

# HREiR Action plan (January 2021 - January 2023)

<b>Institution name:</b>	Swansea University			
<b>Cohort number:</b>	2	<b>Audience (beneficiaries of the action plan)</b>	<b>Number of</b>	<b>Comments</b>
<b>Date of submission:</b>	29-Jan-21	Research staff	479 (accurate as of Jan 2021)	e.g. postdoctoral researchers, research fellows, research officers, research assistants.
<b>Institutional context:</b>	Swansea University is a research-intensive university. In the latest Research Excellence Framework 2021 assessment, 86% of the University's overall research was rated as world-leading or internationally excellent - up from 80% in the previous REF exercise in 2014, and 91% of our research environment is classed as world-leading and internationally excellent. We employ 4,866 staff, of whom 479 are research-only. Our Pro Vice Chancellor for Research, Innovation & Impact, Professor Helen Griffiths, has responsibility for delivering our research and innovation sub-strategy. Professor Griffiths is supported by three Deputy Pro Vice Chancellors, one of whom, is Professor Biagio Lucini, the Deputy Pro Vice Chancellor for Research Culture. Professor Lucini chairs the Research Staff Working Group, which oversees the development and monitoring of the Concordat Action Plan.			

Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update	Outcome
<b>Environment and Culture</b>						
<b>Institutions must:</b>						
EC1	Ensure that all relevant staff are aware of the Concordat	a) Communicate the Concordat to all relevant staff and produce an annual report of progress against the Concordat Action Plan for; University Senior Leadership Team, Council, Senate and staff and include on University webpages b) Relevant staff engage with CEDARS c) Continue to include information about the Concordat in welcome email to new research staff	a, c) 60% of staff are aware of the Research Concordat (43%, CROS 2019) and the HR EIR Award (50% CROS, 2019). b) 40% research staff engage with CEDARS (compared to 29%, CROS 2019).	a, c) May 2021 b) May 2021	a-c) PVC(R&I), Lead for L&D, Directors of Research, L&D Manager  Our welcome email to new research staff continues to include clear signposting to the Concordat. CEDARS (Culture, Employment and Development of Academic Researchers Survey) was implemented between 1 and 30 June 2021 and indicated that 61% Swansea researchers completing the survey have heard of the Concordat to support the career development of researchers, compared to 55% of the national benchmark group. b) CEDARS (189 responses, 71 from research staff; representing 15% of the researcher community).	Carried forward
EC2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	a) Launch of new online product 'managers hub' containing clear and consistent information and messages to managers and links to relevant policies and procedures. b) All policies and procedures are available to colleagues via the University's Intranet Pages c) All policy reviews or developments require a formal EQIA to be undertaken and submitted as part of the formal approval process. d) Continue to ensure all policy reviews or developments are formally consulted on with the Campus Unions and approved by the Senior Leadership Team, including the Pro-Vice-Chancellor (Research & Innovation), Executive Dean PVC's, representing Faculties.	a-d) Equitable and transparent policies in place and communicated via the 'Managers hub', University intranet pages.	a) March 2021 b - d) March 2022	a) Lead for L&D b-d) Head of Policy and Compliance  a,b) We have launched a new online product, the 'managers hub' to support managers of people in January 2021. To the 30 September 2022, the Managers Hub had 6,827 unique page views. The hub signposts to relevant policies, procedures and training. Line manager redundancy training has been implemented for all managers of staff at risk of redundancy to ensure line managers are clear on how they should effectively manage within the University framework and also in line with our statutory duty. b) Policies are transparent and available on our staff intranet pages to ensure clarity, consistency and accessibility (e.g. fixed term, recruitment, research integrity) c,d) There is a robust process for developing and reviewing policies; completion of EQIA forms part of the formal policy review process, ( <a href="https://staff.swansea.ac.uk/human-resources/equal-opportunities/whatwedo/eo-documents/equality-impact-assessment/">https://staff.swansea.ac.uk/human-resources/equal-opportunities/whatwedo/eo-documents/equality-impact-assessment/</a> ) coupled with consultation with relevant stakeholders and Campus Unions.	No further action
EC3	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	a) Examine the recommendations of the Health and Wellbeing Strategy and identify where the recommendations can be integrated into the Concordat Action Plan b) A member of the RSWG will be invited to represent the views of research staff and be the Wellbeing Champion for researchers on the Health and Wellbeing network / board. c) Continue to include information about health and wellbeing support in the University induction d) Continue to ask staff about their wellbeing via the University wellbeing 'pulse' survey and progress actions as a result of this. e) Review the Dignity at work and study policy in line with the University Strategic Equality Plan	a) Recommendations on the Health and Wellbeing Strategy are aligned with the Concordat Action Plan. b) RSWG representative represents the views of research staff on the Health and Wellbeing Board. c) 60% of research staff believe that Swansea actively promotes the importance of health and wellbeing amongst staff (53% CROS, 2019) and 85% of research staff believe their institution is committed to equality and diversity (comparison group 82%; CROS, 2019). d) Staff perception of their own wellbeing established by the University 'pulse' survey, actions developed and results communicated. e) research staff and students demonstrate an increased awareness of how to report bullying and harassment as measured by the University Athena Swan Survey (March 2022).	a) - d) Sept 2021 e) May 2022	a - b, d) Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing, and Health and Wellbeing Network Chair c) L&D Manager e) Head of Equality  a,c) Our integrated Wellbeing and Sustainability Strategy continues to be implemented using a whole university approach, and is designed to promote a thriving and flourishing community of staff, students and visitors. Health and wellbeing support is integrated into staff induction (15 seminars held between 1st January 2021 and 30 September 2022 with a total of 150 research staff trained; 90% of total new research starters), and is explicit in relevant policies and actions (e.g. the University menopause policy; <a href="https://staff.swansea.ac.uk/media/Menopause-in-the-Workplace-Policy-for-Managers-and-Supervisors.pdf">https://staff.swansea.ac.uk/media/Menopause-in-the-Workplace-Policy-for-Managers-and-Supervisors.pdf</a> ) b) There continues to be researcher representation and representation from the RSWG on the University Health and Wellbeing Network, and our dedicated wellbeing group on Yammer boasts 599 members. c,d) We have continued to ask our staff about wellbeing and workload as part of the University workload survey (Launched December 2021; 1532 staff responses, 62 from research staff) and CEDARS (72% of research staff respondents (n=71) agree that Swansea actively promotes the importance of good mental health and wellbeing; CEDARS 2021) and have implemented a whole University response 'Ymlaen' ( <a href="https://staff.swansea.ac.uk/professional-services/vco/university-governance/ymlaen-programme/">https://staff.swansea.ac.uk/professional-services/vco/university-governance/ymlaen-programme/</a> ) to enable our staff to flourish through mitigating increased workload caused by staff vacancies and reducing bureaucracy.) 83% research staff believe their institution actively promotes equality and diversity (CEDARS), compared to 69% of the national benchmark group. e) The Dignity at Work and Study Policy has been reviewed to improve awareness of LGBT+ and Race related equality in the workplace. We will continue to keep the policy under review and respond to feedback in relation to its effectiveness. In the 2022 culture survey there were 40 researcher responses. 62.5% knew how to report bullying and harassment, 22.5% didn't know and 15% either did not give a response or weren't sure. Due to changes in our 2022 survey we have not been able to make a direct comparison to responses contained in the 2020, so we will utilise this data as a benchmark to monitor awareness of how to report bullying and harassment.	Carried forward

