

# HREiR Action Plan September 2020- September 2022

|                                | Obligation   | Action  | Success measure (SMART)  | Deadline  | Responsibility   | Progress update (to be completed for submission)   | Outcome/result | Old Concordat principle and clause | Link with previous action plan                |
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| <b>Environment and Culture</b> |  |   |  |   |  |  |                |                                    |   |
| <b>Institutions must:</b>      |  |   |  |   |  |  |                |                                    |   |
| ECI1                           | Ensure that all relevant staff are aware of the Concordat  | All PIs and ECRs are issued with a list of their responsibilities under the concordat so that they are aware of what we expect from them and what they can expect from the College. This will include manager's actions in this action plan and be recirculated each time the action plan is amended.   | 70% have heard of the 'concordat to support the career development of researchers' in the next CEDARS survey   | Nov-20  | RCWG- sent from Chair  | Ongoing: 55% of contract researchers (ECRs) in the last CEDARS had heard of this.  | Ongoing        | New                                | Enhance awareness of vitae, concordat and RDF |
| ECI2                           | Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers | <p>a) Equality Impact Assessment of policies and regular review.</p> <p>b) Ensure continued representation of researchers on the Equality and Diversity Committee.</p> <p>c) Appoint an ECR onto the Athena SWAN self-assessment team</p> <p>d) Work towards retention of Athena Swan Bronze award /progress towards the Silver award and creation of a Race Equality Action Plan</p> | 90% of researchers say they agree that the RVC is an inclusive workplace in next CEDARS. Retention of Athena Swan award creation of College Race Equality Action Plan and start of actions within. Relevant actions are integrated into Departmental E+D action plans. | a) ongoing; b) and c) December 2020; d) Athena Swan April 2022; race equality Action plan May 2020) | (a) Policy leads; (b and c) RA and EDC; (d)EDC Heads of Department re local action plans | Assessments are being conducted. Representation of researchers on relevant committees continues- academic board; research strategy group; ethics and welfare board; EDI committee, Athena swan group; An application has been submitted for assessment of Athena Swan bronze retention. Scoping work has been completed by the Race Equality Task Group for the Race Equality action plan- work has been paused while we strengthen our EDI resource for the institution. However, CEDARS feedback indicates there is more work to do. 92% ECR researchers felt included, 71% felt everyone is treated fairly, 8% of Contract Researchers felt personally discriminated against and a minority shared experiences that are of continued concern. | On-going       | P2.1 P6.8                          |   |

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| 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 | <p>a) Implementation of a 'report and support' system where staff can raise issues anonymously</p> <p>b) Promotion of an Active Bystander approach to support culture of equality and respect</p> <p>c) Promotion of the RVC Behaviours Framework to emphasise professional behaviour</p> <p>d) RCWG to review and modify the FAQ document annually to ensure it provides Researchers with information they need. This will include sources of support for researcher welfare.</p> | Add questions to CEDARS Survey 75% agree they are aware of (i) support for wellbeing (ii) Dignity at work Ambassadors (iii) reporting procedures                                   | (a) Dec 2020; (b) April 2022<br>c) every 3 months (d) January 2021 2022 | (a) HR; (b) HR; (c, d) HR and RCWG | <p>81% of contract researchers (ECR) believe the RVC actively promotes the importance of wellbeing.</p> <p>Our report and support system has been launched- and has been in use -although further publicity to enhance awareness is needed (43% aware). 50% of contract researchers (ECR) are aware of Dignity ambassadors.</p> <p>Our compliance on EDI mandatory training dipped and we reviewed the provider and approach. (See ECM4)</p> <p>The RA set up an anonymous pigeonhole to report issues, but it has not been used.</p>   | Actions completed but further work needed to fully achieve aims. | P6.9 | Publicising support for welfare |
| ECI4 | Ensure that managers of researchers are effectively trained in relation to equality, diversity and inclusion, wellbeing and mental health   | <p>a) Provision and monitoring of mandatory training: Equality and diversity mandatory online refresher every 2 years for all staff- and managing diversity on-line training for all managers; b) Promote relevant courses to research managers: e.g., this year dignity at work training (includes how to receive and progress allegations); mental health for managers; flexible working training</p>  | (a) 80% compliance for on-line mandatory training; effectiveness of training to be evaluated by feedback from E+D champions to EDC (b) 70% of attendees would recommend to others. | a) on-going-assess every 2 years after 'training drive' b) July 2022    | HR                                 | <p>We have piloted managers training in mental health and wellbeing and delivered dignity at work training. Our evaluation data was limited (we had a drop in participation in evaluation when we delivered remotely) but informal follow up indicated it was valuable.</p> <p>Compliance in EDI training was at 62% for 2020-21. Since then our approach to compliance training and wider EDI training is being reviewed- informed by a staff-wide focus group. Compliance has not been measured for 2021-22.</p> <p>However, we sourced new EDI compulsory training and piloted a new blended approach. Informal feedback from PIs and researchers that attended the blended EDI training pilots has been positive.</p> <p>Anonymous evaluation was collected from all participants in which the average rating on 'recommendation to others' is 3.7 on a scale of 1 to 4. We anticipate this blended approach will have a greater impact on engagement, awareness and behaviour change.</p> <p>There is also e-learning on managing inclusively.</p> <p>Department action plans are in place and communicated via local E+D champions.</p> |  | P2.3 |                                 |

