# HREiR Action plan template (July 2020 - 2022)

Durham University il logo

**hr** HR EXCELLENCE IN RESEARCH

|  | **Details** |  |
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| **Institution name:** | Durham University |  |
| **Cohort number:** | 5 |  |
| **Date of submission:** | Jul-20 |  |

KEY: DCAD (Durham Centre for Academic Development), HR (Human Resources), RIS (Research Innovation Service), C&E (Careers and Enterprise Service), DVPR (Deputy Vice Provost Research), RSA (Research Staff Association)

**The institutional audience\* for this action plan includes (complete or delete, as appropriate):**

| Audience | # | Comments |
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| Research staff | 450 |  |
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| Research and teaching staff | 1467 | includes Principal Investigators |
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| Technicians | 172 |  |
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| Professional support staff | 90 | includes senior management |

| Column1 | Obligation2 | Action | Success Measure (SMART) | Deadline | Responsibility | Progress update (to be completed for submission) | Outcome/result |
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|  | 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) Raise awareness of the concordat via the Newsletter and Research Staff events.2) Raise awareness with PIs to include Concordat in grant applications. 3) Develop a research staff development needs analysis based on the Concordat. 4) Ensure that the Concordat is detailed on the induction checklist. | 1) CEDARS 2021 to show an awareness of the Concordat >50%.2) Annual focus groups to assess awareness of Concordat detail 3) DNA availability, monitor staff use 4) Audit of departmental induction checklists | Jun-22 | HR / DCAD | 1) Good progress has been made and awareness is improving, but further work is required to embed the Concordat in researcher consciousness. Departmental events held in Engineering (July 21) and Sociology (August 21) to clarify professional development routes event, promote the Concordat and launch the research staff DNA. CEDARS 2021 shows 53% are aware of Development of Researchers Concordat 2) Awareness of the Concordat is superficial and staff do not know how to use it to enhance grant applications. Focus group (Feb 22) shows lack of awareness about further uses of the Concordat 3) Initial uptake of staff DNA poor, relaunch planned in Spring 2022 Research staff DNA available since July 2021 4) did not happen due to covid | 1) Carry forward  2) Carry forward 3) Carry forward relaunch 4) Carry 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 | 1) Embed new processes. Continue to review the success of new policies and feedback any issues or challenges that arise. 2) Ensure research representatives are involved in relevant consultations and are able to feedback. | 1) CEDARS 2021 to show 80% of research staff are aware of the policy for promotion and progression. Detail of awareness assessed through annual focus groups. 2) Positive feedback from Annual Focus Group | Jun-21 | HR/DCAD | 1) Improve staff engagement with policy, encourage more staff to submit CV annually CEDARS 21 indicated that 60% of staff were aware of the P&P policy, but many (79%) did not submit CVs for consideration.2) Greater emphasis required on awareness raising around promotion and progression. .Focus groups (Feb 21) showed lack of awareness about the detail of promotion and progression policies. There was a general acknowledgement that policies had improved P & P although questions remain about eligibility and fairness. | 1) Carry forward 2) Carry forward |

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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 | 1) Launch Health & Wellbeing Strategy. Launch Report+Support tool. Launch Employee Assistance Programme 2) Monitor whether staff feel able to take positive action | 1) Successful launch of wellbeing initiatives 2) CEDARS 2021 to show 80% feel able to take positive action to support their mental health and wellbeing. Detail of awareness assessed through annual focus groups. | Dec-20 | HR | 1) A new Staff Concerns Policy and Code of Conduct has been launched which departments will assist in promoting. Employee Assistance Programme (EAP) made available to staff. Wellbeing strategy, Report + Support tool also promoted 2) Greater emphasis required on structural changes around work loading and employee flexibility still needed. CEDARS 2021 to shows that 77% of research staff feel able to take positive action to support their mental health and wellbeing. It also shows that 56% believe that that DU promotes the importance of good mental health and wellbeing of staff and 49% think their working environment supports this. A number of initiatives have been launched focusing on improving the mental health and general wellbeing of employees. Despite these efforts focus groups (Feb 22) found a disconnect between the university's promotional activities - which were acknowledged - and lack of action around workloads and structural inequalities. | 1) complete but monitor ongoing 2) Carry forward |
| ECI4 | Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health | 1) Improve perceptions of EDI at Durham 2) Promote EDI training at Research Staff themed events. Facilitate PI oversight of EDI training online. Ensure that staff training on EDI in line with respect commission's recommendations | 1) CEDARS 2021 to show that <10% disagree with statement "Durham is committed to EDI" 2) Greater access to EDI guidance across DU | Jun-21 | HR | 1) CEDARS 2021 showed that 25% disagree with the statement "Durham is committed to EDI" 2) We held an Inclusion Matters event (July 21). 1x HROD Senior Organisation Development Manager (Inclusive Culture) appointed April 2021. 2x Senior EDI Learning & Development Officers appointed in June 2021. Delivered new EDI Respect, Values and Behaviours (RVB) Programme with Active Bystander elements on 18 January 2022 and will deliver again in April 2022 specifically for DCAD. 17x EDI SkillBoosters on Oracle Learning (Staff and Students). EDI embedded into all Open Course Programmes. EDI Embedded into Operational Management Programme and Manager/Leadership Essentials Programme. Pilot Programme: Union Black: Britain's Black Cultures and Steps to Anti-racism launched in September 2021. EDI 'Required Learning' on Oracle Learning (part of the induction process).Advance HE Inclusive Culture Programme (Launched November 2021).Comprehensive Suite of Leadership Programmes from G5 - G10) available all with EDI elements.19 Academic Colleagues currently undertaking the Aurora Leadership Programme. | 1) carried forward |