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ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and inclusivity, wellbeing and mental health.	<p>a) All research managers can access Unconscious Bias and EDI training and accurate training MI informs progress against this outcome.</p> <p>b) Continue to invest and provide access to 'Togetherall' as a service to help provide specific support around existing issues and offer positive advice on how to help prevent the onset of health and wellbeing problems.</p> <p>c) Communicate health and wellbeing support to managers and all staff through the University webpages, Yammer and in messages through University SLT.</p> <p>d) Line Manager training is reviewed and health and wellbeing included.</p>	<p>a) 100% completion of Unconscious Bias and EDI training.</p> <p>b) Togetherall service in place.</p> <p>c) Health and wellbeing support is communicated through the University webpages, Yammer and from University SLT.</p> <p>d) Health and wellbeing integrated into line manager training.</p>	<p>a) Dec 2021</p> <p>b, c) March 2021, 2022</p> <p>d) March 2022</p>	<p>a) PVC(R&amp;I), Executive Deans</p> <p>b) Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing</p> <p>c) Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing</p> <p>d) Lead L&amp;D</p>	<p>a) All research managers are asked to complete the University Unconscious Bias (UB) and Equality, Diversity and Inclusion (EDI) training. Between January 2021 and January 2022, 432 staff completed UB and 587 EDI. To date, a total of 103 (44%) Research Managers have completed UB and 158 (68%) have completed EDI.</p> <p>b) The University continues to invest and provide access for staff and students to 'Togetherall'. Information webinars were run in September 2021 to inform about the service and benefits of this online mental health support platform. Between October 2020 and Jan 2022, 5,843 logins were registered, with new registrations from 677 students and 60 staff.</p> <p>c) There has been a comprehensive review and extensive development of webpages for H&amp;W, bringing together services, support and guidance for staff such as wellbeing services, counselling and osteopathy, occupational health; access to mental health first aiders for anxiety, depression, stress and grief; family friendly and flexible working arrangements.</p> <p>d) The University management and leadership development offer is currently under development and modules specifically promoting health and wellbeing are being designed. All line managers have been provided with access to the LinkedIn learning platform; 571 licences have been activated to date with 'resilience' and 'leadership' the top 5 skills viewed in the last 3 months. EDI content has been curated on the LinkedIn Learning platform to support increased awareness of equality, diversity and inclusivity for managers of researchers.</p>	Carried forward	
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	<p>a) Continue to maintain the University Research Integrity website with up to date code of practices and policies, dedicated contact for research misconduct and research integrity training.</p> <p>b) Include the Mandatory Research Integrity online training requirement in the Annual PDR to enable Research Managers to highlight the importance of acting in accordance with the highest standards of research integrity.</p> <p>c) Review the University Award Management System (AMS) to explore linking the Research Ethics Section to the Concordat to support Research Integrity, University Research Integrity webpages, and the Research Integrity Policy Framework.</p>	<p>a - c) 100% completion of research integrity training with 60% of staff stating they are aware of the Concordat to Support Research Integrity, (CEDARS) (54% CROS, 2019).</p>	<p>a) May 2021</p> <p>b) c) Dec 2022</p>	<p>a - c) Research Integrity Manager</p>	<p>a,b) 61% of research staff have an awareness of the Concordat to Support RI, and similarly 61% agree that Swansea actively promotes the highest standards of research integrity and conduct (CEDARS, 2021; n=71). Research integrity and equality, diversity and inclusion continue to be the most frequently undertaken training for research managers (75% and 83% respectively, CEDARS 2021 (please note - sample size of respondents in this instance was small, n=12).</p> <p>Our Research Integrity webpages clearly signposts relevant policies and processes and provide a dedicated contact for Research Misconduct and Research Integrity training. The Research Integrity Policy Framework was revised in 2021-22 to reflect changes to legislation, regulatory requirements, and research practices. The Policy Framework incorporates the recently updated University Policy on Public Disclosure (Whistleblowing). Research Integrity Training completion figures stand at 46.03% with 795 staff having completed the training, and research integrity training is included as training available to all staff to help support their growth objectives as part of the annual PDR drop down list.</p> <p>c) Our PI's must answer a series of mandatory research integrity questions prior to submitting their application for internal university approval, each of the ethics questions are tied to an automated email alert to the relevant person(s) looking at the specific ethic in question.</p>	Carried forward	
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.	<p>a) RSWG and RIIC to consider the results of CEDARS to track progress and develop appropriate actions.</p> <p>b) Continue to ensure research staff and ECR representation at RIIC and research staff representation at the University Self Assessment Team (USAT) to monitor and review progress against the University Concordat and Athena Swan Action plans.</p> <p>c) A member of the RSWG will be invited to represent the views of research staff and be the Wellbeing Champion for researchers on the Health and Wellbeing network / board.</p>	<p>a) The % of staff that believe that Swansea promotes the highest standards of research integrity and conduct, and the % of staff feel that their contributions to institutional policy and decision making is recognised at Swansea is established via CEDARS and used as a baseline to inform actions.</p> <p>b) Research staff and ECR's are represented at RIIC and USAT.</p> <p>c) Research staff are represented a RIIC, USAT and Health and Wellbeing network / board.</p>	<p>a) Sept 2021</p> <p>b) March 2021, 2022</p> <p>c) Sept 2021</p>	<p>a) PVC(R&amp;I), Lead for L&amp;D, Directors of Research</p> <p>b) c) PVC(R&amp;I), Head of Equality, Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing, and Health and Wellbeing Network Chair</p>	<p>a) 61% research staff agree that Swansea actively promotes the highest standards of research integrity and conduct (CEDARS, 2021; n=71), however 25% researchers feel that their contributions to institutional policy and decision making is recognised at Swansea (compared to 30% benchmark group; CEDARS 2021).</p> <p>The University has subsequently appointed a new Deputy PVC Research Culture, responsible for providing academic leadership in implementing the Concordat to support the career development of researchers. To support the Deputy PVC a new role of Research Culture Manager has also been recruited to (October 2022). The postholder will work with colleagues from HR, Researchers and Technicians to put in place a research culture plan, an Institutional statement on expected and unacceptable research practices, and a comprehensive action plan for improvement in researcher working conditions and career development opportunities.</p> <p>b,c) Research staff representation has been established for all the University committees and working groups. There continues to be researcher representation at the following University/Faculty Committees:</p> <p>RIIC - 1</p> <p>RSWG - 3</p> <p>USAT - 1</p> <p>H&amp;W network - 3</p> <p>Faculty Research Committees - to be agreed</p>	Carried forward	
<b>Funders must:</b>								
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies							
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers							
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions							
<b>Managers of researchers must:</b>								
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusivity, and put this into practice in their work.	<p>a) All managers undertake EDI and Unconscious Bias training.</p>	<p>a) 100% completion of Unconscious Bias and EDI training</p>	<p>a) Dec 2021</p>	<p>a) PVC(R&amp;I), Executive Deans</p>	<p>All research managers are asked to complete the University Unconscious Bias (UB) and Equality, Diversity and Inclusion (EDI) training. Between 1 January 2021 and 30 September 2022, 670 new starters completed UB (100% of total) and 683 EDI (87% of total)</p>	Carried forward	

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ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct.	a) All managers undertake Research Integrity training. b) All managers conduct a professional Development Review with eligible research staff, including the expectation that they will complete research integrity training.	a) All research managers complete research integrity training (100%) with 60% of staff stating they are aware of the Concordat to Support Research Integrity, (CEDARS) (54% CROS, 2019). b) 99% completion of annual PDR.	a) Dec 2022 b) Nov 2021/22	a) Research Integrity Manager b) Transformational Lead Performance	a) 150 line managers of research staff have engaged with one or more modules of research integrity training between 1st January 2021 and 30th September 2022 (71%). 61% of research staff state they have an awareness of the Concordat to Support RI (CEDARS, 2021; n=71). Research integrity and equality, diversity and inclusion continue to be cited as the most frequently undertaken training for research managers (75% and 83% respectively, CEDARS 2021 (please note - sample size of respondents in this instance was small, n=12). b) The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff)	Carried forward	
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.	a) Promote a healthy work environment through clear and consistent messages about wellbeing and mental health communicated via the University wellbeing pages and at induction.	a) 60% of research staff believe that Swansea actively promotes the importance of health and wellbeing amongst staff (53% CROS, 2019) and 85% of research staff believe their institution is committed to equality and diversity (comparison group 82%; CROS, 2019). b) Research staff and students demonstrate an increased awareness of how to report bullying and harassment as measured by the University Athena Swan Survey (March 2022).	a) May 2021 b) March 2022	a) L&D Manager, Lead for L&D, Deputy PVC for Physical Activity, Sport, Health and Wellbeing b) Head of Equality	a) 72 % of research staff believe Swansea actively promoted H&W (CEDARS, 2021) compared to 69% benchmark group and 83% research staff believe Swansea is committed to E&D (CEDARS, 2021) compared to 69% in the benchmark group.  b) The Dignity at Work and Study Policy is the mechanism for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues. (i) The policy sets out the Universities zero tolerance approach to bullying and harassment and commitment to provide a working and learning environment which will enable staff and students to fulfil their potential, (ii) The policy provides examples of bullying and harassment provides information on what to do if a staff or student feels they are being bullied or harassed, (iii) The University has a network of trained harassment advisors available for staff to approach for advice and guidance and the policy provides informal options for dealing with bullying and harassment but formal procedures (Grievance Procedure) are also available if informal options do not resolve the issue.  The policy forms part of an employee's induction and the equality team conduct training sessions on dignity at work and study at least twice a year for all staff to attend and use this to raise awareness of the policy and support mechanisms. In addition, the University has signed up to the victim support hate crime charter and training sessions have been arranged for all staff to understand more about hate crimes and how to report a hate crime ( <a href="https://staff.swansea.ac.uk/professional-services/student-services/staff-supporting-student-welfare/welfare-staff-advice-pages/bullying-harassment-student-support/">https://staff.swansea.ac.uk/professional-services/student-services/staff-supporting-student-welfare/welfare-staff-advice-pages/bullying-harassment-student-support/</a> ) In the 2022 culture survey there were 40 researcher responses. 62.5% knew how to report bullying and harassment, 22.5 didn't know and 15% either did not give a response or weren't sure. Due to changes in our 2022 survey, we will use this data as a benchmark to monitor and increase awareness of how to report bullying and harassment.	Ongoing priority	