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| ECI5 | Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity   | (a) Enhance ECR and PI understanding of research reproducibility/research integrity through maintaining the Institute lead, the local UK Reproducibility Network (UKRN) lead and the RA Research integrity/reproducibility champion as well as promoting research integrity/reproducibility through setting up the "ReproducibiliTea" meetings, enabling discussion between PIs and ECR<br>(b) Continue to require mandatory training on research integrity at induction monitoring that this has been done through the on-line process and associated quiz and is refreshed every 4 years; (c) Encourage researchers to report on factors that impact negatively on research integrity by driving inappropriate behaviours and suggest ways in which these can be discouraged/prevented. | (a) 75% of ECR are aware of Research Integrity Concordat and think the RVC take research integrity seriously (CEDARS)<br>(b) Number and attendance of UKRN badged events held at the RVC; (b) Compliance with mandatory Research Integrity training monitored to ensure compliance - those who have not done the training are not allowed to apply for travel grants to go to meetings to present their research | ongoing - report attendance statistics annually to January RCWG Overall targets CEDARS 2021 | Research Office and UKRN Institutional lead (Prof Dominic Wells) | Compliance with integrity e-learning is very high (making funding for travel contingent on it is a good driver for those who might not otherwise engage)<br>In CEDARS questions regarding reporting and action for concerns over research integrity, 64-81% gave a positive response (several questions).<br><br>There have been a number of UKRN badged workshops and ReproducibiliTea meetings held at the RVC during the reporting period. The original UKRN consortium, which includes the RVC, submitted a grant application to Research England to provide support for UKRN activities. This was successful in late 2021 and provides support for a 0.6FTE at the RVC to support enhanced training activities relating to Open Research, research reproducibility and integrity. The impact of this funding, in terms of workshops, training and related meetings should be evident in the next reporting period. | Partially met  | P6.1          |  |
| 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 | a) Agenda item for every RCWG to equality impact assess our activity and the HREiR action plan<br>b) Anonymous suggestions box for receipt of comments about the research environment to be discussed at Research Strategy Committee (RSC);<br>c) Open invitation for observers to attend RSC   | CEDARS questions on this area- see above<br>(a) minutes of RCWG<br>(b) and (c) monitoring engagement of researchers with RSC giving suggestions as to how to improve the research environment  | (a) at next RCWG meeting and ongoing (b) (c) June 2021                                      | a) RCWG<br>b) and c) RSC   | CEDARS highlighted some areas for development. However, overall, 86% of contract researchers (ECR) feel valued at work, 91% feel included in their immediate research environment and 90% have good job satisfaction.<br>66% feel appropriately recognised, 78% feel the RVC promotes the highest standards of research integrity and conduct, and 74% feel the RVC is committed to equality and diversity.<br><br>The RA committee are active in contributing to various initiatives. However engagement with the wider contract research community is less strong- e.g. very few observe the Research Strategy group- and no issues were reported in the anonymous pigeon   | Partially met. | P6.10<br>P7.5 |  |

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|                                      |  |   |   |  |                     | hole set up by the RA. We need to re-promote to enhance awareness of these options.  |   |      |  |
| <b>Managers of researchers must:</b> |  |   |   |  |                     |  |   |      |  |
| ECM1                                 | Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work                           | a) Remain compliant by undertaking E+D and Managing diversity mandatory online training (EDI every 2 years)<br>b) Attend other training when available (recent examples are dignity at work and mental health for managers)<br>c) Ensure they are aware of their department E+D action plan and their roles within it | a) 80 % compliance of E+D on-line training and managing diversity training;<br>b) Effectiveness of training to be evaluated by feedback from E+D champions to EDC<br>c) Implementation of Departmental action plans and feedback from E+D Champions | a) on-going- HR assess every 2 years and report to EDC meeting<br>b) July 2022<br>c) departmental action plans reviewed quarterly at EDC meeting | Researcher managers | Compliance for the RVC overall in 2020-21 was 63%. Compliance was not assessed the following year as we were reviewing piloting a revised blended approach. See ECI 4 regarding a review of EDI training and a revised approach to EDI compliance. Researchers fed into this review.<br><br>Department action plans are in place and communicated via local E+D champions.<br><br>In addition, we have modified the senior academic promotion process to require academics to provide statements on how they have contributed to the EDI agenda and on their collegiate activities which are considered as part of the promotion process. There is also a 360-assessment based on professional and leadership behaviours that informs the Senior academic promotion process. | Actions completed . New approach should enhance impact. | New  |  |
| ECM2                                 | Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct   | Researchers to role model high professional conduct, explain this in context, and robustly address unprofessional conduct in their team.  | Monitor 'report and support' cases of unprofessional behaviour to HR on an annual basis for trends; >80% of researchers agree their managers promote research integrity and professional behaviour in CEDARs survey                                 | quarterly EDC meetings re report and support; CEDARs 2021  | Researcher Managers | Very few cases reported by staff as yet in report and support. 63% of contract researchers (ECR) agree that they would be comfortable to report misconduct regarding research integrity; UKRN badged meetings have discussed improved experimental design and statistical analysis that underlies improved research integrity. Additional integrity related training will be available in the next reporting period as a result of Research England funding for the UKRN.  |   | New  |  |
| ECM3                                 | Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and | a) Encourage all group members to adopt an Active Bystander culture and discuss with all the implications for their group;<br>b) Promote resources and support available for researcher wellbeing<br>c) Seek feedback from team members on wellbeing and encourage a healthy work-life balance                        | 90% agree that the RVC is an inclusive environment; >80% ECRs agree their managers support their wellbeing  | a) April 2022; b) December 2020<br>c) ongoing and appraisal  | Researcher managers | See ECI3 86% of contract researchers (ECR) agree their manager supports work - life balance; CEDARS 68% of contract researchers say the work environment supports mental health and wellbeing  |   | P6.9 |  |

