researchers responsibility to engage					
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	See EC12 and EM4	See EC12 and EM4		Research Staff		
ER2	Understand their reporting obligations and responsibilities	See EC12 and EM4	See EC12 and EM4		Research Staff		
ER3	Positively engage with performance management discussions and reviews with their managers	See EM4	See EM4		Research Staff		
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	See EI7	See EI7		Research Staff		
Professional and Career Development							
Institutions must:							

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Ref	Description	Action	Success measure	Timeframe	Responsibility	Progress update	Status
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) Researcher Developer to consult with research staff and research managers to draft guidance on the broad range of professional development opportunities, setting out a plan for working towards the minimum of 10 days pro rata 2) Through the appraisal process, managers of researchers will be encouraged to support career development opportunities and transferable skills 3) To promote career opportunities outside of academia; case studies made available on careers webpages, careers service actively engage with wide range of sectors	Guidance on professional development for research staff adopted across the University	July 2023	Researcher Developer and Deputy Director of HR	1) A new 'Introduction to Researcher Development' session for research staff was delivered in October 2023. It is planned that this will be repeated 2-3 times annually. This provides guidance on professional development opportunities. The new Research Culture Committee will consider improved opportunities for consultation with research staff. 2) The SPRE form has specific questions on career development opportunities, career aspirations and ways to achieve them and steps towards promotion. It will also have 'contribution to research community' added from 2024. 3) A careers outside academia session was run in Research at Keele Month in March 2023 and a careers day for researchers was delivered at the Researcher Summer School in July 2023 (around 18 attendees all PGR, non-academic jobs was an important part of this). All PGRs complete an online module when starting their programme and non-academic careers are discussed within this, to ensure they consider these options as they complete their programme.	Carried forward
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Continue to provide online and face to face SPRE (Performance Appraisal) training for reviewers and reviewees. See EM4	see EM4		Organisational Development Manager and Deputy Director of HR	Online learning is available to managers and staff via Learning Pool. Additional training is also provided to Reviewers via a workshop (in person or teams).Completion figures for 2021 to date (October 2023) are: * SPRE Reviewer (via Teams) : 53 * SPRE Reviewer (via Learning Pool) : 120 * SPRE Reviewee (Via Learning Pool) :129	Completed
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	The careers services is available to research students and early career researchers; the service promotes careers outside academia. Ensuring these specific groups are aware of these services is critical. Therefore a communications strategy needs to be developed and implemented jointly between Careers, KDA and Strategic Communications. Researcher Developer to also organise career focused sessions where appropriate	Communications strategy developed and implemented for researchers (including ECRs and PGR students), which results in an increase in uptake of careers services and researcher development (KDA)	July 2022	Senior Communications Officer, Careers office, KDA	The Careers and Employability Team regularly communicates with all students through weekly emails and social media posts, we are exploring with the internal comms team how we can better target groups of students, PGRs can also access central events, including the Careers, Placements and Postgraduate Fair. Careers Alert is sent on a weekly basis to all PGRs from our Careers & Employability team. Internal vacancies and development schemes for researchers, such as the Researcher in Residence scheme, are communicated via staff newsletters also.	Carried forward
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	Researcher Developer to consult with research staff and research managers to draft guidance on the broad range of professional development opportunities, setting out a plan for working towards the minimum of 10 days pro rata (which includes developing their research identify and broader leadership skills).	CEDARS survey results to show marked increase in time researchers spend on their personal development. Aim for minimum of 40% of researchers reporting minimum of 10 days professional development for 2023 CEDARS survey (currently 13.5%).	July 2023	Researcher Developer	Out of 40 responses to CEDARS, no staff reported reaching 10 days of CPD in the last 12 months. A new "Intro to Researcher Development for Staff" session was held in October 2023, new resources will be available on the SharePoint page afterwards. This is an area which will be considered by the Research Culture Committee following its establishment in January 2024	Carried forward
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) Promote and roll out the successful H&SS postdoctoral fellowship scheme to the whole University (i.e. gives postdocs one year access to Library and IT faculties following Keele employment, to support them in future career route) 2) Supervisors to promote fellowship scheme to PGRs. 3) Careers service continue to promote careers outside of academia. Also links to obligation PCDI1	University wide fellowships scheme implemented, with details and process available on website, which is regularly promoted by supervisors/managers of researchers. Aim for a minimum of 10 individuals signed up to fellowship scheme 1 year after implementation.	July 2022	Researcher Developer	1 & 2) Not yet complete, further work is underway to explore the feasibility of full institutional rollout 3) Careers delivered three specific sessions to PGRs on careers outside of academia in the time period. There are plans to continue delivering regular sessions on the topic and create new materials to support PGR careers in- and outside of academia.	No further action - will continue to explore scheme but this will not form part of new Action Plan due to other priorities
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Ensure all research staff have an annual appraisal with their research manager, which includes discussion on professional development. Relevant training opportunities to be reviewed by Organisational Development biannually.	Reported to University Doctoral Academy Committee and subsequently University Research Committee. Over 50% of research staff to report they feel the 'institution values developing researchers' in the 2023 CEDARS survey, an increase from 31.4%.	July 2023	Organisational Development Manager	70% of respondents to CEDARS stated that they had an appraisal in the last two years. A new appraisal monitoring process is being planned. CEDARS data indicated that 22.5% agreed the institution values developing researchers	Carried forward
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	A review of the Academic Appraisal systems and forms to be undertaken in 2021/22.	1) New appraisal system/forms to launch in 2022/23. 2) Consultation to include views and input from research staff 3) 100% of research staff to have had an appraisal by 2023, with a minimum of 70% reporting their appraisal as useful. Minimum of 70% of research staff reporting they have a regular formal career development review (up from 46.7%), with minimum of 80% reporting the review as useful (currently 85.7%).	July 2023	Deputy Vice Chancellor Deputy Director of HR	1 & 2) See E15 3) 70% of respondents to CEDARS stated that they had an appraisal in the last two years, with 36.6% of those that responded reported that the appraisal system was useful/very useful. CEDARS indicates 23% reported 'yes' to having a formal review, with 67% indicating that review was useful. Career development to be a key focus for new Research Culture Committee	Carried forward

