



	Institution name:	University of Cumbria			1			
	Cohort number: Date of submission:	25-Feb-22	Audience (beneficiaries of the action plan) Research staff	Number of 1 (0.8FTE)	The eignificer	Comments	and research staff' with time	
	Institutional Context:	The University of Cumbria (UoC) was established in 2007 to catalyse	Postgraduate researchers	114	_	nt majority of the University's academic staff are 'teaching research. As a result, we consider all staff (with research t		
	individual and regional prosperity and pride within its region, building upor years of higher education (HE) in Cumbria and Lancashire (Charlotte Mas College, Ambleside; Cumbria Institute of the Arts, Carlisle; St Martin's Col Lancaster; and the Cumbrian campus of UCLan). Since 2014, UoC has	Research and teaching staff	434 (354.52 FTE)		e supported by the aspirations within the HR Excellence in Research Award.			
		·			OD: Organisa	ational Development		
		consolidated its place as a HE provider with an increasing emphasis on				ch & Knowledge Exchange		
		research and innovation. UoC has a 'Research, Knowledge Exchange & Graduate School' Directorate (RKE-GS) and we refer to RKE-GS throughout this action plan to encapsulate the diverse activity that our staff engage in, and			EDI: Equality, Diversity & Inclusion			
			d	HR: Human Resources				
		which would be supported by the Concordat and Action Plan.			CAPE: Centre for Academic Practice & Enhancement M&SR - Marketing and Student Recruitment			
Columr	1 Obligation2	Action	Success Meaure (SMART)	Deadline		Progress upadate (to be completed for submission)	Outcome/result	
	Obligation	Action	Success measure (SMART)	Deadline	Responsibility	Progress update (to be completed for submission)	Outcome/ result	
	ment and Culture							
stitut	ons must:							
.CI1	Ensure that all relevant staff are aware of the Concordat	Update any relevant staff vacancy / advert templates to include HR Excellence in Research logo and link	100% of academic staff vacancies include HREiR information.	Jul-2	3 HR	The vacancy management system has the HREIR logo incorporated on the landing page and all relevant templates to attract attention.	Completed	
		Update HREiR Staff Hub pages and external website pages and include annual message in Managers Brief	Overall aim to reach 150 views to HREiR Staff Hub (2.2.22 - 44 views)	Jul-2	HR/OD & M&SR	HREIR webpages updated both external and internal (17.01.24 - internal web page views 125)	In progress	
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers		HR attending HREIR meetings and collaborating on a minimum of one policy per academic year. Research staff report (via steering group) that policies are inclusive, equitable and transparent.		HR & RKE	EDI Officer included in HREIR group to align to EDI/Athena Swan objectives. All policies are subject to an EIA process where the monitoring group has membership from HR/EDI and research staff to ensure that the impact on protected characteristics are included in decision making.	Completed	
ECI3		Health and Wellbeing Action Plan introduced with an organised programme of events, proactive interventions, support and guidance and relevant policy and workload review as part of the rolling objectives.		Jul-2	Wellbeing & OD Manager	H&WB action plan in place with a programme of activity structured around all aspects of health and wellbeing. Staff survey due 2024 therefore comparable data not available. 21 Wellbeing champions now in place. The Health and wellbeing action plan and associated workstreams have gone from strength to strength with the review due 2024. The plan and wellbeing online hub were used to showcase best practice at the Sector University Staff Well-being Network comprising of 127 Institutions where the Wellbeing and OD Manager was a guest speaker.	In Progress	
		Implementation of the new combined prevention of sexual misconduct and	Aim to see 5% increase in staff survey results for "strongly agree/agree"	Jul-2	Wellbeing &	Combined staff & student policy finalised and launched. Data		
		harassment policy and associated reporting guidelines	when answering - "bullying and harrassment is dealt with well at the University."		OD Manager	from staff survey unavailable until late 2024	In Progress	
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	Management Development Programme launched including mental health modules for managers - Feb 2022.	Aim to increase number of Mental Health courses to 5 sessions in 22/23 as part of the Management Development Programme and managers of researchers emailed directly to engage and asked for feedback.	Dec-2	3 Wellbeing & OD Manager	Training needs analysis completed and report sent to senior team. Development programme is on hold due to the appointment of a new Director of People and Cullture and a new People and Culture strategy launch due early 2024 which outlines people promisses aligned to this area. The wellbeing webinar training from Superchamps has been aimed to allow access to key wellbeing information for all staff in the interim.	Not started	
		Mandatory EDI Training completions	Increase mandatory EDI training completions to 80% University wide	Jul-2	Wellbeing &	EDI Training completion rate is currently - 85.3% Academic		
	the new Managers hub section on the staff intranet. Management development	, , , , , , , , , , , , , , , , , , , ,			OD Manager	anager Staff and 90.7% Professional Services staff Managers Hub is in development - launch date due end of March 2024.		