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|                          | harassment, and poor research integrity   |   |   |   |                     |  |  |     |  |
| ECM4                     | Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers | Be informed on how to respond to flexible working requests, attending training and seeking advice from HR as appropriate. Creating an environment where flexibility is welcome within restrictions of the job role.     | Head of Department to monitor informal flexible working. 70% of staff feel that flexible working is supported in their department in Staff Survey | Annual monitoring in line with annual Equality Monitoring Report; ongoing | Researcher managers | 16% of contract researchers (ECR) are part time - other forms of flexible working take place but are not tracked. A working from home policy has been developed and implemented to support staff to manage where and how they work. 81% of PIs in CEDARS felt confident in managing flexible work requests. Official requests are rare as these are managed locally without need to change contract and these have proved hard to capture. Training and support for managers has been available for a number of years and is a mandatory part of the Management Development Programme. An all staff survey was not carried out. In CEDARS 85% of contract researchers (ECR) felt flexible working requests are fairly assessed . |  | New |  |
| ECM5                     | Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution           | a) Support their local Equality and Diversity Champion by feeding back on Department Equality action plans;<br>b) Respond to call for input into policies by the Research Strategy Group (RSC to measure the feedback). | E+D and Research Integrity Champions feedback that managers are engaged in policy development   | a) in line with equality action plan reviews<br>b) ongoing                | Researcher managers | See ECI6- academics including PIs fed into the review<br>PIs are represented on the Equality and Diversity Committee.  |  | New |  |
| <b>Researchers must:</b> |   |   |   |   |                     |  |  |     |  |

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| 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 | a) Researchers actively engage in developing an Active Bystander culture<br>b) Support their E&D champion by providing feedback on the local Equality action plan.<br>c) Enhance confidence and increase awareness of underrepresented role models in our research staff by the Researcher Association working with organisers of the internal research seminars to enhance numbers of female and BAME STEM talks. Explore the possibility of speakers talking through their career experiences informally after every talk. Researchers engage with these opportunities. | (a) to be decided once active Bystander approaches are clarified<br>(b) Equality Champions report that ECR's are actively engaged in Local action plans<br>(c) Monitoring of statistics of female and BAME speakers. The researcher association report that ECRs have found this useful. | a) April 2022<br>b) in line with equality action plan reviews<br>c) to report to RCWG June meeting                                       | Researchers<br>c) Researcher Association | We have not implemented specific active bystander training but in the new pilot EDI training there is a strong emphasis on understanding your privilege and using this to be a proactive ally- this goes beyond responding on the spot in the bystander approach.<br>Researcher representatives feed into the Equality and Diversity activity, Athena Swan and ad hoc other groups.<br>Monitoring of statistics re female and BAME speakers has not been carried out but we actively try to recruit a diverse range of speakers. |  | New  | Enhance confidence and increase awareness of underrepresented role models in our research staff |
| ECR2 | Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion  | Undertake E+D online training every two years;<br>Undertake research integrity on-line training every four years  | 80% compliance   | assessed biannually re E+D refresher training after each 'drive';<br>research integrity rolling cycle of reminders every 4 years-ongoing | Researchers                              | See ECM 1<br>Compliance in EDI training was at 62% for 2020-21. Since then our approach to compliance training and wider EDI training is being reviewed- informed by a staff-wide focus group. Compliance has not been measured for 2021-22.<br><br>Additional integrity related training will be available in the next reporting period as a result of Research England funding for the UKRN  |  | P5.3 |   |



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| EI1 | Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices                                     | a) recruitment data for researchers will be monitored for any potential bias.<br>b) continue recruitment training for panel members<br>c) Work with the BAME project group to review the recruitment process.  | 100% of panel trained. Higher percentage of underrepresented groups moving through the recruitment process.   | review statistics annually as part of annual EDC report and at the following RCWG | (a) EDC and RCWG<br>(b) HR<br>(c) RCWG and EDC<br><br>Head of HR Operations | Our statistics indicate that there is still a lower proportion of BAME applicants compared to white, that are shortlisted and offered positions, and the proportion of research staff who are BAME is similar to the previous year.<br>Recruitment training is now mandatory before sitting on a recruitment panel. The BAME project group will report in October 2022 and we will work with the recommendations.   | Actions complete but work in this area ongoing | P1.2<br>P6.2<br>P6.7         | Recruitment Process;<br>Minimise bias in recruitment decisions  |
| EI2 | Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position                               | a) Bring the line manager induction process on line and so enable a clear path for personal development<br>b) Increase uptake of the Bi-monthly 'meet the RA' coffee sessions where new starters are invited to meet the RA and key College Research leads.<br>c) Form a focus group to evaluate feasibility of suggestions on induction from recent survey and to review local induction procedure in light of revised Concordat.   | 80% of survey responses are positive about induction at local, departmental and HR/College level  | a) December 2020 live system<br>b) July 2021<br>c) January 2021                   | (a) HR<br>(b) RA, Research managers, HR<br>(c) HR, RA and RCWG              | Line manager induction/probation process is now on-line and we are working on embedding this;<br>Meet the RA sessions continued by remote delivery through the last two years and have recently returned to face to face events (approximately bi-monthly by remote delivery and now establishing meetings on each campus);<br>Focus groups on induction did not take place.<br>80% of contract researchers in Cedars said they were happy with their local induction. 63% were happy with their department induction and 54% happy with their institution induction. | Partially met.                                 | P3.6                         | Enhance induction and probation;<br>Improvement of Probation and Appraisal system to support development and career aspirations |
| 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 | a) Recognition in teaching-continue to communicate expectations of Research Managers with respect to supporting contract researchers in teaching and formal supervision<br>b) Investigate feasibility of a named 'day to day' supervisor when ECRs informally supervise students;<br>c) Publicise on RA webpages the RVC's recognition, reward and promotion pathways-including the Special Rewards Panel.<br>Continue to review these processes through Equality impact assessments | Survey responses 80% positive on all aspects of recognition for teaching, supervision and wider contribution; 80% positive response in surveys regarding fairness in recognition reward and progression; 80% feel valued by the RVC | a) annually;<br>b) July 2021 c) July 2021<br>CEDARS 2021                          | a) RCWG<br>b) Graduate School c) RA and HR                                  | Expectations of PIs in clarifying official supervisory role for postdocs as co-supervisors, and less formal voluntary help with supervision is discussed in PI training (for attendance see EM1)<br><br>There are still many contract researchers unclear of promotion procedures.<br><br>58% of contract researchers (ECR) feel valued for informal supervision (27% not applicable). 12% felt unrecognised for teaching and lecturing in CEDARs 2021 but many say partial recognition.  | Partially met.                                 | P2.6<br>P6.3<br>P6.4<br>P6.7 | Recognition of teaching in Research   |