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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 | 1) CIG terms of reference modified to include research integrity. 2) improve awareness of RI Concordat 3) Make research Integrity training available to all researchers 4) Work with departments to raise awareness and ensure implementation through Research Integrity Action Plan. | 1) Change terms of reference 2) CEDARS 2021 to show that <50% "never heard of the research integrity concordat" 3) CEDARS 2021 to show that >70% have completed research integrity training 4) Recognition from focus group participants | Jun-22 | DCAD / HR / RIS | 1) The CIG was disbanded (final meeting Jan 21) and replaced with a broader focused Research Culture Committee (RCC). The new committee's terms of reference explicitly mention research integrity and the RI Concordat.2) CEDARS 2021 shows that 52.4% have never heard of the RI Concordat so further promotion is required. 3) CEDARS also shows that 40% of research staff have done some research integrity CPD.RIS have recently funded the purchase of research integrity training materials from Epigeum. Additionally, a new Researcher Integrity short course was launched for PGRs (Feb 22) 4). The relaunch of the RI Concordat has provided additional opportunity to raise awareness of expectations, presentations were made to University & Faculty Research & Ethics Committees. Training is provided but is not necessary badged as RI e.g. Research Methods, provision including within induction is being reviewed. Further presentations to FRCs and local committees are scheduled. | 1) complete 2) Goal reachable – a drop of 2.5% required by 2022 carry forward. 3) Carry forward 4) complete but continue to monitor |
| 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 | 1) Undertake CEDARS in 2020 and 2021.  Establish new ways of gathering data to assess and evidence research culture 2) consultation with research staff at RSA events and focus groups and data in the uptake of relevant training.  The university's Respect commission recommends issuing Exit questionnaires to all staff including Research Staff | 1) Take part in and evaluate CEDARS data  2) CEDARS 2021 to show an increase in awareness of the RSA to >50%. Positive feedback on research culture from annual focus groups. | July 2020 and 2022 | DCAD/HR | 1) DU has taken part in CROS 19 CEDARS 20 and 21 2) Several Research Culture Cafe events have been held (April 21, July 21, Feb 22) and these have provided an opportunity for staff to share experiences of our current research culture. Additionally the RSA has held several recruitment/information events and social activities and membership  is growing. However, CEDARS 2021 shows that only 39.2% of research staff are aware of RSA so there is still some work to do. | 1) Continue to keep under review 2) Carry forward with an emphasis on improving RSA representation |
| **Funders must:** | | | | | | |