						Optional training modules available (completion rates) - Workplace wellbeing (36 enrollments), EIAs (30 enrollments) and Transgender awareness (121 enrollments) completion rates -	In progress	





					CUMBRIA	HR EXCELLENCE IN RESEARCH
ECI5		Explore potential of research integrity being part of mandatory training for new starters and/or existing staff.	New mandatory training on research integrity and ethics launched with completion rate >50% (amongst research staff/research active)	Feb-24 Research Manager	Training is currently given to Research Ethics Panel staff on an annual basis, and ethics and integrity training sessions are offered to research and doctoral candidates annually as part of the Research Skills Development Programme, mapped closely to the Vitae curriculum. Currently in contact with supplier, Epigeum, to explore options with regards their 'Research Integrity' training module. This is in progress, trial programme in New Year 2024. Understanding Ethics Module currently in development; it needs further updating due to subsequent changes in Research Ethics Panel leadership and the prospect of a new online ethics application process due to be launched in Summer 2024. Going forward, the new online ethics application system will include a question as to whether the mandatory ethics and integrity training has been undertaken by a staff member for our on-going records.	In progress
ECI6	environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices	Bi-annual forum for research staff to directly feedback on environment/culture aspects of the concordat, with DVC for Health, Environment and Innovation attending.	Research staff attend and provide structured feedback on the quality of the research environment and culture.	Jul-24 RKE	The RKE Committee chaired by the DVC meets 4 times a year and this provides a forum for research staff to directly feedback on environment/culture aspects of the concordat, with DVC for Health, Environment and Innovation attending.	Completed
Funder	s must:	Elevikle washing melicies to be goods. I. 60 - 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1.	Attach are present to the EOD (10 to 14/5) to 14/5 to 14/5	E. L. 00 DI/E	In AV 04 00 almost the first transfer to the second transfer transfer to the second transfer transf	
ECF1	positive research cultures and environments in relevant funding	Flexible working policies to be revised after hybrid working trial. Develop report to allow monitoring of the number of flexible working requests received (particularly from researchers).	At least one project led by ECR (anticipated 4/5 internally funded projects in total across 22/23)	Feb-23 RKE	In AY 21-22, eleven projects were funded by an in-year UKRI allocation as follows: Knowledge Exchange Fund: Seven projects, all of which involved ECRs as either PI or a member of the project team. Policy Support Fund: Two projects, one of which involved ECRs as members of the project team. Participatory Research Fund: Two projects, one of which was led by an ECR PI. Applications from ECRs were encouraged, and this was highlighted in the funding call distributed to all staff in December 2021. In AY 2022- 23, 5 projects were funded as follows: Policy Support Fund: Two projects, both of which involved ECRs as members of the project team. Participatory Research Fund: One project, with no ECRs involved. one of which was led by an ECR PI. Enhancing Research Culture Fund: Two projects, both of	Completed
					which involved ECRs as members of the project team. Applications from ECRs were encouraged, and this was highlighted in the funding call distributed to all staff in	
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers	N/A			0.4.10000	
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	N/A				
Manage	rs of researchers must:	See ECIA	See ECIA			
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	See ECI4	See ECI4			
ECM2		Convene working group to review research integrity approach and visibility, to update Code of Practice for Research and Research Ethics Policy, and to implement online system of ethics approval.	Updated Code and Policy approved by Academic Board. Online ethics system used for 100% of ethics applications.	Jul-24 RKE	The Research Ethics Policy and Code of Practice for Research support researchers to adhere to key principles around integrity in line with the Concordat to Support Research Integrity. The Research Ethics policy is due for review in Summer 2024 and is included on the schedule of business at the next Research and Knowledge Exchange Committee. Stonefish have been commissioned to develop an online ethics application system, which is expected to enhance the process, reduce administrative burden, and improve quality and version control. StoneFish developers are currently reviewing the 'routing' of progressing application requests. We will receive a pilot link to test the new system in the New Year 2024 to share with Ethics Panel colleagues to test and iron-out any further issues before launching in Summer 2024. A new specific Research ethics and integrity webpage is now live on the UoC external website, which includes links to our current ethics application process, 'best-practice' guidance templates, relevant ethics policies, key contacts and UoC's annual reporting requirements to UUK Concordat to Support Research Integrity (2019).	In progress