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| E14 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent | (a) Continue to ask new PIs to complete the Manager Development Programme and all PIs to attend refresher supervisor training<br>(b) Ensure themes coming through from Research surveys are highlighted to PIs- ongoing<br>(c) Review our development offering to PIs - Introduce a new management skills development training module aimed at research project management - for both new lecturers managing their first grant and more experienced PIs. This will be integrated with training on Worktribe, the College's new research management system and will include funder terms and conditions. | 80% of respondents would recommend the training/intervention to others | (a) Hr to report annually in June to RCWG (b) updated as soon as themes occur (c) by April 2021 | (a) HR (b) RCWG<br>(c) Research Office with HR | a) refresher training for PIs has continued and new PIs are invited to attend the MDP See EM1<br>Collection of feedback was limited as we had difficulty with people completing for training delivered remotely. That received recommended to others.<br>b) themes from recent surveys are presented to PIs in refresher training<br>c) new module design and delivery has been postponed until worktribe rollout and training has been completed and the new lead for the Research Office appointed. However some PIs have completed other leadership programmes such as Aurora and South East Action Learning (SEAL) and Developing the confidence to lead (DTCTL). (See EM1 for attendance numbers). | Partially met | P2.3 | Supporting Principal Investigators in management skills |

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| 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 | <p>a) Increase appraisal completion rates</p> <p>b) Modify the 'researcher appendix' to better evidence development undertaken for both current role and career aspirations</p> <p>c) Recommend that appraisers of research managers use the question on 'how have you supported your team' to hold them accountable for their support and development of researchers</p>  | <p>a) Appraisal completion greater than current 72%</p> <p>b) 70% of researchers report that their appraisal was useful for their current project, their development and reviewing/planning their career</p> <p>c) Feedback from Heads of Department</p> | <p>a) September 2021 and 2022</p> <p>b) April 2021</p> <p>c) April 2021</p> <p>CEDARS 2021</p> | HR  | <p>a) Appraisal rates for eligible contract researchers in 2020-21 was 72%. In CEDARS 74% of contract researchers (ECR) see the appraisal as useful.</p> <p>b) the researcher appendix has been modified in consultation with RCWG but it has not yet been in use for a full appraisal cycle.</p>   | Partially met. | P2.6<br>P6.3<br>P6.4 |  |
| 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                                     | <p>a) Publication/circulation of newly created FAQ on employment status/matters for all researchers.</p> <p>b) New process to engender open dialogue for researchers approaching 4 years' service in a formalised review meeting to cover employment status and career development. PI/Researcher and VPRI to discuss future career plans, how the researcher can achieve independent funding, and any current and forthcoming opportunities for permanent positions to which they could be redeployed</p> | 75% of ECRs who have worked for the RVC >4 years who have discussed their career plan with HR and VPRI   | <p>a) December 2020</p> <p>b) March 2021; Evaluate July 2022</p>                               | <p>(a) HR and Research Office</p> <p>(b) HR and VPR</p> | <p>a) FAQ updated in consultation with the RO and Head of HR operations (but needs another refresh)</p> <p>b) Not implemented due to the VP role being interim. We have since revised our approach- (see EI6 in the 2022-25 action plan)</p>  | Not met        | P1.3<br>P2.1<br>P2.2 | Recognition of researchers by Professional support teams; Supporting contract researchers in applying for Research Funding |
| EI7 | Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational  | <p>a) Continued RA representation on various committees- RA to continue to publicise when a committee is coming up and ask for any issues that researchers wish to raise; feedback to be circulated on what was discussed of relevance to researchers;</p> <p>b) RSG to seek feedback from ECRs and PIs when research policies are being reviewed to ensure</p>  | <p>(a) and (b) 70% feel they are included in decision making (CEDARS);</p> <p>(b) focus groups held associated with policy review</p>  | <p>(a) feedback circulated within a month of RSG (b ongoing Overall CEDARS 2021</p>            | <p>(a) RA</p> <p>(b) RSC and RA</p>                     | <p>59% of contract researchers (ECR) felt treated fairly regarding to opportunities to participate in decision making in CEDARS;. Only 20% felt their contribution to institutional policy and decision making was valued, although over half felt not relevant/didn't know. The managers (from CEDARS) 43% felt valued fully or mostly and 13% felt not at all.</p> <p>The Researcher Association is involved in many RVC committees making decisions, but they feel not all researchers are aware</p> | Not met        | P3.13                | Involvement in RVC Decision making   |

