**Institution:** The University of Birmingham  
**Cohort Number:** 4  
**Audience:** Research staff  
**Date of Submission:** Jul-20  
**Outcome:** 1138

### Obligation

<table>
<thead>
<tr>
<th>Institution</th>
<th>Action</th>
<th>Success measure (SMART)</th>
<th>Deadline</th>
<th>Responsibility</th>
<th>Progress update (to be completed for submission)</th>
<th>Outcome</th>
</tr>
</thead>
</table>
| **ECI1** Ensure that all relevant staff are aware of the Concordat | Communication from VC to all academic staff highlighting commitment to The Concordat and key areas of focus for UoB (EICRS)  
Check sign-up to Concordat  
Review and coordinate Researcher related web pages | EICRS  
RS aware of the Concordat | Dec-20 | HR / PERCAT | Complete | Athena action plan |
| **ECI2** Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers | As part of the Strategic Framework 2020-25, and Birmingham Academic Career Framework, a vision for the Research Staff (RS) environment is clearly articulated and published  
Clear statement of expectations for research leaders with respect to leading and managing their people is published  
Submission to Race Equality Charter  
Athena Action 4.1: College EAP's  
Flexible working arrangements formalised wherever possible; Flexible working  
Athena Action 5.3.10 applies to RS; Athena Action 5.3.11 Flex Working profiles include RS examples  
Returners Survey - includes RS - Athena 5.3.1  
Athena Action 5.3.2 Family Leave actions apply to RS  
Athena Action 5.3.3 Family Leave reviews apply to RS - Russell Group benchmarking, enhanced esp. qualifying periods  
Athena Action 5.3.4 - Remission of Duties Policy references RS focused staff  
Athena Action 5.3.5 Family Leave specifically wrt RS staff - clear guidance on all contract types, harmonisation where possible with core funded staff, shared parental leave, extract & analyse paternity / partner leave (Athena Action 5.3.6, Athena Action 5.3.7)  
Athena Actions 5.4.3 - Implement CoSS Bitesize management sessions  
Clear consistent communication on promotion, formal recognition and reward for RS  
Researcher communication and information web pages are reviewed and updated to create consistent and coordinated approach to providing researcher related information | EICRS  
Believe contribution valued on average across range of terms 60%  
Fairness set protected characteristics 80%  
Fairness set flex wag 80%  
Fairness set T&D 85%  
Fairness set T&C 50%  
Athena Swan  
Flexible working response 75% M/F confident formal working request would be granted  
Returners Survey - includes RS  
Athena 5.3.6  
Athena 5.3.10; Athena 5.3.11  
HYS  
Overall Engagement >70%  
UoB Committed to wellbeing 65%  
UoB Cares about my health & wellbeing 60%  
UoB keeps me informed 70%  
40% researchers report being able to find relevant information  
Athena Swan Committee  
Athena action plan  
As Athena action plan | Dec-20 | R & S / EICRS | Complete | As Athena action plan |
| **ECI3** Provide good mental health and well-being 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 | Promote good mental health and well-being 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 | KYS  
Employment environment enables success 65%  
Sufficient time to achieve objectives 65%  
Bullying & harassment not experienced 85%  
Feel valued 70%  
Feel able to deal with work pressures 70%  
Recommend UoB 70%  
Proud of UoB 80%  
CEDARS  
60% believe UoB committed to Mental Wellbeing  
70% satisfied with Work Life Balance  
85% believe UoB committed to ED/I  
10% report experiencing discrimination | Dec-20 | R & S / EICRS | Complete | As Athena action plan |
| **ECI4** Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health | Additional Workplace Wellbeing / Mental Health training identified & implemented  
Family leave training & guidance implemented; Flexible working guidance for newbie Athena Action 5.11 | KYS  
ED/I taken seriously 70%  
Athena 5.3.1  
18% increase year on year of attendance on Unconscious Bias training; 50% enrolment male by | Dec-20 | R & S / EICRS | Complete | As Athena action plan |
Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity.

Disregard 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.

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.

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.

Conduct fully, in accordance with statutory rights and institutional policies, review and clearly articulate potential academic career pathways, taking into account the diversity of personal circumstances.

Managers of researchers must:

Understand relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work.

Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct.

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.

Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers.

Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.

Researchers must:

Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers.

Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.

Ensure that they act in accordance with employer and funder policies related to research integrity, and are aware of policies and practices relevant to their position.

Take positive action towards maintaining their wellbeing and mental health.

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.

Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution.

Employment:

- Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position.

- Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position.

- Promote clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers’ contributions and the diversity of personal circumstances.