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| ECF1 | Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies | 1) Continue to review practices to ensure support as widely as possible for all relevant research applications open to research staff. 2) Monitor staff attitudes and gain insights in to positive research culture | 1)    2) CEDARS 2021 to show that 80% of research staff agree that research culture is equitable and inclusive; detailed feedback assessed through annual focus groups. | Jun-21 | DCAD | 1) When we run funding calls for researchers (e.g. Addison Wheeler Fellowships) we follow HR policies which are equitable and inclusive. 2)  CEDARS 2021 indicated that most researchers feel that policies such as recruitment and selection are inclusive (76%) and they (personally) are able to act in an inclusive way. Respondents (45%) believe that the institution handles promotion and progression in an equitable way. The survey also highlighted specific examples of perceived inequitable practice. Focus groups suggest a range of experience. Inequalities between staff on different contract types was mentioned (FG1) and also unequal distribution of workloads. Both focus groups (FG1,2) were positive about their immediate working environments, colleagues, support, equipment etc. Researchers from science discipline highlighted notable gender imbalance especially in more senior positions. | 1) continue monitoring carry forward 2) carry forward |
| ECF2 | Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers | 1) Develop an annual programme of support | 1) Monitor implementation and engagement via annual focus groups. | Jul-21 | DCAD/RIS | 1) We initiated a series of workshops to support fellowship applications from researchers. We also established Research Staff Awards to celebrate good practice and recognise the contribution of our researchers to the university. The Research Stress Test and related programs of work are looking at COVID impacts on working patterns and wellbeing and as well as identifying issues are also aiming to highlight the positive changes and best practices that can be continued and expanded. Focus groups (Feb 22) suggest that flexible working initiatives do not help those on fixed term contracts currently. | 1) carry forward |
| 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 | 1) Ongoing implementation to be monitored. | 1) Compliance of all research development support and internal selection procedures. | Jun-21 | RIS | 1) The University started reviewing application rates by protected characteristics (including for specific funding streams e.g. RIF / GCRF in 2018/19 and Research Committee reviews whether remediation is required and enacts changes  as part of routine business. | 1) carry forward |
| **Managers of researchers must:** | | | | | | | |

| Ref | Action | Strategy | Success measure | Date | Lead | Progress | Status |
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| ECM1 | Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work | 1) Ensure staff engagement with policies and practices which are already in place and that adequate EDI training is put in place. Training to be provided in line with respect commission's recommendations. 2) Improve staff recognition of DU EDI initiatives 3) Establish a review of current training to evaluate gaps in our offer. | 1) CEDARS 2021 to show that >70% have received EDI training 2) CEDARS 2021 to show that <10% disagree with statement "Durham is committed to EDI" 3) Complete review and gap analysis complete | Jun-21 | HR | 1) We held an Inclusion Matters event (July 21).CEDARS 21 showed that 62% of research staff have undertaken EDI training and a further 26% keen to do so. "See EC14 EDI 'Required Learning' Launch of Respect, Values & Behaviours with Active Bystander elements (staff and Students - February 2022). EDI embedded into all Leadership L&D Leadership Attributes sessions 2) CEDARS 2021 showed that 25% disagree with the statement "Durham is committed to EDI". 3) Carried out a EDI TNA. Currently looking at White Allyship, LGBT Allyship, Disability support, Neuro Diversity | 1) Carry forward 2) Carry forward 3) Carry forward |
| ECM2 | Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct | 1) CIG terms of reference modified to include research integrity. 2) improve awareness of RI Concordat 3) Make research Integrity training available to all researchers | 1) Change terms of reference 2) CEDARS 2021 to show that <50% "never heard of the research integrity concordat".3) >70% have completed research integrity training | Jun-22 | DCAD / HR / RIS | see ECI2 | see ECI2 |
| 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 | 1) Launch Health & Wellbeing Strategy. Launch Report+Support tool. Launch Employee Assistance Programme 2) Monitor whether staff feel able to take positive action | 1) 2) Report on research staff trends in annual report to Research Management Committee. CEDARS 2021 to show 80% feel able to take positive action to support their mental health and wellbeing. Detail of awareness assessed through annual focus groups. | Dec-20 | HR | 1) Comple plus Staff Concerns Policy and Code of Conduct which Department will assist in promoting. | 1) complete 2) carry forward |
| ECM4 | Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers | 1) review and monitor policies and procedures regularly alongside requests from research staff. | 1) Monitor implementation and engagement via annual focus groups. | Jun-21 | HR | 1) Relevant HR policies and procedures of the nature can be found: https://www.dur.ac.uk/hr/policies/leave/ and https://www.dur.ac.uk/hr/policies/wlbalance/flexible/. Ensure these are regularly communicated to Research Staff. Feedback from focus groups suggested that arrangements (around flexibility, work/life balance) were understood and implemented differently for different groups of researchers (e.g., fixed term vs permanent) causing confusion and lack of parity. | 1) complete but requires constant monitoring - carry forward |
| ECM5 | Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | 1) Policies and practices are already in place. Publicise events and opportunities to engage in groups and activities including membership of Departmental Committees, AUA etc. Future Newsletters will publicise such opportunities. | 1) All positions available to be filled by research staff are filled. | Jun-21 | RIS | 1) All internal policies are subject to significant consultation, both via committees with a broad membership (inc. of Research Staff and ECRs) which contribute to design and are made available for open consultation to all Faculty for c. six weeks for comment and suggestion prior to approval. | 1) complete but requires constant monitoring and promotion |
| **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) This will be facilitated through improved induction (see EI2) 2) cascading policies and practice through PIs (see ECI4) 3) promoting good practice via the research staff awards. | see ECI4 (line 20) and ECI5 (line 21). | Jun-21 | HR | see ECI4 (line 20) and ECI5 (line 21). | see ECI4 (line 20) and ECI5 (line 21). |
| ECR2 | Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion | 1) EDI training is mandatory for all staff. 2) Promote EDI training at Research Staff themed event.3) Facilitate oversight of EDI training online. Staff training on EDI in line with Respect Commission's recommendations. See ECI4 (line 20) and ECI5 (line 21). | See ECI4 (line 20) and ECI5 (line 21). | Jun-22 | DCAD, HR, RIS | See ECR 14 (line 20) and EC15 (line 21). EDI 'Required Learning' available on Oracle Learning. | See ECR 14 (line 20) and EC15 (line 21). |