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers.	a) Ensure research staff are aware of flexible working options and the flexible working policy is available on our staff intranet pages.	a) Use CEDARS to establish % of research staff that believe that Swansea treats them fairly in terms of requests for flexible working (71% CROS, 2019) and develop appropriate actions.	a) May 2021	a) L&D Manager, Head of Equality	a) 76 % of research staff believe Swansea treats them fairly in terms of flexible working (CEDARS 2021; compared to 71% CROS, 2019). Our flexible working policy is available on our staff intranet pages and sets out how requests for flexible working can be made. Following consultation and feedback post pandemic, our agile working policy is currently being revised to support a hybrid working environment.	Ongoing priority	
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.	a) Managers of research staff continue to engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.	a) Research manager/PI representation on RIIC, USAT and Health and Wellbeing network / board.	a) June 2022	a) PVC(R&I), Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing	a) The membership of the Committee for Research, Impact and Innovation continues to include research staff managers/PI's, in addition to the following roles: PVC R&I (Chair), Deputy PVC Research Culture (also Chair of the RSWG), Deputy Pro-Vice Chancellor Post Graduate Research, Associate Deans, Research Innovation and Impact and nominated representative from the Research Staff Working Group (ToR). The University Health and Wellbeing Board and network has delegated responsibility for the delivery of policy and strategy, and of operations and activities that promote, prevent and provide health and wellbeing opportunities for staff respectively. The Deputy PVC for Physical Activity, Sport, Health and Wellbeing provides leadership to both groups.	Ongoing priority	
<b>Researchers must:</b>								
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) All new researchers complete the EDI and Unconscious Bias training. b) All new research staff should attend the University Induction Seminar or have access to our Induction video. c) Research staff engage with University / Faculty research events, e.g. interdisciplinary sandpit events.	a) 100% completion of EDI and UB training for new research staff. b) 100% new research staff attend the University Induction Seminar. c) Research staff engagement captured and reported.	a) Dec 2021 b) March 2021 c) March 2021, 2022	a) PVC(R&I), Executive Deans b) L&D Manager c) Communications Officer (REIS)	a) 81% completion of EDI and 100% UB training for new researchers (December 2021 - July 2022). b) 100% of new research staff are invited to the University induction seminar via a bespoke welcome email for research staff. Between 1 January 2021 and 30 September 2022, 587 new colleagues attended induction or were provided access to our induction video, 150 of these were research staff (90 % of total new research staff starters). Feedback from researchers indicates 92% were satisfied or highly satisfied with the University induction seminar. (35 out of the 38 research staff who completed evaluation) c) Research staff attendance at University development events is recorded, monitored and communicated via our annual progress report and RIIC. Between 1 January 2021 and 30 September 2022, there were 787 completions by research staff across all University training and development events.	Ongoing priority	
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusivity.	a) All new researchers complete the EDI and Unconscious Bias training. b) All researchers complete the Research integrity training.	a) 100% completion of EDI and UB training for new researchers. b) 100% completion of research integrity training with 60% of staff stating they are aware of the Concordat to Support Research Integrity, (CEDARS) (54% CROS, 2019).	a) Dec 2021 b) Dec 2022	a) PVC(R&I), Executive Deans b) Research Integrity Manager	a) 87% completion of EDI and 100% UB training for new starters (January 2021 - September 2022). b) Across the research staff community, 221 researchers have completed all 5 required modules of research integrity training (45% completion), with 61% of staff stating they are aware of the Concordat to Support Research Integrity, (CEDARS, 2021, n=71) (54% CROS, 2019).	Ongoing priority	
ECR3	Take positive action towards maintaining their wellbeing and mental health.	a) Researchers will be sent information regarding the range of support provided to them in this area and information about wellbeing support is included in University Induction. b) Researchers will be encouraged to participate in the Connect Project, aimed at promoting positive mental health in staff and students.	a) b) 70% of researchers take positive action to maintain wellbeing and mental health (CEDARS).	a) May 2021	a) L&D Manager, Deputy PVC for Physical Activity, Sport, Health and Wellbeing b) Connect Project Coordinator and PGR Staff Connectors	a) Researchers are informed on the range of Health and Wellbeing support available to them and information about wellbeing support is forms an important part of the University Induction. 77% of researchers at Swansea state they take positive action to maintain wellbeing and mental health (CEDARS, 2021). b) The Connect Project has enabled free access to the Feeling Good App which offers positive mental health training audio programmes, and there are a suite of 'wellbeing events' promoted to all staff via the University events page, including 'managing your menopause', 'let's talk about bereavement'.	Ongoing priority	
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.	a) All new researchers complete the EDI and Unconscious Bias training and are aware of the expected standards of behaviour. b) All researchers complete the Research Integrity training and are aware of expected standards of research conduct.	a) 100% completion of EDI and UB training for all new researchers. b) 100% completion of research integrity training	a) Dec 2021b) Dec 2022	a) PVC(R&I), Executive Deans b) Research Integrity Manager	a) Completion rates for EDI and Unconscious Bias remain high for new starters, but fall short of our 100% target. Completions for new starters were 87% for EDI and 100% for UB (January 2021 - September 2022). b) Across the research staff community, 221 researchers have completed all 5 required modules of research integrity training (45% completion).	Ongoing priority	
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.	a) Researchers contribute to a positive research environment through representation at relevant University/Faculty committees / working groups b) Researchers respond to relevant surveys, e.g. CEDARS, to ensure that a broad range of views are expressed.	a) Researcher representation on RSWG, RIIC, USAT and Health and Wellbeing network / board. b) 40% response rate in CEDARS 2021.	a) March 2021, 2022 b) May 2021	a) b) L&D Manager, PVC(R&I), Head of Equality, Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing, and Health and Wellbeing Network Chair	a) There continues to be researcher representation at the following University/Faculty Committees: RIIC RSWG USAT H&W network Faculty Research Committees  b) Researchers continued to offer their views on the environment and culture at Swansea through engagement with the University workload survey (Launched December 2021; 1532 staff responses, 62 from research staff) and CEDARS (179 responses, 71 from research staff; representing 15% of the researcher community).	Ongoing priority	

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E11	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices.	Continue to ensure a transparent, merit-based, fair and inclusive recruitment process and practice.	a) The number of research staff that agree or strongly agree that their recruitment, selection and appointment at Swansea is greater than the benchmark group (CEDARS) (compared to 60%, CROS 2019).	a) May 2021	a) Head of HR Transformation and Performance	CEDARS (June 2021) showed the number of research staff that agree or strongly agree that their recruitment, selection and appointment at Swansea was fair, inclusive, transparent and merit-based has increased since 2019 to 81% (equivalent to the UK Benchmark group)	Carried forward