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|                                      | policy and decision-making  | views are taken into account.  |  |  |                   | of this. There was limited response to circulation of agendas and requests for input from the wider RA community.  |         |      |  |
| <b>Managers of researchers must:</b> |   |  |  |  |                   |  |         |      |  |
| EM1                                  | Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care   | Attendance at PI refresher training, Management Development Programme (new managers), new module on research project management and other leadership and management training;  | >70% have done development in the last 2 years in supervision, management or leadership (CEDARS) | ongoing- HR report to June RCWG; CEDARS 2021   | Research Managers | 64 academics have completed supervisor training; 6 academics have done Aurora leadership; 3 did Developing The Confidence To Lead, 2 did South East Action Learning; 13 completed the Management Development Programme (MDP) (we have around 200 academics in total- including clinical academics of which about a quarter are managers of contract researchers) |         | P2.3 |  |
| 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 | a) New managers to attend Management Development Programme- including new module on research project management (including funder terms and conditions)<br>b) All managers to keep informed of College and Funder Policy and communicate this to researchers as part of induction. | 75% Attendance of new managers on MDP where T&Cs of funders of those attending are discussed;    | ongoing; 75% attendance on module by July 2022; (attendance at module monitored by HR) | Research Managers | New module was not developed, (see EI4(c)), although 13 academics have attended the MDP where good employment practice is discussed. Upon review, it was found that including terms and conditions in a generic module was not feasible as these vary so much for PIs depending on funding source.   | not met | P2.2 |  |
| EM3                                  | Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers  | Be able to objectively explain the evidence and rationale for all decisions made   | 80% feel that reward mechanisms are fair -CEDARS   | ongoing- CEDARS 2021   | Research Managers | CEDARS asked about salary and benefits- 73% of Contract researchers (ECRs) said they felt it was fair.<br><br>In CEDARS 100% of Contract Researchers (ECRs) felt that the recruitment, selection and appointment process was fair.   | not met | P6.3 |  |
| EM4                                  | Actively engage in regular constructive performance management with their researchers.  | a) Regular meetings with researchers;<br>b) Conducting induction, probation, appraisal and career reviews.   | >72% completion of appraisal/probation reviews for ECRs  | ongoing- checks via September 2021 and 2022 appraisal data                             | Research Managers | Appraisal rates remain at 72%. The use of the on-line induction is gradually being embedded.<br>Many in last CEDARS said they would like training in performance management but the uptake of this training by PIs was low when it was offered (open to all RVC managers but advertised to PIs).   | not met | P2.3 |  |

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| EM5                      | Engage with opportunities to contribute to relevant policy development within their institution  | (a) Participating in surveys-e.g. CEDARS and Staff Survey as a means to identifying areas for action;<br>(b) feedback when RSG is consulting on Research policy revision and changes  | Managers feel consulted about relevant policy development (measured through CEDARS)  | ongoing; CEDARS 2021   | Research Managers RCWG to promote and monitor response rates for CEDARS | 74% of PIs felt treated fairly in CEDARS regarding opportunities to participate in decision making<br>The % of academics that responded to CEDARS was strong – we had 76 respondents- we have about 50 managers of contract researchers and 200 academics overall.                                      |         | New  |  |
| <b>Researchers must:</b> |  |   |  |  |   |   |         |      |  |
| ER1                      | Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder | As a result of local induction researchers should ensure they are aware and abide by policies and procedures.- see induction checklist and mandatory on-line training. Documents specifically for researchers are Researcher FAQs; employment law guidance; guidance on researcher development. They should seek information re funder requirements from their manager. | Survey shows that 70% agree that they feel well informed about policies and funder requirements                                | ongoing- CEDARS 2021   | Researchers   | Not measured directly- nearest indicator questions: (CEDARS 2021)<br>80% of contract researchers found local induction to be useful.<br>77% or contract researchers feel the RVC promotes a high standard of research integrity and conduct;<br>74% feel the RVC is committed to Equality and Diversity |         | New  |  |
| ER2                      | Understand their reporting obligations and responsibilities  | Researchers to ensure this is clear following local induction   | Survey results show that 80% agree that local induction was useful in helping them understand their reporting responsibilities | ongoing CEDARS 2021  | Researchers   | 80% of contract researchers said they found local induction positive but were not specifically asked about reporting responsibilities   | met     | New  |  |
| ER3                      | Positively engage with performance management discussions and reviews with their managers  | Researchers actively contribute to performance discussions in one to one meetings and their appraisal   | >72% have participated in review/appraisal   | ongoing and at annual appraisal or review; HR review statistics and trends annually - September 2021 and 2022. | Researchers   | 72% appraisal rate for 2020-21  | not met | P5.6 |  |
| ER4                      | Recognise and act on their role as key stakeholders within their   | RCWG contribution and other research committees that they have representation on; participation in surveys to   | 60% response rate in surveys; minutes of committees;   | prompted by meetings   | RA  | In the last CEDARS 63% of researchers responded   | met     | P5.2 |  |