| Ref | Action | Implementation | Success measure | Date | Resp | Comments | Status |
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| ECR3 | Take positive action towards maintaining their wellbeing and mental health | 1) Launch Health & Wellbeing Strategy. Launch Report+Support tool. Launch Employee Assistance Programme | Report on research staff trends in annual report to Research Management Committee. CEDARS 2021 to show 80% feel able to take positive action to support their mental health and wellbeing. Detail of awareness assessed through annual focus groups. | Dec-20 | HR | Successful Lauch of strategy and tool | 1) completed |
| 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 | 1) Policies and practices are already in place. Continued emphasis to maintain and support | 1) No formal complaints or reports of misconduct | Jun-21 | RIS | 1) Expected standards of behaviour are clear within policy and are disseminated via training and regular briefings. Alongside the standards the processes and policies for raising concerns are also listed e.g. Misconduct, Grievance, Whistleblowing. Services work across boundaries to ensure issues are addressed via the most appropriate route. Upheld complaints are recorded and reported to Senate and other senior committees on an annual basis. | 1) requires constant monitoring carry forward |
| ECR5 | Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution | 1) Promote and disseminate best practice for engagement of Research Staff in departmental structures. 2) Promote awareness with Research Staff of Research Staff Association engagement with University committees. 3) Review number of research staff engaged in formal committees and develop proposals if necessary. | 3) CEDARS 2021 "not participating in decision making" reduce to 10% | Jul-21 | HR / DCAD / RSA / DVPR | 1) Best practice interviews carried out across departments Compendium Report produced (Dec 21) and reported to RCC (March 22).  3) showed that 20.8% disagreed or strongly disagreed that they had opportunities to participate in decision-making processes (committees) | 1) carry forward 2) carry  3) carry forward |
| **Employment** | | | | | | | |
| **Institutions must:** | | | | | | | |
| EI1 | Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices | Policies and practices are already in place. Ensure these are regularly communicated to researchers. | No formal complaints or reports of misconduct | Jun-21 | HR | requires continual monitoring | 1) requires monitoring carry forward |
| EI2 | Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position | 1) Develop Research Staff focused session of institutional induction. 2) Develop a best practice guide Include staff induction best practice session in PI leadership training. At departmental level, complete the Induction checklist | 1) CEDARS 2021to show >80% attendance at institutional and departmental inductions. CEDARS 2021 to show a reduction in departments not offering induction to <20%. Development of best practice guide. | Oct-21 | HR / DCAD | 1) The number of staff attending departmental inductions has increased significantly. Further work is require to improve the usefulness and quality of induction. . CEDARS 2021 83.6% attended institutional induction, 84% attended departmental/faculty/unit induction. CEDARS 2021 11.3% were not offered a departmental/faculty/unit induction. 2) Currently working on best practice guide based on departmental interviews. The introduction of a Operational Management Programme started in September 2021 - April 2022. | 1) Carry forward ) carry forward |
| EI3 | Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances | 1) Ensure all research staff are familiar with the progression and promotion process. | 1) Increase % satisfaction with appraisal process from 61%(CROS2019) to >80% (CEDARS 2021). | Oct-20 | HR / DCAD | 1) Satisfaction with the appraisal process is low and more worryingly appears to be dropping.. Due to Covid, PP process and training event postponed. Events were held event in Autumn 2021. CEDARS 2021 49% indicated that they had found the appraisal process useful or very useful Provision of specific Autumn training event in line with the appraisal cycle. In early 2021 we are introducing non-monetary schemes to instantly reward good practice and behaviours in line with University values. | 1)  Carry forward |
| EI4 | Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent | 1) Promote engagement in training opportunities such as the Research Project Leadership Programme. Engage in training in line with respect commission's recommendations. | 1) >15PIs/annum engage with leadership training. | Oct-20 | | 1) successful recruitment, but we would like to grow this year on year. 07/21 new cohort recruited for RPL programme >15 | 1) Carry forward stretch target |
| 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 | 1) Policies and practices are already in place. 2) Develop an active network of project PIs to share best practice and ensure they comply with policies to support researchers as effectively as possible. | 1) 2) PI network up and running and being used to drive behaviours. | Jun-21 | HR | 1) complete  2) Training provided and expectations of standards of people management are clear. DPPC guidance is in place and has been embedded in the annual assessment criteria. 06/21 PI mailing list established. | 1) 2) carry forward |