E12	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position.	a) Continue to evaluate research staff experience at every University Induction. b) Continue to provide access to short, online induction events every month for remote working and part-time researchers. c) Continue to provide bespoke Welcome email for all new research staff.	a) 80% of researchers are satisfied or very satisfied with the quality of the University induction. b) All eligible new research staff complete the University induction within the first month of employment.	a) February 2021 b) January 2022	a) b) L&D Manager	a,b) Between 1 January 2021 and 30 September 2022, 587 new colleagues attended induction or were provided access to our induction video, 150 of these were research staff (90 % of total new research staff starters) Feedback from researchers indicates 92% were satisfied or highly satisfied with the University induction seminar (35 out of the 38 research staff who completed evaluation). Via colleagues in REIS, the University is currently scoping requirements for a bespoke researcher induction for launch in 2023.	Carried forward
E13	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) Establish working group to review recognition, reward and promotion pathways in order to understand current situation and agree in partnership with PVC-R what outcomes we will develop and implement b) Ensure that research staff promotion is clearly communicated via our webpages c) Establish baseline of researchers that believe promotion pathways and processes at Swansea are clear, fair and inclusive (CEDARS)	a) Working group established and actions agreed b) Research staff are clear on the promotion criteria and apply c) Baseline of researchers that believe promotion pathways and processes at Swansea are clear, fair and inclusive is established via CEDARS	a) January 2022 b) February 2021 c) May 2021	a - c) Head of HR Transformation and Performance, Head of Employment Relations and Reward	a,c) Feedback from CEDARS (June 2021) and our RSWG has informed and enhanced research staff promotion. 28% research staff agreed or strongly agreed that the promotion pathways and processes at Swansea were clear compared to 36% UK benchmark group. In response to feedback, and in partnership with PVC R&I, researcher promotion for the first time has been aligned to the PDR cycle, mirroring timeframes with our academic community. b) A University promotion workshop was delivered in early November 2021 to 51 colleagues, clarifying the promotion process for research staff and research staff managers. In 2021/22, there were 26 applications for promotion from research staff, 11 of which were successful (42%). This compares to 8 successful promotions in 20/21 from a total of 28 applications (29%). a,c) The Research Staff Promotion Committee has been revised to include the PVC for Research and Innovation and the 3 Faculty Associate Deans for Research. All unsuccessful candidates receive feedback on their applications from the Associate Deans of Research. Work will continue this year to review the promotion criteria based on feedback to date. All eligible researchers have opportunity to discuss career development and objectives in their annual PDR. The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff)	Carried forward
E14	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent.	a) review line management training for managers of researchers, heads of department and agree in partnership with HR Director and PVC(R&I) what outcomes we will develop and implement. b) Between 2021 and 2023 ensure Project Management training courses are available and being delivered to staff, encouraging research staff to undertake them when they are advertised. c) Engage all new PGR supervisors in supervision training and review and evaluate the programme. Monitor engagement with the suite of four training modules specifically to support PGR supervisors. All new to supervision or new to supervising at Swansea complete 'PGR Supervision at Swansea University.'	a) Line manager a training for managers of researchers and Heads of Department is reviewed and revised training plan established. b) A baseline of the number of research staff undertaking internal Project Management training is established to determine engagement. c) 100% new to Swansea PGR supervisors receive the training in a timely manner.	a) c) March 2022 b) March 2021, March 2022	a) Lead L&D b) Associate Director PSPU, Strategic Portfolio Management Office (SPMO) c) Head of PGR Office	a) The University has reviewed and invested in leadership and management training for line managers, informed by feedback from Faculties, Professional Services Units and the PVC (R&I). Phase 1 commenced August 2022 and consists of (i) an executive coaching offer (26 leaders, including managers of researchers), (ii) optional suite of modules including academic and research staff probation, meaningful conversations in PDR, interview essentials and how to have challenging conversations (27 modules delivered to date (November 2022) with 22 academic and 7 research staff manager completions), (iii) access to a library of online resources via LinkedIn learning (680 licenses activated). (iii) access to a library of online resources via LinkedIn learning (571 licenses activated). b) The number of project management courses delivered between 1 September 2020- 30 August 21 was (8) and 1 September 2021 – 30 August 2022 was (8). A total of 25 research staff attended these sessions. In recognition of the commitment to research staff, a bespoke 1-2-1 service has been offered to any researcher who has been unable to attend the session. c) All new PGR supervisors are informed of the requirement to attend the required course 'PGR Supervision at Swansea University'. The course was delivered 10 times between January 2021 and September 2022 and continues to be scheduled once every 2 months. 118 PGR supervisors attended during this period. The PGR office is working with Faculties to accurately identify new PGR supervisors following best practice in FMHLS where the PGR Support Team ensure all supervisors have completed training prior to supervising. A new working group led by the PGR office will review current provision and further support and development needs for PGR supervisors across the university, taking account of best practice across the sector, to make recommendations by the end of 22-23. The PGR Office has also invested in an online, asynchronous course 'Supervising Doctoral Studies' created by Epigeum, launched in October 2022 which will provide further development for supervisors	No further action
E15	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation.	a) Continue to ensure research staff engagement in annual and interim PDR's.	a) 99% PDR and interim PDR completion for all staff including research staff.	September- November 2021/22 (Annual Review) March - May 2021/22 (Interim Review)	a) Transformational Lead Performance	a) The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'	Ongoing priority
E16	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.	a) Establish working group to review fixed term and redeployment MI for research staff by protected characteristic in order to understand scale and themes, and based on this agree what outcomes we will develop and implement.	a) Working group Implemented and actions agreed.	a) January 2022	a) Head of HR Business Partnering, Head of HR Process Improvement, Head of HR Transformation and Performance	a) We have implemented new fixed term and redundancy ordinance, policies and processes following engagement with staff groups and Trade Union colleagues. University MI has been developed to monitor fixed term data for research staff by protected characteristic in order to understand scale and themes. We are updating our redeployment procedures where research staff that would potentially be at risk will be eligible for access to redeployment options at least 5 months before contract end, where this will ensure research staff would have a longer period to view redeployment options. This is in conjunction with reviewing and identifying suitable alternative employment, to avoid redundancy scenario's for eligible staff, and grow and aid the retention of research talent across the University.	Carried forward
E17	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.	a) Continue to review membership of University and Faculty working groups to ensure researcher representation on all research focussed committees.	a) Researchers are key stakeholders and engage with relevant University decision making at RICC, USAT and Health and Wellbeing network / board.	a) March 2021, 2022	a) PVC(R&I), Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing	a) There continues to be researcher representation at the following University/Faculty Committees: RICC RSWG USAT H&W network Faculty Research Committees	No further action
Funders must:							
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies						

## HREiR Action plan (January 2021 - January 2023)

EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security						
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression						
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels						
<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.	<p>a) Managers are aware of the relevant training and development opportunities available to them, undertaking these as appropriate.</p> <p>b) Formal training completed is captured using the University People Records System (ABW) and this information is shared annually with Faculty Leadership Teams and at RIIC</p>	<p>a) Managers state that they are confident in their ability to be inclusive, equitable and transparent in recruitment practices (comparison group 82% PIRLS, 2019) and manage the appraisal process effectively (CEDARS),(comparison group 70% PIRLS,2019).</p> <p>b) Training completed is captured and reviewed annually with Faculty Leadership Teams and at RIIC.</p>	<p>a) May 2021</p> <p>b) 12March 2022</p>	<p>a) b)Lead L&amp;D, L&amp;D Manager</p>	<p>a) Managers state that they are confident in their ability to be inclusive, equitable and transparent in recruitment practices (90% CEDARS, 2021; comparison group 82% PIRLS, 2019) and manage the appraisal process effectively (83% CEDARS, 2021; comparison group 70% PIRLS,2019).</p> <p>b) Training completed is captured using the University People Records System (ABW) and high level engagement shared via the annual Concordat Progress report (March 2022) with the University Senior Leadership Team and at RIIC.</p>	No further action