Dec-20

NCRF Project & Workstreams

Dec-20

BACF Staffing / PVC

May-21

BACF Staffing / PVC

DVC Staffing / PVC

May-21

Colleges

Colleges

Colleges
**Managers of researchers must:**

<table>
<thead>
<tr>
<th>Workstream</th>
<th>Action(s)</th>
<th>Measures</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>E31</td>
<td>Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care</td>
<td>EM Actions</td>
<td>Ongoing</td>
</tr>
<tr>
<td>E32</td>
<td>Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding</td>
<td>EM measures</td>
<td>Ongoing</td>
</tr>
<tr>
<td>E33</td>
<td>Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers</td>
<td>EI measures</td>
<td>Dec-20</td>
</tr>
<tr>
<td>E34</td>
<td>Activity engage in regular constructive performance management with their researchers</td>
<td>EI measures</td>
<td>Ongoing</td>
</tr>
<tr>
<td>E35</td>
<td>Engage with opportunities to contribute to relevant policy development within their institution</td>
<td>ECARS Actions</td>
<td>Ongoing</td>
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</tbody>
</table>

**Researchers must:**

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<tbody>
<tr>
<td>E31</td>
<td>Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder</td>
<td>ECARS Actions</td>
<td>Ongoing</td>
</tr>
<tr>
<td>E32</td>
<td>Understand their reporting obligations and responsibilities</td>
<td>EM measures</td>
<td>Ongoing</td>
</tr>
<tr>
<td>E33</td>
<td>Proactively engage in performance management discussions and reviews with their managers</td>
<td>EM measures</td>
<td>Ongoing</td>
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**Institutions must:**

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</tr>
</thead>
<tbody>
<tr>
<td>E31</td>
<td>Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development per year, recognising that researchers will pursue careers across a wide range of employment sectors</td>
<td>ECARS Actions</td>
<td>Dec-20</td>
</tr>
</tbody>
</table>

**Other measures:**

- PERCAT / ECARS (ECARS provide a programme of career focused development activities including links to alternative career pathways)
- Provide basic development planning and CPD recording template
- Career Planning resource launched (POD)
- Colleges propose and if feasible pilot / implement RS mentoring programme
- On-line mandatory recruitment training launched (POD)
- EPS / LES); Entitlement communicated across a variety of platforms including local meetings, College-wide communications, and via College intranet

**Current progress:**

<table>
<thead>
<tr>
<th>Workstream</th>
<th>Ongoing</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>E35</td>
<td>Ongoing</td>
<td>ECARS Actions</td>
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<tr>
<td>E33</td>
<td>Ongoing</td>
<td>EM measures</td>
</tr>
</tbody>
</table>

**HVS:**

- Regularly receive feedback 70%
- Clear about expected to achieve 97%
- Understand contribution 85%
- Challenged and motivated 85%
- Suggestions listened to 70%
- Effective senior leadership 70%
- Line manager leadership 85%
- Line manager listens 80%

**Other measures:**

- Leadership development programmes run at 85% capacity
- 90% staff complete mandatory compliance training
- 95% PDR completion by Post Docs by 2022; 90% positive response to PDR by 2021, 80% positive by 2023
- 90% staff complete mandatory compliance training
- 20% RS complete on-line career planning module
Allocate a minimum of 10 days pro rata, per year, for their researchers to develop their research identity and broader leadership skills (PCDI 1 measures). Provide researchers with opportunities to develop their research identity and broaden leadership skills, for example, through the use of mentors and careers professionals, training, and secondments (PCDI 2 measures). Ensure that researchers have access to professional advice on career management, across a breadth of careers and sectors (PCDI 3 measures).

Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this (PCDI 4 measures). 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 (PCDI 5 measures). Encourage researchers to experience this (PCDI 6 measures).

Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers (PCD2 measures). Provide opportunities, structured support, encouragement and time for researchers to develop their research identity and engage with professional development, supporting researchers to balance the delivery of their research and their own professional development (PCD1 measures). Implement Core Learn; one learn implemented and all centrally and locally delivered training attendance recorded (PCD2 Actions). Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews (PCD2 Actions).

Researchers must:

Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development per year (PCD1 actions). Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments (PCD2 Actions). 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 (PCD3 actions). Understand opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation (PCD5 Actions). Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development per year (PCD1 actions). Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments (PCD2 Actions). 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 (PCD3 actions). Understand opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation (PCD5 Actions).
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<thead>
<tr>
<th>AP</th>
<th>Equality Action Plan</th>
</tr>
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<tbody>
<tr>
<td>ECARS</td>
<td>Early Career and Researcher Support (support group in 3 of 5 Colleges)</td>
</tr>
<tr>
<td>ED&amp;I</td>
<td>Equality, Diversity &amp; Inclusion</td>
</tr>
<tr>
<td>ER</td>
<td>External Relations</td>
</tr>
<tr>
<td>HR</td>
<td>Human Resources</td>
</tr>
<tr>
<td>HYC</td>
<td>Have Your Say (UoB internal survey)</td>
</tr>
<tr>
<td>PERCAT</td>
<td>Post-doctoral &amp; Early Career Researcher Careers &amp; Training (support group in 3 of 5 Colleges)</td>
</tr>
<tr>
<td>POD</td>
<td>People &amp; Organisational Development (HR Team)</td>
</tr>
<tr>
<td>PVC R&amp;KT</td>
<td>Pro Vice Chancellor (Research &amp; Knowledge Transfer)</td>
</tr>
<tr>
<td>RDSG</td>
<td>Researcher Development Support Group</td>
</tr>
<tr>
<td>REF</td>
<td>Research Excellence Framework</td>
</tr>
<tr>
<td>UEB</td>
<td>University Executive Board</td>
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<tr>
<td>UoB</td>
<td>University of Birmingham</td>
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<tr>
<td>VC</td>
<td>Vice Chancellor</td>
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<tr>
<td>WS</td>
<td>Workstream</td>
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