					CUMBRIA	HR EXCELLENCE IN RESEARCH
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	New Online Wellbeing Hub expanded to target specific areas of concern and allow efficient signposting to policies and staff networks. Also see EC13	Overall aim to reach 3000 views to Online Wellbeing Hub (25.5.22 - 1874 views). Feedback sought from researchers at HREIR steering group.	Jul-23 Wellbei OD Mar	g &	Completed
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Flexible working policies to be revised after hybrid working trial. Develop report to allow monitoring of the number of flexible working requests received (particularly fron researchers).	Hybrid working formalised through conditions of working and/or new flexible working policy. Feedback sought from researchers at HREIR steering group Staff survey aim for 5% (2022 - 77%) increase in Strongly agree/Agree response to the question - "The University enables flexible working".	Jul-23 HR	Flexible working policy reviewed and agreed at JNCC. Hybrid working policy in discussion as either a standalone or part of existing policies. Staff survey due late 2024 so no data available currently.	In progress
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	Research staff rep to be included in any relevant policy working/focus groups in agreement with the Head of HR	Evidence of at least two working groups convened and policies enacted.	Feb-24 Head of	HR Applications from ECRs were encouraged, and this was highlighted in the funding call distributed to all staff in October 2022.	In progress
Researc	thers must:				COOSCI ECELI.	
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	N/A				
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion Take positive action towards maintaining their wellbeing and mental health	N/A Introduce a Health and Wellbeing Action Plan with an programme of events, proactive interventions, support and guidance.	Survey response 2020 - 68% strongly agree/agree, 32% neutral, 5% disagree/strongly disagree - the University offers a good selection of health and wellbeing information/support. Aim to increase satisfaction "Strongly agree/agree' response by 5%. In 2021/22, 3 x Mental Health courses held with 61 attendees, aim to increase number of courses to 5 sessions in 22/23	Jul-24 Wellbei OD Mar	• • • • • • • • • • • • • • • • • • •	In progress
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	Code of Conduct to be reviewed in line with the new University values and towards the University's 'Towards 2030' strategy, specifically addressing discrimination, harassment etc. Performance management training sessions continue to be delivered to managers to raise standards and awareness only 1 session delivered in 2022 due to restrictions.	from researchers at HREIR steering group. ER cases tracked in HR.	Jul-24 HR/OD	Awaiting the launch of the new People and Culture strategy to align code of conduct to values and behaviours as outlined in the strategy,	Not started
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	•				
Employr						
	ons must:					
EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	HR to monitor attendance on the recruitment and selection mandatory training module.	>70 % of academic staff completing training module annually.	Jul-24 HR	737 completed training enrollments University wide which is a high proprtion given our staffing numbers and only those or recruitment panels need the training. 415 of which are academic collegues.	In progress
El2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Induction programme to be reviewed to consider specific sessions/training on RKE, research integrity etc.	RKE engagement with >3 corporate induction events per year with >80% stating that the induction programme met their needs to understand more about the University (with subset analysed from research staff). Specific feedback sought from researchers to gather qualitative data and increase the number of those that feel it met their needs to 90% by 2024.	Jul-24 RKE/ HI	In response to streamlining of the university's corporate induction, the RKE team have sought to raise awareness of the service provided by the directorate, including support for research ethics and integrity, at institute away days. Two such sessions have been provided so far in AY 23/24 and there is interest within institutes in developing a research-specific induction for new starters.	In progress
		Bi-annual forum for research staff to directly feedback on employment aspects of the concordat, with DVC for Health, Environment and Innovation attending and HR repattending.	Research staff attend and provide structured feedback on employment practices and transparency, utilising the concordat principles.	Jul-24 RKE/HF	To be carried over. Staffing and resourcing constraints have prevented this action from taking place.	Not started
EI3	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	N/A				
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	See ECI4	See ECI4			