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|  | institution and the wider academic community   | inform actions; Participation in consultations on policy.   |   |  |             |  |                |                      |   |
| <b>Professional and Career Development</b> |  |   |   |  |             |  |                |                      |   |
| <b>Institutions must:</b>                  |  |   |   |  |             |  |                |                      |   |
| 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 | <p>a) Investigate and consult on the introduction of a College-wide scheme that provides for dedicated ECR training time every month. (Proposal for half a day a month)</p> <p>b) Promotion of RVC expectations and guidelines regarding researcher development and commitment to 10 days.</p> <p>c) Continued development of programme of opportunities</p> <p>d) Promotion of new coaching scheme, mentoring scheme and shadowing opportunities;</p> <p>e) Regular messaging from HODs to support and encourage this.</p> | No ECRs have less than a day on development in next survey (currently 20%); Continuous progress towards all ECRs having 10 days development (currently 15%-target 100%); Uptake of professional development and training opportunities from current 32% (during COVID-19 lockdown) to above 50% by 2021; d) 70% of those mentored would recommend this to others and 10% of ECRs have a mentor at any one time. | a) July 2021; b) annually in April prior to main appraisal 'season'; c) d) and e) ongoing; Overall target by Summer 2022 | HR and RCWG | <p>There has been an improvement in the number of contract researchers reporting less than a day in development (10% now 20% previously) but a big drop in those having ten or more than ten days in development activity 8% (was 15%). Statistics on uptake not yet available. 20 ECRs have been matched in our ECR mentoring scheme- a few dropped out but the remainder gave very positive feedback. The % being mentored varies but over the target were in the first year but less than 20% in the second year.</p> <p>The staff development programme for researchers continued to be developed. Events specifically aimed at contract researchers include:</p> <ul style="list-style-type: none"> <li>-social media for researchers;</li> <li>- commercialising your research- the pros and cons;</li> <li>-exploring research leadership;</li> <li>-public engagement for ECRs;</li> <li>-recent developments in peer review;</li> <li>-the changing open access landscape;</li> <li>-appraisal briefings;</li> <li>-ECR mentoring scheme briefing;</li> <li>-careers round table- beyond academic research;</li> <li>-careers round table- fellowships;</li> <li>-fellowships writing workshops;</li> <li>-Teaching and Learning in Higher Education (TLiHE- for PhDs and postdocs).</li> </ul> <p>Many were open to all the research community and often better attended by PIs than researchers!</p> <p>A pilot with 'Chaperone' for career counselling took place. Researchers also accessed a new initiative for the RVC- South East Action Learning as well as more established leadership support.</p> <p>In feedback from exit interviews researchers (except one) say they feel they got the development they needed.</p> | Partially met. | P3.1<br>P3.3<br>P5.5 | Enhance awareness that researchers are encouraged to engage in a minimum of 10 days of professional development; Enhancing the range of development on offer to researchers |

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| PCDI2 | Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers | <p>a) Development of guidance and a framework for conducting career development reviews.</p> <p>b) Continued provision of appraisal training and experienced PI training</p> <p>c) HODs to provide clear messaging to PIs that this is an expectation and that they support them in doing this.</p> | Survey - 70% of PIs agree that the college supports them in achieving this. | <p>a) April 2021 b) annually in April May for appraisal training; run experience</p> <p>d PI training twice a year; c) ongoing and in April each year overall measure via CEDARs 2021</p> | HR and HoDs | <p>Suggested questions for a career discussion were provided as part of training. PI and ECR specific appraisal training has been run.</p> <p>In CEDARS 2021, 96% were confident in actively supporting researchers to work towards their career aspirations although the question did not directly ask re career development reviews. 46% of PIs agreed that they are valued for developing researchers, 24% said to some degree, 15% felt not valued.</p> | Partially met. | P3.10 |  |

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| PCDI3 | Ensure that researchers have access to professional advice on career management, across a breadth of careers       | a) ECR mentoring scheme with mentors from range of RVC roles;<br>b) Annual Career development event with people from range of careers;<br>c) RA Facebook group alumni as contacts<br>d) Encouraging speakers in research seminars to add a few words and questions about their career path following their presentation;<br>e) Continued provision of researcher one to one career coaching  | a) b) e) 70% of those who participate would recommend participation to others;<br>c) number of alumni listed on Facebook (>25 by 2022);<br>d) 50% of speakers talk about their career paths following their presentation   | a) twice a year b) March 2021 and 2022 d) ongoing and check in June 2021 e) advertised October-ongoing-on-line for 2020 | a & b - HR; c & d RA | We have piloted one to one sessions with a new external company called Chaperone who have a range of external consultants from a variety of careers including careers professionals that they match applicants with- depending on their goals. Eight people took part- evaluation was positive 4.6 out of 5.<br>Our alumni network has now transferred to LinkedIn. - we have 404 connections. We also have a twitter account to help promote researchers' achievements - we follow 404 accounts and have 176 followers -many of whom work across the research sector. Speakers talking through careers was investigated by the RA but it was decided this would interfere with a currently successful dynamic.  | Met           | P3.1           |  |
| PCDI4 | Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills | a) Offer another round of Gill Malone Memorial award-(researchers bid for funds to develop a research theme that is complementary to their main activity). Offer one-to-one mentoring support to ECR wanting to apply for the Gill Malone Memorial Award<br>b) Continue to promote the LIDO DTP award (scheme where ECRs supervise Research Experience Placement from non-traditional background) - getting those that have hosted students to write about their experience and publish that in a blog / Facebook page or on the RA website, resulting in project with own research ideas within the ECR community.<br>c) Enhance awareness in ECR of entrepreneurship/intellectual property through seminars, discussion groups and one-to-one consultations offered by the newly employed Entrepreneur in Residence. | (a) Enhanced number of applications for Gill Malone award - (b) number of ECRs applying to LIDO for a REP student increases from 4 per year to 6 per year;<br>c) measured through mock-business plan creations as well as potential participation of groups in BBSRC YES competition.<br>d) numbers attending workshops is maintained or increased and feedback from attendees is positive (they would recommend to a colleague - 75%; | (a) next application deadline September 2021 (b-e) review at RCWG every June- 2021 and 2022                             | RA; RCWG             | Applications to the Gill Malone award (open to PhDs and postdocs) have remained steady. One out of four awards went to a staff contract researcher (ECR); Other activities have continued but not increased.<br><br>Research grant and fellowship training remains popular with 42 people having attended over the last 2 years and receives good feedback.<br><br>Five contract researchers (ECRs) have engaged in substantial leadership development (a programme or action learning sets).<br><br>We now have a research office weekly bulletin which mentions funding opportunities, seminar, and a range of activities and news- this has been widely welcomed by the contract researcher community.<br><br>However not all researchers agree they have time to consider these opportunities. 49% of contract researchers have time to develop research identity and 43% to develop leadership. | Partially met | P3.11<br>P3.14 |  |