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.	<p>a) Raise awareness amongst PIs of the opportunity to include in their grant proposals the appropriate funding to support the promotion of the research staff, where appropriate and eligible, working on the grant.</p>	<p>a) Promotion criteria included at grant writing stage; and</p> <p>b) Number of research staff applying for promotion monitored and reviewed by gender, race and grade.</p>	<p>a) b) January 2022</p>	<p>a) Head of Transformation and Performance, Associate Director REIS</p> <p>b) Head of Transformation and Performance</p>	<p>a) Bid writers in REIS raise awareness for costing appropriate funding to support the promotion of research staff.</p> <p>b) In 2021/22, there were 26 applications for promotion from research staff, 11 of which were successful (42%). This compares to 8 successful promotions in 20/21 from a total of 28 applications (29%). Decision makers on promotion panels are required to complete unconscious bias and EDI training and the numbers of applicants and success rates are reviewed by gender, race and grade.</p>	Carried forward
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers.	<p>a) Managers must ensure that they have completed Unconscious Bias and EDI training to ensure a fair recruitment process for researchers.</p> <p>b) Managers are familiar with the research staff promotion criteria in order to advise researchers regarding career progression and promotion.</p>	<p>a) 100% completion of Unconscious Bias and EDI training.</p> <p>b) Number of research staff applying for promotion is monitored and reviewed by gender, race and grade.</p>	<p>a) December 2021</p> <p>b) September 2021</p>	<p>a)Head of Equality</p> <p>b) Head of Transformation and Performance</p>	<p>a)All research managers are asked to complete the University Unconscious Bias (UB) and Equality, Diversity and Inclusion (EDI) training. Between January 2021 and January 2022 432 staff completed UB and 587 EDI. To date, a total of 103 (44%) Research Managers have completed UB and 158 (68%) have completed EDI.</p> <p>b) According to CEDARS, 2021, 63% research staff feel supported from their line managers in working towards promotion opportunities (compared to 64% of benchmark group), and in 2021/22, there were 26 applications for promotion from research staff, 11 of which were successful (42%). This compares to 8 successful promotions in 20/21 from a total of 28 applications (29%). We continue to monitor and review the number of research staff applying for promotion by gender, race and grade.</p>	Carried forward
EM4	Actively engage in regular constructive performance management with their researchers.	<p>a) Research managers have professional development discussions and reviews at least twice a year.</p> <p>b) Scope a feedback mechanism that would include research staff not currently included in 360 or professional services values feedback.</p> <p>c) PIs / research managers are aware of the development opportunities and resources available for staff to develop their skills and knowledge.</p> <p>d) 'Managers Hub' resource in place to support University managers.</p>	<p>a) Continue to achieve 99% engagement in the PDR process.</p> <p>b) Research staff participation in formal feedback mechanisms is reviewed and actions agreed as part of the University Transformational Programme Outcomes on 'one University' values and culture.</p> <p>c) Development opportunities and resources available for research staff to develop their skills and knowledge in place and communicated.</p> <p>d) University Managers are aware of, and use, the 'Managers Hub' resource.</p>	<p>a) September-November 2021/22 (Annual Review), March - May 2021/22 (Interim Review)</p> <p>b) March 2022</p> <p>c) March 2022</p> <p>d) July 2021</p>	<p>a) Head of Transformation and Performance</p> <p>b) L&amp;D Lead</p> <p>c) L&amp;D Manager, Communications Officer (REIS)</p> <p>d) Lead L&amp;D</p>	<p>a) Research managers have professional development discussions and reviews with their research staff (99% engagement at the annual review in 2021).</p> <p>b) Due to increased work pressures as a result of adapting to different ways of working following the COVID pandemic the University suspended 360 and values feedback in 2021 for all staff, to reduce workload. The University is currently developing a new set of organisational values, and 360 and values feedback is being reviewed as part of this work. A variety of mechanisms are used to make PIs / research managers and research staff aware of the development opportunities and resources available for staff to develop their skills and knowledge, including all-staff email, target communication via the Faculty Directors of Research.</p> <p>c) All University managers have access to a suite of resources to assist them with leadership and management at Swansea including the 'Managers Hub,' LinkedIn Learning, Research Staff Promotion Workshops, and leadership modules including 'managing probation successfully for academic and research staff', 'meaningful PDR's' and 'How to have challenging conversations.'</p> <p>d) To the 30 September 2022, the Managers Hub had 6,827 unique page views.</p>	Carried forward
EM5	Engage with opportunities to contribute to relevant policy development within their institution.	<p>a) Managers of researchers continue to engage and contribute to relevant policy development.</p>	<p>a) Research manager/PI representation on RIIC, USAT and Health and Wellbeing network / board.</p>	<p>a) May 2022</p>	<p>a) PVC(R&amp;I) Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing</p>	<p>There continues to be researcher representation at the following University/Faculty Committees:</p> <p>RIIC</p> <p>RSWG</p> <p>USAT</p> <p>H&amp;W network</p> <p>Faculty Research Committees</p>	No further action
<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.	<p>a) All research staff complete mandatory training and;</p> <p>b) Work within the requirements of their funder</p>	<p>a) All new research staff complete institutional induction and mandatory training, including research integrity.</p> <p>b) Specific Funding requirements advice provided by Research Development Officers (REIS) via College/School Research Hubs and the number of Researchers attend engagement events including Funder visits/presentations is monitored.</p>	<p>a) December 2022</p> <p>b) March 2022</p>	<p>a) L&amp;D Manager, Research Integrity Manager, Head of Equality, Information Compliance Manager, Head of Legal &amp; Compliance Services, Information Security Manager, Learning &amp; Development &amp; Information Manager (Health &amp; Safety)</p> <p>b) Deputy Head Research Development and Senior Research Development Bid Writer (REIS)</p>	<p>a) Our welcome email to new research staff continues to include clear signposting to the Concordat as well as the University requirements in terms of mandatory training. Research Integrity Training completion figures stand at 46.03% with 795 staff having completed the training, and research integrity training is included as training available to all staff to help support their growth objectives as part of the annual PDR drop down list. Across the research staff community, 221 researchers have completed all 5 required modules of research integrity training (45% completion).</p> <p>b) Funding requirements and advice continues to be provided by Research Development Officers via Faculty Research Hubs, and there have been 10 engagement events provided to researchers in relation to funding, including 'finding and applying for research funding, accessing industry-led funding, Horizon Europe funding, funder panel perspectives'</p>	No further action

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ER2	Understand their reporting obligations and responsibilities.	a) Reporting obligations and responsibilities are included in induction for research staff and on University research webpages.	a) Researchers are aware of their reporting obligations and all new research staff engage with induction.	a) June 2022	a) L&D manager	a) Researchers are aware of Swansea mechanisms to report research misconduct (78%), bullying and harassment (61%) and discrimination (65%) (CEDARS, 2021; benchmark group are 53, 57 and 58% respectively). Our welcome email to new research staff continues to include clear signposting to the Concordat as well as the University requirements in terms of mandatory training. Between 1 January 2021 and 30 September 2022, 587 new colleagues attended induction or were provided access to our induction video, 150 of these were research staff (90 % of total new research staff starters)	No further action
ER3	Positively engage with performance management discussions and reviews with their managers.	a) All research staff participate in a Professional Development Review with their managers.	a) 99% completion of annual and interim PDR's.	a) Annual PDR September 2021- November 2021; Interim PDR March 2021-May 2021	a) Transformational Lead Performance	a) The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'	No further action
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community.	a) Researchers contribute as key stakeholders through representation at relevant University/Faculty committees / working groups. b) Researchers respond to relevant surveys, e.g. CEDARS, to ensure that a broad range of views are expressed.	a) Researcher representation on RSWG, RIIC, USAT and Health and Wellbeing network / board. b) 40% response rate in CEDARS 2021.	a) March 2021, 2022 b) May 2021	a) L&D Manager, PVC(R&I), Head of Equality, Deputy Pro Vice Chancellor for Physical Activity, Sport, Health and Wellbeing, and Health and Wellbeing Network Chair b) L&D Manager	a) There continues to be researcher representation at the following University/Faculty Committees: RIIC, RSWG, USAT, H&W network, Faculty Research Committees b) Researchers continued to offer their views on the environment and culture at Swansea through engagement with the University workload survey (Launched December 2021; 1532 staff responses, 62 from research staff) and CEDARS 2021; (189 responses, 71 from research staff; representing 15% of the researcher community)	Ongoing Priority