EI5	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	PPDR process to be reviewed across 22/23 with a view to implement new online process for start of 23/24 academic year.	PPDR process implemented and more than 50% of staff utilising new process.	Jul-24 RKE /HI	To be carried over. PPDR review paused due to appointment of new Director of P&C and the procurement of a new online PPDR module for the existing HR system (due to be implemented in 2024). In the interim the existing forms have ben reviewed and updated to ease completion and align better to working roles.	In progress
El6	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open- ended contracts, and report on progress	Review use of Fixed Term Contracts to ensure correct contracts are issued. Implementation of new redeployment policy - number of redeployments to be monitored in line with new process.	5 deployments of fixed term research staff.	Jul-24 HR		
EI7	Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making	RKE Committee to maintain membership model of diverse stakeholders, including Institute Director plus one additional academic representative.	100% RKE Committee attendance of Institute Director and/or Institute representative	Feb-24 Director	RKE The Research & Knowledge Exchange Committee Terms of Reference continues to reflect and utilise the model of Institute Director plus one additional academic representative.	Completed
Funders						
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies	N/A				
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security	N/A				
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression					
EF4 Manage	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels rs of researchers must:	N/A				
ıanage						





					COMBRIA	HR EXCELLENCE IN RESEARCH
EM1	they can manage researchers effectively and fulfil their duty of care	RKE introductory sessions offered to Institute Directors as part of team meetings / away days etc.	Increase number of RKE introductory sessions from 21/22 (n=3) to 23/24 (n=5)	Jul-24 RKE	To be carried over. In response to streamlining of the university's corporate induction, the RKE team have sought to raise awareness of the service provided by the directorate, including support for research ethics and integrity, at institute away days. Two such sessions have been provided so far in AY 23/24 and there is interest within institutes in developing a research-specific induction for new starters.	In progress
EM2	Familiarise themselves, and work in accordance with, relevant	N/A				
	employment legislation and codes of practice, institutional policies,					
EN40	and the terms and conditions of grant funding	NI/A				
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	IN/A				
EM4	Actively engage in regular constructive performance management	N/A				
	with their researchers					
EM5		N/A				
	development within their institution					
Researc	hers must:	Engure staff introduct contains all relevant policy and process information for receased	100% compliance to funder requirements, with zero income returned to	Feb-24 RKE	The Deet Award teem supports recognishers to achieve full	
EKI	procedures and employment legislation, as well as the	Ensure staff intranet contains all relevant policy and process information for research (and all) staff and researchers are made aware of the need to adhere to funder requirements and reporting obligations.	funders.	Feb-24 RKE	The Post Award team supports researchers to achieve full compliance with funder requirements, ensuring no income is returned due to negligence or malpractice. There have been no reported issues in relation to funder clawbacks due to non-compliance during the assessment period.	Completed
ER2	Understand their reporting obligations and responsibilities	See ER1				
ER3	Positively engage with performance management discussions and reviews with their managers	N/A				
ER4	Recognise and act on their role as key stakeholders within their	N/A				
Duef	institution and the wider academic community					
	onal and Career Development ons must:					
PCDI1	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	N/A	Overall aim to reach 3000 views to centralised Organisational Development StaffHub page (25.5.22 - 2264 views)	Jan-24 CAPE a RKE	Career development page is now live on the OD StaffHub page and has been disseminated (303 views - 17/01/2024). Additionally, our suite of training has been further developed to include EIA training, 2 x CAPE EDI focussed training sessions, the LGBTQ+ Allyship training from our LGBTQ+	
					Staff Network, RKE launched the Epigeum Research Impact: Creating Meaning and Value resource in November 2023 to teach the fundamentals of research impact. RI:CMV is currently being promoted to all academic staff, and is an online, self-paced modular course. The resource will support academic staff to deliver impactful research as part of their professional development as researchers. Training is currently given to Research Ethics Panel staff on an annual basis, and ethics and integrity training sessions are offered to research and doctoral candidates annually as part of the Research Skills Development Programme, mapped	Completed