| Ref | Action | Description | Measure | Date | Lead | Progress | Status |
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| 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 | Dissemination of job opportunities via the N8 partnership has already been agreed. Currently reconsidering extending the window for redeployment to more than 3 days. | Review process and uptake by researchers. | Jan-21 | HR | | 10 Carry 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 | 1) Policies and practices are already in place. 2) Use our new PI network to ensure opportunities are cascaded to researchers to engage them more directly in developing policy. | 2) PI network up and running and being used to drive behaviours | Jun-21 | RIS | 2) All internal policies are subject to significant consultation, both via committees with a broad membership (inc. of Research Staff and ECRs) which contribute to design and are made available for open consultation to all Faculty for c. six weeks for comment and suggestion prior to approval. | 1) complete but reviewed regularly 2) carry forward |
| **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 | We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Ensure that at every opportunity we strive to provide the best possible conditions for researchers employed by grant funding. | Assess conditions via annual focus group | Jun-21 | DCAD/HR | Continue to monitor this | Carry forward |
| EF2 | Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security | We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Where possible review grant spend and explore the possibility of supporting progression and extensions of funding for researchers. | Assess impact via annual focus group | Jun-21 | DCAD/HR | Continue to monitor this | Carry forward |
| EF3 | Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression | We work with funders and other institutions to share best practice. Share best practice from research groups about ways to improve job security and enhance opportunities for research staff. | Assess arrangements via annual focus group | Jun-21 | DCAD/HR | During covid pandemic institution put in place emergency grant funding extensions to allow employment continuity | Carry forward |
| EF4 | Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels | We work with funders and other institutions to share best practice. No further action taken in this plan. | Reports to RMC completed | Jan-22 | RIS | Reports made annually to RMC covering take-up of relevant funding streams. EIAs undertaken in advance of roll-out of significant new initiatives. | Carry forward |
| **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) Promote engagement in training opportunities such as the Research Project Leadership Programme. Engage in training in line with respect commission's recommendations. | 1) >15 PIs/annum complete leadership training. Extend to all new PIs. | Jun-21 | DCAD | 1) Due to covid, RPL programme was postponed, however >15 recruited for Autumn 2021 cohort. | 1) carry forward stretch recruitment target |
| 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) Review how many PIs are undertaking training offered. Establish new process to remind PIs if necessary. | 1) All new PIs undertake training within 6 months of being awarded funding. | Jun-22 | DCAD/HR/RIS | Tie in to Research training Framework, once appropriate courses agreed, ensure covered within the email out to PIs. All courses to go on Oracle, PI and learner lists to be cross referenced on biannual basis. | 1) Carry forward |
| EM3 | Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers | 1) Policies and practices are already in place. With the launch of Oracle cloud new e learning and workshops packages are being developed, with a focus on EDI. | 1) 100% compliance in mandatory training for EDI (on three year cycle) | Jun-21 | HR | PI lists available for RIS. EDI commitment built into recruitment processes | 1) carry forward |
| EM4 | Actively engage in regular constructive performance management with their researchers | 1) Policies and practices are already in place. The annual progression round provides feedback. 2) Develop an online reflective career development needs analysis tool | 2) 20% of Research Staff engaging with DNA | Jun-21 | DCAD/HR/C&E | 2) Initial uptake of staff DNA poor, relaunch planned in Spring 2022 3) According to CEDARS 2021: 79% of researchers think that their manager clearly articulates performance expectations, a further 70% think that their manager offers clear and constructive feedback on performance. | 1) completed but continue to monitor 2) carry forward |
| EM5 | Engage with opportunities to contribute to relevant policy development within their institution | 1) Policies and practices are already in place. Ensure opportunities are communicated using a range of mechanisms to research staff. Monitor through annual focus groups | 1) 30% of research staff contribute to policy development or are aware of opportunities - measured through annual focus groups. | Jan-22 | DCAD | Revitalised RSA membership and new Research Culture Com have improved involvement and engagement in policy development, but more work needs to be done to secure this | 1) carry forward |
| **Researchers must:** | | | | | | | |