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|       |  | <p>d) Supporting contract researchers in applying for Research Funding</p> <ul style="list-style-type: none"> <li>- Continue to promote a workshop specifically for contract researchers interested in writing fellowships and to provide support fellowship and grant applications.</li> </ul> <p>e) Communications from RA using social media to publicise opportunities to researchers including generic leadership and skills and development training</p> |  |   |  |   |     |              |  |
| 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 | <p>a) promote and evaluate use of Facebook to maintain connection between current research staff and alumni;- (this develops and replaces the former alumni scheme)</p> <p>(b) continue to follow up next destinations of researchers</p> <p>c) promote the cross London HE shadowing scheme to researchers;</p>   | 70% of survey respondents agree they have support for a wide range of career paths<br>(a) • Increased interaction of ECR with alumni, such as lab-placements, collaborative proposals and publications | <p>a) Summer 2021</p> <p>b) annually</p> <p>c) next shadowing round</p> | <p>a) RA</p> <p>b) HR</p> <p>c) HR</p> | 69% of contract researchers said their managers encourage them to consider a wide range of careers (CEDARS). Alumni have participated in careers round table events. We don't have evidence of collaborations/placements. | met | P3.2<br>P3.4 |  |



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| PCDI6                                | Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews | Amend researcher appendix in appraisal to enable tracking- of development for current role and future roles- and to ask if they have an active Career Development plan. (see EI 5) (note tbc)   | Continuous progress towards all ECRs having 10 days development (currently 15%-target 100% by end of 2022); Uptake of professional development and training opportunities from current 32% (during COVID-19 lockdown) to above 50% by 2021; 70% of ECRs agree that they have a career development plan (CEDARS) 70% of researchers report through the appraisal system that they have a career development review/plan (2022 appraisals) | Statistics presented to January RCWG           | HR                       | <p>There has been an improvement in the number of contract researchers reporting less than a day in development (10% now 20% previously) but a big drop in those having ten or more than ten days in development activity 8% (was 15%).</p> <p>Uptake of training from the HR staff development programme is still limited amongst Contract researchers. However, preliminary information from the new appraisal appendix shows researchers are accessing other forms of development. This will be more quantifiable in future once use of the appraisal appendix for researchers becomes embedded in practice.</p> <p>53% of ECRs in CEDARS say they have regular formal career reviews with their manager- 83% of those that did considered it useful.</p> | not met | New  |  |
| <b>Managers of researchers must:</b> |  |   |  |  |                          |  |         |      |  |
| PCDM1                                | Engage in regular career development discussions with their researchers, including holding a career development review at least annually                     | Managers to reflect on their practice in career development review; Refer to career review guidance and framework when this has been developed. Appraisal training for PIs introduced includes questions for a career development review; | 70% of ECRs agree that they have a career development plan (CEDARS) and appraisal  | September 2021 and September 2022; CEDARS 2021 | Research managers and HR | 72% of those eligible have had an appraisal- this includes a discussion about careers- however, 41% say they don't have a career development plan.   | not met | P2.3 |  |

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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   | Managers to promote career development opportunities  | 70% of Researchers agree that their managers are supportive of development for a range of career options(CEDARS)   | Assess at CEDARS-2021 | Research Managers | 69% of contract researchers said their managers encourage them to consider a wide range of careers (CEDARS).   | Met           | P3.4<br>P3.8<br>P5.5 |  |
| 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  | Research managers to use induction, appraisals and regular one to one meetings to encourage researchers to undertake development; Planning of projects should accommodate for this release. | CEDARS survey shows Continuous progress towards all researchers 10 days development (currently 15%-target 100%); Uptake of professional development and training opportunities from current 32% (during COVID-19 lockdown) to above 50% by 2021; (CEDARS and spot checking of appraisal documentation)                         | CEDARS 2021           | Research Managers | Although those reporting less than a day of development has decreased, those with ten days or over has dropped. See PCDI1.<br><br>Feedback from exit interviews indicates researchers did not perceive their managers as limiting access to development. | not met       | New                  |  |
| PCDM4 | Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours | Research managers to familiarise themselves with guidance on this topic and encourage the release and support for researchers to undertake this,  | (a) Enhanced number of applications for Gill Malone award<br><br>(b) number of ECRs applying to LIDO for a REP student increases from 4 per year to 6 per year;<br>c) measured through mock-business plan creations as well as potential participation of groups in BBSRC YES competition<br>d) numbers attending workshops is | CEDARS 2021           | Research Managers | See PDCI4  | Partially met | P3.6<br>P3.9<br>P5.5 |  |