<b>Professional and Career Development</b>							
<b>Institutions must:</b>							
PCD11	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.	a) Develop through consultation with relevant research groups and Faculties University Guidance regarding the implementation and the broad range of activity that can be included within 10 days professional development. b) Scope a process within the PDR system to capture what professional development research staff have accessed. c) Ensure managers of research staff are able to review the training record of their direct reports. d) Develop and implement a Faculty specific dashboard on completion of statutory and essential training by research staff by protected characteristic.	a) Produce a checklist of professional development activities to be used by line managers in their professional development discussions. b) Process within the PDR system is scoped in order to enable capture of what professional development research staff have engaged in, and recommendations for University implementation made. c) Managers of research staff are able to review the training record of their direct reports. d) Phase 1 and 2 of a Faculty People dashboard completed.	a) July 2021 b) January 2022 c) April 2021 d) March 2021, March 2022	a) L&D Manager b) Transformational Lead Performance c) L&D Manager d) Head of Transformation and Performance	a) Informed by discussions at the RSWG and via the Welsh Concordat Network, the range of professional development activities available to research staff are communicated via targeted communications and our webpages. To support line managers in having professional development discussions, training courses, or other support (e.g. mentoring) can be captured as part of the PDR, and guidance on how to view the training record of their direct reports is contained within the PDR.  Courses that are part of the University learning and development portfolio are available to select as part of the professional development review in order to support an agreed development objective. High level guidance on the types of activities that constitute professional activities are available through the researcher development webpages : <a href="https://www.swansea.ac.uk/research/research-environment/research-staff-development/">https://www.swansea.ac.uk/research/research-environment/research-staff-development/</a> , and there are plans to enhance this by incorporating professional development as part of our new suite of leadership and management modules in 2023. b) Guidance for Professional Development Reviews is available for all colleagues on our intranet, and via the PDR. The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.' c) During the professional review period (September – November 2022), we developed and implemented modules to support line manager colleagues; 'Meaningful conversations during PDR reviews' and 'how to have challenging conversations'. A total of 8 modules were run, attended by 27 academic and researcher line managers during this period: <a href="https://staff.swansea.ac.uk/human-resources/managers-hub/courses-for-line-managers/">https://staff.swansea.ac.uk/human-resources/managers-hub/courses-for-line-managers/</a> d) We are currently reviewing the suite of mandatory training for all University staff, and progression of a Faculty people dashboard has been suspended until this has been agreed.	Carried forward
PCD12	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers.	a) Develop supporting resources to enable managers to engage in meaningful development reviews	a) Resources are available for research managers. b) 99% colleagues engage in the PDR process.	a) Sept-2021 b) Sept-Nov 2021/22 (Annual Review), March - May 2021/22 (Interim Review)	a) L&D Manager b) Transformational Lead Performance	a) Guidance for Professional Development Reviews is available for all colleagues on our intranet, and via the PDR. The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.' During the professional review period (September – November 2022), we developed and implemented modules to support line manager colleagues; 'Meaningful conversations during PDR reviews' and 'How to have challenging conversations'. A total of 8 modules were run, attended by 27 academic and researcher line managers during this period. b) Annual PDR 2021: the total number of eligible staff that had an annual professional review remains high at 99% (a total of 2710 University staff) and Annual PDR 2022: the total number of eligible staff that had an annual professional review continues to remain high at 97% (2646 staff)	Carried forward
PCD13	Ensure that researchers have access to professional advice on career management, across a breadth of careers.	a) Review current situation and options available for researchers in accessing professional advice on career management across a breadth of careers.	a) Baseline of research staff that agree they are encouraged to engage in personal and career development established and used to inform review (CEDARS, 2021).	a) Dec-2022	a) Associate Director REIS, Head of SEA, Communications Officer (REIS)	a) 80% of research staff agree or strongly agree that their manager/supervisor encourages them to engage in personal and career development activities compared to 78% of our benchmark group (CEDARS, 2021). Based on this, we have recently launched a 'Researcher Career Stories: Made in Wales' series aimed at early-career researchers across Wales. This is a pan-Wales collaboration and the speakers contributing to the sessions all started their careers at a Welsh University and have since gone on to have successful careers in other sectors. These events will celebrate individual career stories as well as showcasing the ways in which Welsh HEIs contribute to the development of a highly skilled and talented workforce for Wales, the UK and beyond. Our research staff webpages have been revised to include career guidance resources for research staff: <a href="https://www.swansea.ac.uk/research/research-environment/research-staff-development/">https://www.swansea.ac.uk/research/research-environment/research-staff-development/</a>	Carried forward
PCD14	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills.	a) Communicate fellowships that are available for staff and encourage staff to apply. b) Continue to commit budget to and encourage staff to engage with Welsh Crucible.	a) Fellowship Information Sessions delivered and applications from research staff monitored. b) 100% eligible researchers are aware of the opportunity to develop their research identity and broader leadership skills through Welsh Crucible and the profile of successful applicants monitored.	a) Jan-2022 b) March 2022	a) Deputy Head of Research Development and Senior Research Development Bid Writer b) Lead L&D	a) Since 2018, 23 individuals (13 females, 10 males) were supported by the Florence Mockeridge Fellowship programme, with 17 (72%) applying for grants and a success rate of 40%. b) We have continued to commit funding to Welsh Crucible, and in 2022, 7 Swansea applicants were successful in being offered a place on the programme (23% of total pan Wales cohort), 3 of which were research staff, 4 academic colleagues. The profile of successful applicants has been monitored and will be used to inform our attraction process for 2023. Specific Welsh Crucible webpages developed to boost engagement.	Ongoing Priority

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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.	a) Revise the University exit survey to include a specific category for research staff to capture information on why the individual is leaving the University and what their destination is. Use this information to inform next steps. b)	a) Research staff reasons for leaving the University and their career destination are captured via the University Exit Survey. b) Data informs support opportunities for researchers.	a) Dec-2021 b) Dec-2022	a) Head of Equality b) L&D Manger	a) A new online exit survey has been designed which includes the option for staff to let us know their role (i.e. researcher, academic, professional services, clinical, technical). The survey has not yet been implemented and will be launched in 2023.	Carried forward
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews.	a) Monitor and report on research staff uptake of training and completion of professional development reviews.	a) Annual training and development report distributed to RSWG/RIIC.	a) Jan-2022	a) L&D Lead, Communications Officer (REIS)	Engagement of research staff with training is recorded via our people record system, ABW. High level engagement was reported for the first time as part of our annual report showing University progress against our Concordat to support the career development of research staff (Distributed to RSWG/RIIC). This highlighted to February 2022:  304 courses had been offered over this period with 3938 completions (479 from research staff), ranging from 'Maximising the IMPACT of your research' to 'Time management.'  The University course programme was reviewed to rationalise and consolidate into one place all university wide training & development opportunities supporting Research Staff. Webpages now display a more coherent and more easily searchable listing (to include REIS Seminar Series, PGR Training Programme, Research Integrity Training Provision, Research Library Courses).  The University continued to commit funding and resource to Welsh Crucible, an award-winning programme of personal, professional and leadership development for the future research leaders of Wales. Welsh Crucible 2022 7 Swansea leaders attended three intensive two-day residential workshops in May, June, and July 2022.  Swansea had joined for the first time '23 Things International' tailored for researchers interested in learning new tools for research, building their professional profile and networking.	Carried forward
Funders must:							
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning.						