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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	See PCDI3 (Careers support) and ECR1 (voluntary mentoring scheme)	See PCDI3 (Careers support) and ECR1 (voluntary mentoring scheme)		Senior Communications Officer, Careers office, KDA	See PCDI3	Carried forward (will be covered through other action areas)
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	See PCDI1 (consultation on professional development) and PCDI4 all research staff undertaking annual appraisals	All research staff undertaken annual appraisal, with minimum 70% reporting appraisal as useful. See PCDI4	July 2023	PVC Research & Innovation	CEDARS indicates 36.6% of those that responded reported that the appraisal system was useful/very useful. New training materials to be created for staff in 2024 to support them achieving this target. Also new appraisal training to be instigated in 2024 to give line managers a better understanding of how to use appraisals effectively to support professional development of their staff.	Carried forward
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 endeavors	Managers of Research to support and promote action listed in EI4 Research leadership training and also action PCDI4 annual appraisal	See EI4 and PCDI4		Faculty Research Directors & School Research Directors	See EI4 and PCDI4	No further action
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	Promote positive attitude to professional development as part of new leaders programme.	60% engagement from all new managers with 'Insights into Professional Development' workshop as part of new manager induction programme	Sept 2022 Sept 2023	Organisational Development Manager	During 2023/24 all institutional leadership provision is under review and will be replaced with alternative provision. New plan for comprehensive leadership development opportunities will be developed during 2024/25	Carried forward
Researchers must:		link to actions above and put all responsibility for researcher					
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	See PCD14	See PCD14		Research Staff	See PCD14	Carried forward
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Researchers to engage with actions in PCDI3 (Careers support) and research staff to engage with actions in ECR1 (voluntary mentoring scheme) and PCDI1 (min 10 days professional development), which will be promoted through the Researcher Communications Strategy	See PCDI3, ECR1 and PCDI1		Researchers	See PCDI3, ECR1 and PCDI1	Carried forward (will be covered through other action areas)
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	See EM4 which will be promoted through the Researcher Communications Strategy	Minimum of 40% of research staff reporting they have a clear career development plan (up from 33.4%).		Research Staff	36% of CEDARS respondents indicated that they have a clear career development plan	Completed
PCDR4	Positively engage in career development reviews with their managers	See EM4 which will be promoted through the Researcher Communications Strategy	Minimum of 70% of research staff reporting they have a regular formal career development review (up from 46.7%), with minimum of 80% reporting the review as useful (currently 85.7%).	July 2023	Research Staff	23% of CEDARS respondents reported 'yes' to having a formal review, and 67% of these reported the review as useful. Career development to be a key focus for new Research Culture Committee	Closed - will be included in PCDM1 in new Action Plan
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	See EI4	See EI4		Research Staff	See EI4	Carried forward (although covered through other action areas)
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	Develop the impact training available to researchers. Also ensure that the annual Impact and Engagement Festival is promoted to researchers (through Researcher Communications Strategy), improving their participation rates.	1) More bespoke impact related sessions and training materials available to all researchers 2) 50 researchers attend annual Impact and Engagement Festival	July 2022 Annually	Researcher Developer Communications Team	Engagement and impact were integrated into the Research Festival from 2023, following a pause in 2022 relating to Keele's covid recovery position. A number of impact related sessions were delivered at the 2023 Research at Keele Month, we also organised workshops delivered by Mark Reed and a 'Policy, Impact & Engagement Workshop' facilitated by Palace Yard. In addition, in the time period there have been 15 targeted impact workshops within Schools/Faculties, delivered by the Partnership Team.	Completed

* 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.