PCDI2	engage in meaningful career development reviews with their researchers	Develop and deliver peer observation and impactful feedback training to support the career development of academic staff	Training implemented following successful pilot and delivered through CAPE to minimum 25% of academic staff.	Feb-24 CAPE	Closely to the Vitae curriculum. The Peer Review Policy was reviewed, and the updated version approved in 2022. Training sessions were offered in January and March 2023, title 'Peer Review - Giving and Receiving Feedback and in addition a bespoke session was run at our Brampton Road campus for Institute of the Arts.This is now part of our standard offer for academics alongside a range of other training courses.	Completed
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	N/A				
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills					
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					
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	development.	At least two forums per year with feedback gathered on professional and career development.		Staffing constraints have prevented this action from taking place. To be carried over. The ECR forum will be a priority area of researcher development in 2024; due to staffing and role changes, this work was unable to progress in 2023. Discussions with RKE committee and the REF Steering Group will take place to define ECRs as Cumbria (with acknowledgment of the proposed changes to the next REF exercise and links to RASA and PPDR frameworks). A framework will be developed for discussion with ECR staff before presentation at RKE Committee in summer 2024, with the forum then established in Autumn 2024.	In progress
Percent		Bi-annual forum for research staff to directly feedback on professional and career development aspects of the concordat, with DVC for Health, Environment and Innovation attending.	Research staff attend and provide structured feedback on professional and career development, utilising the concordat principles.	Jul-24 RKE / CAPE/h	Staffing and resourcing constraints have prevented this action from taking place.To be carried over.	Not started
Funders	must:					





				OOMDINA	HR EXCELLENCE IN RESEARCH
PCDF1		N/A			
	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	N/A			
	research assessment strategies and processes				
PCDF3	Acknowledge that a large proportion of the researchers they fund	N/A			
	will move on to careers beyond academia, and consider how they				
	can encourage and support this within their remit				
	rs of researchers must:				
PCDM1	Engage in regular career development discussions with their	Line managers asked to conduct annual career development review and to feedback	100% researchers engaging in career development discussions. Jul-24	HR/OD/CAPE PPDR review has been delayed therefore awaiting new	
	researchers, including holding a career development review at least	ideas, questions and concerns to HREIR steering group.		module due 2024 as an addition to the HR system to allow	In progress
	annually			data collection on this.	
PCDM2	Support researchers in exploring and preparing for a diversity of	N/A			
	careers, for example, through the use of mentors and careers				
	professionals, training, and secondments				
PCDM3	Allocate a minimum of 10 days pro rata, per year, for their	N/A			
	researchers to engage with professional development, supporting				
	researchers to balance the delivery of their research and their own				
	professional development				
PCDM4	Identify opportunities, and allow time (in addition to the 10 days	N/A			
	professional development allowance), for their researchers to				
	develop their research identity and broader leadership skills, and				
	provide appropriate credit and recognition for their endeavors				
PCDM5	Engage in leadership and management training to enhance their	RKE staff engaged in external training.	At least two courses successfully completed by RKE staff per year. Jul-24	· · · · · · · · · · · · · · · · · · ·	
	personal effectiveness, and to promote a positive attitude to			period. There are currently 2/3 staff completing the ARMA	Completed
	professional development			Certificate in Research Management (2 at foundation level, 1	Completed
				at advanced level).	
Researc	hers must:				
PCDR1	, , , , , , , , , , , , , , , , , , , ,	N/A			
	towards career goals, including engaging in a minimum of 10 days				
	professional development pro rata per year				
PCDR2		N/A			
	different sectors, such as by making use of mentors, careers				
	professionals, training and secondments				
PCDR3	Maintain an up-to-date professional career development plan and	N/A			
	build a portfolio of evidence demonstrating their experience, that				
	can be used to support job applications				
PCDR4	Positively engage in career development reviews with their	N/A			
	managers				
PCDR5	Seek out, and engage with, opportunities to develop their research	N/A			
	identity and broader leadership skills				
PCDR6	Consider opportunities to develop their awareness and experience	N/A			
	of the wider research system through, for example, knowledge				
	exchange, policy development, public engagement and				
	commercialisation				

^{*} 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 institute. The primary audience is research staff, e.g. postdoctoral 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 contracts; clinicians.