| ID | Action | Measures/Actions | Success Measure | Target Date | Owner | Notes/Progress | Future |
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| ER1 | Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder | 1) Policies and practices are already in place and kept up to date so that Research Staff can access current and relevant information. Continue to monitor and evaluate policies and practice. | 1) No formal complaints or reports of misconduct | Jan-22 | RIS | Expected standards of behaviour are clear within policy and are disseminated via training and regular briefings. Alongside the standards the processes and policies for raising concerns are also listed e.g. Misconduct, Grievance, Whistleblowing. Services work across boundaries to ensure issues are addressed via the most appropriate route. Upheld complaints are recorded and reported to Senate and other senior committees on an annual basis. | 1) requires continual monitoring, carry forward |
| ER2 | Understand their reporting obligations and responsibilities | Policies and practices are already in place. continue to monitor and evaluate policies and practice. | 1) Increased awareness | Jan-22 | RIS | Obligations and responsibilities are highlighted in induction and through departmental reporting structures. This is a continual rather than one off process | 1) carry forward |
| ER3 | Positively engage with performance management discussions and reviews with their managers | 1) use of Pebblepad Development Needs Analysis (DNA) to inform discussion (see PCDI4) | 1) 20% of Research Staff engaging with DNA | Jun-21 | DCAD/HR/C&E | Poor uptake of staff use of DNA, relaunch in the new year | 1) carry forward |
| ER4 | Recognise and act on their role as key stakeholders within their institution and the wider academic community | 1) "Promote and disseminate best practice for engagement of Research Staff in departmental structures. Develop Research Staff focused session of institutional induction. Develop a best practice guide. Include staff induction best practice session in PI leadership training. At departmental level, complete the Induction checklist. Promote engagement in training opportunities such as the Research Project Leadership Programme. Engage in training in line with respect commission's recommendations. Policies and practices are already in place. Publicise events and opportunities to engage in groups and activities including membership of Departmental Committees, AUA etc. Future Newsletters will publicise such opportunities.  All positions available to be filled by research staff are filled.Jun-21 RIS | All positions available to be filled by research staff are filled. CEDARS 2021 "not participating in decision making" reduce to 10% CEDARS 2021 to show >80% attendance at institutional and departmental inductions. CEDARS 2021 to show a reduction in departments not offering induction to <20%.  Development of best practice guide. >15PIs/annum engage with leadership training. | See ECM5 (line 32), ECR5 (line 38), E12 (line 42) and EI4 (line 44). | See ECM5 (line 32), ECR5 (line 38), E12 (line 42) and EI4 (line 44). | All internal policies are subject to significant consultation, both via committees with a broad membership (inc. of Research Staff and ECRs) which contribute to design and are made available for open consultation to all Faculty for c. six weeks for comment and suggestion prior to approval. | 1) carry forward - much of this has been rolled into the the new flourish@Durham initiative |
| **Professional and Career Development** | | | | | | | |
| **Institutions must:** | | | | | | | |
| PCDI1 | Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors | 1) Promote development opportunities via Microsoft Teams, email newsletter, webpages and regular events.  2) Deliver regular bespoke themed training sessions in response to RS need.  3) Establishment of Research Staff Awards.  4) Build network of senior research administrators to promote development opportunities.  5) Explore potential for 10 days professional development to be included in contracts. | 1) CEDARS 2021 - increase average percentage for training undertaken across all categories to >30%. Membership of Research Staff Association Microsoft Team >100. 2) >70% staff have engaged with DCAD over the last 12 months. | Oct-20 | DCAD/HR/C&E/RIS | 1) On target for 2022 (see success measure notes) - Moving forward into broader CPD offerings.. CEDARS 2021 shows 36% average training taken by staff across all 14 categories and 62% of staff have engaged in DCAD training over the last 12 months 2) RIS training is being reviewed, and provision rationalised which is helping to provide more structure and with advertising. Additionally work is taking place regionally and nationally to co-develop materials in key areas including in integrity. It has been a challenge to deliver standard programs recently but innovation has occurred with much provision moving online. The challenge will be in structuring this in such a way that learning aligns to the key development needs. Meeting the ten days goal will remain challenging whilst workload and patterns remain disruptive. . | 1)  Carry forward and expand 2) carry forward |