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes.						
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit.						
Managers of researchers must:							
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually.	a) All managers conduct a Professional Development Review with researchers and discuss their professional and career development as part of this process.	a) 99% PDR and interim PDR completion for all staff including research staff.	a) Annual PDR Sept.2021-Nov. 2021; interim PDR March 2021-May 2021	a) Transformational Lead Performance	The professional development review is the vehicle for research staff to identify and agree with line managers activities/courses to support their continued growth. The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'	Carried forward
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.	a) Ensure that managers are aware of the opportunities available in the University and externally. b) monitor uptake of Research Staff at Development Events.	a) Baseline of research staff that agree they are encouraged to engage in personal and career development established (CEDARS, 2021) and informs training provision. b) Research staff attendance at University development events is monitored and communicated.	a) May 2021 b) March 2022	a) b) L&D Manager, Lead L&D, Communications Officer (REIS)	a) Days spent on CPD activities for research staff suggests that 3-4 days is the most common time spent (26% compared to 22% in our benchmark group, CEDARS, 2021) with 17% of research staff stating that they had spent more than 10 days on CPD in the last 12 months. The professional development review is the vehicle for research staff to identify and agree with line managers activities/courses to support their continued growth. The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'  b) Research staff attendance at University development events is recorded, monitored and communicated via our annual progress report and RIIC. Between 1 January 2021 and 30 September 2022, there were 787 completions by research staff across all University training and development events. We have recently launched a 'Researcher Career Stories: Made in Wales' series aimed at early-career researchers across Wales. This is a pan-Wales collaboration and the speakers contributing to the sessions all started their careers at a Welsh University and have since gone on to have successful careers in other sectors. These events will celebrate individual career stories as well as showcasing the ways in which Welsh HEIs contribute to the development of a highly skilled and talented workforce for Wales, the UK and beyond.	Carried 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.	a) Identify a wide range of development that researchers can engage with in line with 10 days development pro rate, per year. b) Managers to ensure that part-time researchers can also access training.	a) Baseline of days spent on training and other continuing professional development activities for research staff established (CEDARS, 2021). b) Online research seminar series for researchers implemented, including bite-sized videos enabling a bank of training resources that the researcher community can access at all times.	a) May 2021 b) July 2021	a) Lead L&D, Communications Officer (REIS)	a) Days spent on CPD activities for research staff suggests that 3-4 days is the most common time spent (26% compared to 22% in our benchmark group, CEDARS, 2021) with 17% of research staff stating that they had spent more than 10 days on CPD in the last 12 months.  b) An online research seminar series for researchers has been implemented, including bite-sized videos enabling a bank of training resources that the researcher community can access at all times regardless of their location or FTE status. <a href="https://staff.swansea.ac.uk/reis/training-development/">https://staff.swansea.ac.uk/reis/training-development/</a> Examples include: Using Confidence and Communication to build a Successful Research Career, Commercialisation - Protecting your IP, Accessing Industry-led funding, Bid Writing Masterclass and Panel Perspective (789 page views in the last 12 months).	Carried forward

# HREiR Action plan (January 2021 - January 2023)

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.	a) Identify a wide range of development that researchers can engage with to ensure that researchers undertake a minimum of 10 days development.	a) Baseline of days spent on training and other continuing professional development activities for research staff established (CEDARS, 2021). b) Researchers identify and agree with line managers activities to develop their research identity and skills as part of their annual professional development review with 99% PDR and interim PDR completion for all staff including research staff. c) Monitor attendance of research staff at development activities.	a) May 2021 b) Sept- Nov. 2022 c) January 2022	a) c) L&D Manager, Lead L&D, Communications Officer (REIS) b) Transformational Lead Performance	a) Days spent on CPD activities for research staff suggests that 3-4 days is the most common time spent (26% compared to 22% in our benchmark group, CEDARS, 2021) with 17% of research staff stating that they had spent more than 10 days on CPD in the last 12 months. b) The professional development review is the vehicle for research staff to identify and agree with line managers activities/courses to support their continued growth. The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.' c) Research staff attendance at University development events is recorded, monitored and communicated via our annual progress report and RIIC. Between 1 January 2021 and 30 September 2022, there were 787 completions by research staff across all University training and development events.	No further action	
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development.	a) Research managers engage with leadership development in order to improve their skills as research leaders.	a) Line management development for managers of researchers, heads of department is reviewed and actions agreed in partnership with HR Director and PVC(R&I).	a) March 2022	a) L&D Manager, Lead L&D	a) The University has reviewed and invested in leadership and management training for line managers, informed by feedback from Faculties, Professional Services Units and the PVC (R&I). Phase 1 commenced August 2022 and consists of (i) an executive coaching offer (28 University leaders, including managers of researchers), (ii) optional suite of modules including academic and research staff probation, meaningful conversations in PDR, interview essentials and how to have challenging conversations (27 modules delivered to date (November 2022) with 22 academic and 7 research staff manager completions), (iii) access to a library of online resources via LinkedIn learning (680 licenses activated).	Ongoing Priority	
<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.	a) Use and engage with the PDR process to reflect on progress towards their career goals and identify development opportunities to support their career development.	a) Baseline of days spent on training and other continuing professional development activities for research staff established (CEDARS, 2021). b) Researchers identify and agree with line managers activities to develop their research identity and skills as part of their annual professional development review with 99% PDR and interim PDR completion for all staff including research staff.	a) May 2021 b) Sept- Nov 2022	a) L&D Manager b) L&D Manager, Transformational Lead Performance	a) Days spent on CPD activities for research staff suggests that 3-4 days is the most common time spent (26% compared to 22% in our benchmark group, CEDARS, 2021) with 17% of research staff stating that they had spent more than 10 days on CPD in the last 12 months. b) The professional development review is the vehicle for research staff to identify and agree with line managers activities/courses to support their continued growth. The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff). The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'	Carried forward	