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|                          |   |   | maintained or increased and feedback from attendees is positive (they would recommend to a colleague - 75%;          |   |                   |   |         |      |  |
| PCDM5                    | Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development                          | See EM1 Managers to role model CPD  | >70% of researchers agree that their manager supports their development  | CEDARS 2021   | Research Managers | 90% of contract researchers (ECRs) agree their manager encourages them to engage in personal and career development activities (CEDARS)   | Met     | New  |  |
| <b>Researchers must:</b> |   |   |  |   |                   |   |         |      |  |
| PCDR1                    | Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year | Researchers to be proactive in ensuring they have a development plan that covers project related development and development for their longer-term career plan- and that they spend at least 10 days on their development. Once available make use of the career review guidance and framework. | 70% of ECRs agree that they have a career plan (CEDARS)<br><br>70% of ECRs have development plans in their appraisal | CEDARS 2021 and appraisal reporting September 2021 and 2022 | ECR               | 51% of contract researchers report having a career development plan. Uptake of training from the HR staff development programme is still limited amongst Contract researchers. However, preliminary information from the new appraisal appendix shows researchers are accessing other forms of development. This will be more quantifiable in future once use of the appraisal appendix for researchers becomes embedded in practice. | Not met | P5.5 |  |

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| 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 proactively seek opportunities to explore a range of employment options- e.g. mentorship, contact with alumni via Facebook group, networking with speakers at ECR development event, and researcher talks, secondments, one to one career coaching                | 70% of researchers have participated in an activity for careers exploration   | CEDARS 2021                         | ECR                  | About 45% took up opportunities specifically related to career exploration e.g. mentoring, careers round table, careers coaching with Chaperone.  | Not met       | P3.8  | Researcher Alumnus network |
| 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 | Researchers to update their career development plans as part of career review and planning in appraisal and keep track of activity through out the year, reporting this at appraisal; Researcher to make use of the guidance and framework for career development once available | CEDARS ;- 70% of researchers agree that they have a career development plan<br>70% of ECRs report through the appraisal system that they have a career plan in (2022 appraisals)  | CEDARS 2021                         | ECR-guidance from HR | 51% of contract researchers report having a career development plan.  | Not met       | P5.5  |                            |
| PCDR4 | Positively engage in career development reviews with their managers  | Researchers to be proactive in reviewing careers and in working out what information/experiences they need to make choices;  | 70% of ECRs agree that they have a career development plan (CEDARS)<br>70% of ECRs report through the appraisal system that they have a plan in (2022 appraisals)   | Appraisal 2022;<br>CEDARS 2021      | ECR                  | 53% of ECRs in CEDARS say they have regular formal career reviews with their manager- most of those that did considered it useful.<br>This will be quantifiable directly through appraisals in future once use of the appraisal appendix for researchers becomes embedded in practice.  | Not met       | P3.10 |                            |
| PCDR5 | Seek out, and engage with, opportunities to develop their research identity and broader leadership skills  | Researcher consider/use opportunities- e.g. wider training programme; Gill Malone LIDO DTP ; entrepreneur in residence; fellowship writing workshops etc.,   | (a) Enhanced number of applications for Gill Malone award<br>(b) number of ECRs applying to LIDO for a REP student increases from 4 per year to 6 per year;<br>c) measured through mock-business plan creations as well as potential participation of | June 2021 and 2022 reviewed at RCWG | ECR                  | Applications to the Gill Malone award (open to PhDs and postdocs) have remained steady. One out of four awards went to a staff ECR;<br>Other activities have continued but not increased.<br><br>Research grant and fellowship training remains popular with 42 people having attended over the last 2 years and receives good feedback.<br><br>Five ECRs have engaged in substantial leadership development (a programme or action learning sets). | Partially met | P5.5  |                            |

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|       |   |  | groups in BBSRC YES competition. d) numbers attending workshops is maintained or increased and feedback from attendees is positive (they would recommend to a colleague - 75%; |             |     | We now have a research office weekly bulletin which mentions funding opportunities, seminar, and a range of activities and news- this has been widely welcomed by the contract researcher community.<br><br>However not all researchers agree they have time to consider these opportunities. 49% of contract researchers have time to develop research identity and 43% to develop leadership.  |               |      |  |
| 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 | Take advantage of opportunities such as Public engagement events (RVC Lates) - ECR involvement in committees through the RA; Policy workshops with APHA through VEEPH for KE between the two organisations | Enhanced involvement of ECRs' in activities measured through participation numbers   | CEDARS 2021 | ECR | Not measured. However, examples of activity the ECRs have engaged in are: Bloomsbury set knowledge exchange innovation and commercialisation; the outreach Tottenham bioscience school; public engagement training by LIDC; policy formation with the WHO.<br><br>A celebration of learning event took place in July 2022 for a range of RVC staff - a very informal event where people mixed and talked about their experiences of various development activities.<br>It was encouraging to see several researchers attending and enthusing about their development. They were each invited to bring a colleague so we hope this will generate interest from researchers going forward too. | Partially met | P5.2 |  |

EXTRA

Work to increase engagement in upcoming CEDARs.

More than 40% responding to our first CEDARs.

63% ECRs completed CEDARS