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| PCDI2 | Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers | 1) Policies and practices are already in place. Evaluate and review process and mechanisms. 2) Encourage and publicise researcher engagement in mentoring and training.  New PI network will help drive working practices. | | Jun-21 | RIS | 10 continue to review policies 2) PI network is being augmented by a  PI mailing list that can be used to communicate timely updates. Expectation of career development review and content is set by HR. | 10 Carry forward 2) carry forward |
| PCDI3 | Ensure that researchers have access to professional advice on career management, across a breadth of careers | 1) Raise awareness of dedicated careers professional to provide individual and collective support to researchers. 2)  Provide access to a range of career activities, including appropriate alumni and employer led events highlighting a breadth of career pathways. Promote opportunities via Microsoft Teams, email newsletter, training booking system and webpages, including Careers & Enterprise web and social media platforms. | 1) Registration of >50 researchers on the Careers & Enterprise services portal. 2) Target of 25/annum accessing 1:1 support in response to CEDARS 2021 "discussed your career options within and beyond academia with a careers specialist?" CEDARS 2022 >50% "aware of what is available at your institution to support you in your professional and career development?" | Jul-21 | C&E / DCAD / HR / RSA | 1) Good progress has been made in this area further awareness raising measures planned via targeted comms in 2022..Communication of the career events, opportunities and support available to research staff has encouraged registration on the Careers & Enterprise Centre portal. 27 staff registered in 2020; 44 registered in 2021 (71 in total) and 2022 (as of 2.3.22) – 8 new registrants. Employment of targeted messaging to research staff to facilitate engagement with 1:1 career support has resulted in 15 (9 unique users) in 2021 and a further 4 (as of 2.3.22). 2)Good progress has been made in this area further awareness raising measures planned via targeted comms in 2022..  CEDARS 2021 21.5% have discussed their career with a specialist. CEDARS 2021 62% of researchers are aware of what is available to support professional and career development | 1) and 2)  Carry forward |
| PCDI4 | Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills | 1) Introduce Development Needs Analysis (DNA) and eportfolio on Pebblepad specific for Researchers. Promote engagement in leadership training opportunities. | 1) 20% of Research Staff engaging with DNA. | Jan-21 | DCAD / HR / RSA | 1) Research staff DNA available since July 2021. Initial uptake of staff DNA poor, relaunch planned in Spring 2022 | 1) relaunch carry 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 | See PCD13. Provide access to appropriate employer events and opportunities. Dedicated half-day workshop for research staff on careers beyond research. | as PCD13 | Jul-21 | as PCD13 | as PCD13 | carry forward |
| PCDI6 | Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews | 1) Provide range of CPD activities and use of training booking system to monitor engagement. PIs starting new grants provided with written reminder of these responsibilities. 2) Launch of Oracle cloud will log all training which managers will be able to monitor. | 1) >250/annum research staff engaging in professional development workshops recorded via the Training booking system 2) Oracle Learning live | Aug-21 | DCAD/HR/RSA/C&E | 1) 06/21 318 participants recorded from 10/20 - 06/21 on the TCBS. 2) We have now moved course booking to Oracle Learn | 1) requires continual monitoring, carry 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 | We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Ensure that our own internal funding explicitly recognises the necessary engagement in training. | | | | | |
| PCDF2 | Embed the Concordat Principles and researcher development into research assessment strategies and processes | Review current practice to ensure that in research development support and internal evaluations for research funding that core principles are embedded. | | | | | |
| 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 | We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. | engagement with Russel Group and other formal networks such as N8 | Jan-21 | RIS | Discussions on Career futures built into the Leading Research and PG development programmes. DU works with the RG and N8 to look at best practice. | |
| **Managers of researchers must:** | | | | | | | |
| PCDM1 | Engage in regular career development discussions with their researchers, including holding a career development review at least annually | 1) Promote and communicate progression and promotion process via research staff events, webpages and email. 2) The online development needs analysis will aim to promote career development discussions. | 1) Increase in satisfaction with appraisal process from 61% (CROS 2019) to 80% (CEDARS 2021) | | | There is still more work engaging all research staff in the promotion and progression process. Further events scheduled for 2022 -. Several promotion and progression events held in departments over 2021-22. 1) According to CEDARS 2021 48% found the appraisal process useful | 1)  carry forward |