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments.	a) Research staff engage with the range of development opportunities on offer.	a) Baseline of days spent on training and other continuing professional development activities for research staff established (CEDARS, 2021). b) Baseline of research staff who have been mentored, or would like to be established (CEDARS, 2021) and data used to inform University mentoring for research staff approach. c) Research staff attendance at University development events is monitored and communicated.	a) May 2021 b) May 2021 c) March 2022	a) b) c) L&D Manager c) Lead L&D, Communications Officer (REIS)	a) Days spent on CPD activities for research staff suggests that 3-4 days is the most common time spent (26% compared to 22% in our benchmark group, CEDARS, 2021) with 17% of research staff stating that they had spent more than 10 days on CPD in the last 12 months. b) A robust process is in place which recognises the importance of mentorship to new researchers, and ensures all new research staff are allocated a mentor as part of the appointment process. Compliance is monitored via the University L&D team. Between 1 January 2021 and 30 September 2022, 5 mentoring skills modules were run, attended by 89 staff including 10 research staff. Research staff attendance at University development events is recorded, monitored and communicated via our annual progress report and RIIC. c) Between 1 January 2021 and 30 September 2022, there were 787 completions by research staff on University training and development events.	Carried 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.	a) Resources are made available to support research staff in maintaining an up-to-date professional career development plan that can be used to support job applications.	a) Baseline % of research staff who state they have an up to date professional career development plan established (CEDARS, 2021); and b) Used to inform resources made available to support research staff.	a) May 2021 b) Dec-2022	a) b) L&D Manager b) Associate Director REIS, Head of SEA, Communications Officer (REIS)	a) 70% of research staff agree or strongly agree that they maintain a formal record of their CPD activities compared to 58% of our benchmark group (CEDARS, 2021). However only 34% research staff agree that they have a clear career development plan. b) We have recently launched a 'Researcher Career Stories: Made in Wales' series aimed at early-career researchers across Wales. This is a pan-Wales collaboration and the speakers contributing to the sessions all started their careers at a Welsh University and have since gone on to have successful careers in other sectors. These events will celebrate individual career stories as well as showcasing the ways in which Welsh HEIs contribute to the development of a highly skilled and talented workforce for Wales, the UK and beyond. Our research staff webpages have been revised to include career development resources for research staff : <a href="https://www.swansea.ac.uk/research/research-environment/research-staff-development/">https://www.swansea.ac.uk/research/research-environment/research-staff-development/</a> <a href="https://www.swansea.ac.uk/research/research-environment/research-staff-development/researcher-career-development-10-days-allocation/">https://www.swansea.ac.uk/research/research-environment/research-staff-development/researcher-career-development-10-days-allocation/</a> <a href="https://staff.swansea.ac.uk/dts/researcher-career-development-programme/">https://staff.swansea.ac.uk/dts/researcher-career-development-programme/</a>	Carried forward	
PCDR4	Positively engage in career development reviews with their managers.	a) Researchers to engage in career development conversations as part of their professional development review.	a) 99% research staff participation in PDR.	a) Sept -Nov 2021/22 (Annual Review), March - May 2021/22 (Interim Review)	a) Transformational Lead Performance	a) The total number of eligible staff that had an annual professional review remains high : Annual PDR 2021 - 99% (2710 staff) and Annual PDR 2022 - 97% (2646 staff) The PDR pre-review guidance for research and academic colleagues includes the following statement 'Swansea is a signatory to the researcher development Concordat and recognises continuous professional and career development are integral to enabling researchers to develop their full potential.'	Carried forward	
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills.	a) Researchers identify opportunities to build their profile, for example outreach, event and conference organisation, support for the student experience, PGR mentoring, etc.	a) Baseline % of research staff who state they have engaged with these opportunities established (CEDARS, 2021) and; b) Attendance at University development events is monitored and communicated.	a) May 2021 b) March 2022	a) b) L&D Manager b) Communications Officer (REIS)	a) CEDARS (2021) showed that 80% of research staff agree or strongly agree that their manager/supervisor encourages them to engage in personal and career development activities (compared to 78% of the benchmark group) The University offers a series of development events to assist research staff in building their profiles including: Enhancing your professional research profile, Twitter: tools and strategies for researchers, More than just a press release: getting your research in the media, The Conversation - how to write articles on your research for the media, Using Confidence and Communication to Build a Successful Researcher Career b) Between 1 January 2021 and 30 September 2022, there were 787 completions by research staff across all University training and development events. 19 research staff engaged in the REIS seminar series during this period.	Ongoing Priority	
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.	a) Researchers to engage in knowledge exchange, commercialisation, public engagement or policy development activities as appropriate.	a) Research staff engagement with knowledge exchange, commercialisation, public engagement or policy development activities is monitored and reported.	a) Jan 2022	a) L&D Manager, Communications Officer (REIS)	a) From January 2021 – present there have been 40 events available to research staff including (e.g. Introduction to Knowledge Transfer Partnerships, Public Engagement Forum, Stakeholder Engagement – Working with External Partners (and introduction to Swansea University: LINC), The Conversation - media training). A total of 1442 participants registered for these events	Carried 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.



Further hyperlinks and supplementary information	
1. Career Development for Research Staff	<a href="https://www.swansea.ac.uk/research/research-environment/research-staff-development/">https://www.swansea.ac.uk/research/research-environment/research-staff-development/</a>
2. Concordat & 10 days CPD	<a href="#">10 Days Professional Development - Swansea University</a>
3. Research Staff Career Development Programme 22/23	<a href="#">Researcher Career Development Programme - Swansea University</a>
4. Managers Hub	<a href="#">Managers Hub - Swansea University</a>
5. Equality Impact Assessment (EqIA)	<a href="#">Equality Impact Assessment (EqIA) - Swansea University</a>
6. Menopause in the Workplace	<a href="#">Menopause - Swansea University</a>
7. Ymlaen programme	<a href="#">Ymlaen Programme - Swansea University</a>
8. Togetherall Online Mental Health Service	<a href="#">The Togetherall Online Service - Swansea University</a>
9. Health & Wellbeing	<a href="#">Health &amp; Wellbeing - Swansea University</a>
10. LinkedIn Learning Platform	<a href="https://staff.swansea.ac.uk/human-resources/managers-hub/linkedin-learning/">https://staff.swansea.ac.uk/human-resources/managers-hub/linkedin-learning/</a>
11. Bullying and Harassment - staff information	<a href="#">Bullying and Harassment - Swansea University</a>
12. Leadership Development- Line Mgrs.	<a href="#">Courses for Line Managers - Swansea University</a>

Abbreviations and glossary	
ABW	A Better Way - University People Records System
AMS	Award Management System
CEDARS	Culture, Employment and Development in Academic Research Survey
CPD	Continuing Professional Development
CROS	Careers in Research Online Survey
DPVC	Deputy Pro Vice Chancellor
DTS	Development & Training Services
EDI	Equality, Diversity and Inclusion
FMHLS	Faculty of Medicine, Health and Life Science
FTE	Full Time Equivalent
H&W network	University Health and Wellbeing Network
HEIs	Higher Education Institutions
HR EIR	HR Excellence in Research Award
IP	Intellectual Property
L&D	Learning & Development
MI	Management Information
PDR	Performance Development Review
PGR	Postgraduate Research
PIRLS	Principal Investigators and Research Leaders Survey
PSPU	Planning and Strategic Projects Unit
PVC (R&I)	Pro Vice Chancellor - Research & Innovation
R&I strategy	Research & Innovation Strategy
REF	Research Excellence Framework
REIS	Research, Engagement & Innovation Services
RI	Research Integrity
RIIC	Research Innovation and Impact Committee
RSWG	Research Staff Working Group
SLT	Senior Leadership Team
SPMO	Strategic Portfolio Management Office
ToR	Terms of Reference
UB	Unconscious Bias
USAT	The University Self-Assessment Team (USAT)
WC	Welsh Crucible