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HR EXCELLENCE IN RESEARCH

| Code | Action | Strategy | Target | Date | Responsible | Progress | Outcome |
|---|---|---|---|---|---|---|---|
| PCDM2 | Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments | 1) Raise awareness of mentoring process and policy. Research staff mentoring themed training event. Development and dissemination of best practice case studies. | 1) Target CEDARS 2023 - Reduce those "who have not undertaken mentoring but would like to" to <20%. CEDARS 2025 reduce to 10%. | Jan-21 | HR / DCAD | 1) Target not achieved. Mentoring in one form or other occurs in most departments. However, due to covid planned mentoring process and policy work has stalled. However a mentoring lead has been recruited so this will improve in the latter half of 2022. | 1) Carry forward |
| 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 | Explore the possibility of writing the 10 days of training explicitly into every contract for research staff, ensuring it does not breech any funding requirements. | Present a recommendation to University Executive Committee with the proposal. | Jan-21 | DVPR with HR | 1) This work is ongoing and we are exploring ways in which research staff think about their CPD as this amount is under represented in CEDARS and other staff survey returns. More work is required | Carry 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 endeavours | Review how many PIs are undertaking training offered. Establish new process to remind PIs if necessary. | All new PIs undertake training within 6 months of being awarded funding. | Jun-22 | DCAD/HR/RIS | We have greatly extended the number of opportunities for leadership training across the university at all levels. We continue to monitor take up new Oracle Learning system will help quantify take up by PIs | Carry forward |
| PCDM5 | Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development | 1) Promote the research project leadership programme to PIs | 1) >15 PIs/annum complete the leadership training. | 2022 | DCAD/HR/RIS/RSA/C&E | 1) Training frameworks in place and ad hoc training publicised via various appropriate forums. BoS engaged with initiative. 07/21 new RPL cohort launched | 10 Carry forward |
| **Researchers must:** | | | | | | | |
| PCDR1 | Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year | 1) Record development and training undertaken and report in an annual appraisal. 2) Provide an online development needs analysis and portfolio tool based on the RDF to record career development. | 1) 50% of staff undertaking 10 days professional development per annum (CEDARS 2021) 2) 20% of Research Staff engaging with DNA. | 01/01/2021 and July 2022 | DCAD/HR | 1) The 50% CPD goal remains ambitious further structural and policy changes required to make this achievable -CEDARS 2021 indicates that 13.4% of staff have engaged in 10 days or more training this is in line with sector averages. 2) Staff engagement with the DNA has been poor | 1) carry 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 | 1) Raise awareness of mentoring process and policy. 2) Research staff mentoring themed training event. Development and dissemination of best practice case studies. | 1) Disseminate across available marketing routes 2) launch new mentoring scheme for all staff | Jan-21 | HR / DCAD | 1) Zero uptake among staff of these opportunities. Further marketing and reassessment required. - 06/21 work insights programme developed for launch 09/21 with 12 opportunities internally and externally. New mentoring initiative for all staff to be launched in 23 2) put on hold | 1) and 2) carry forward |
| PCDR3 | Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications | 1) Record development and training undertaken and report in an annual appraisal. 2) Provide an online development needs analysis and portfolio tool based on the RDF to record career development. | 1 and 2) CEDARS >70% have a clear career development plan. CEDARS >70% maintain a formal record of your continuing professional development activities 20% of research staff engage with the E-portfolio. | Oct-20 | DCAD | As mentioned elsewhere staff engagement with DNA tool has been poor. We will re-launch later in 2022. CEDARS 2021 shows that 61% of staff maintain a formal record of your continuing professional development activities and 48% have a clear career development plan. | 1) carry forward 2) complete - carry forward and relaunch |
| PCDR4 | Positively engage in career development reviews with their managers | Promote and communicate progression and promotion process via research staff events, webpages and email. The online development needs analysis will aim to promote career development discussions. | Increase in satisfaction with appraisal process from 61% (CROS 2019) to 80% (CEDARS 2021) | | HR | Considerable improvements made in appraisal satisfaction - however target not met. New CV requirements for progression and promotion with section on career development to be lauched in late 22 | 1) carry forward |
| PCDR5 | Seek out, and engage with, opportunities to develop their research identity and broader leadership skills | 1) Development of reverse mentoring opportunities with the research project leadership programme | 1) Recruit 10 RS/year as mentors. | Jan-21 | DCAD | 1) We have recruited 5 RC/year mentors | 1) carry forward |
| PCDR6 | Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation | 1) Develop potential placement opportunities within the institution | 1) 2 staff per annum undertake a placement | Jul-21 | HR/C&E/DCAD | 1) 06/21 work insights programme developed for launch 09/21 with 12 opportunities internally and externally. Zero uptake among staff of these opportunities. Further marketing and reassessment required. | 1) carry forward |

* 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.