HREiR Action plan template (2021-2023)

Details				
Institution name:	**The Open University, UK**	The institutional audience* for this action plan includes (complete or delete, as appropriate):		
Cohort number:	**8**	Audience	#	Comments
Date of submission:	**May-21**	Research staff	154	In the OU context, we define researchers as those on Research T&Cs. This audience includes Research Assistants, Research Associates, Research Fellows and Senior Research Fellows. Please note the number is correct as of January 2021 and will be updated monthly with data from People Services.
		Postgraduate researchers		Postgraduate Research Students (PGRS). The 8 year review includes PGRS, going forward we won't include this group as part of our audience.
		Research and teaching staff	N/A	Those who have research responsibility in their contracts (i.e. Lecturers/Senior Lecturers with 60% teaching & 40% research) have not been included in the past Concordat and will not be part of the audience in the new Concordat.
		Teaching-only staff	N/A	
		Technicians	N/A	
		Clinicians	N/A	
		Professional support staff	N/A	
		Other (please provide numbers and details):	N/A	

	Obligation	Action	Success measure	Deadline	Responsibility	Progress update	Outcome/ result
Environment and Culture							
Institutions must:							
ECI1	Ensure that all relevant staff are aware of the Concordat	From OU Gap Analysis (Completed March 2021) this was identified as partially complete. This was rated as a **relatively medium priority** at Research Development Concordat Steering Group (RDCSG)	Create internal RCD Website. Promote the RCD website to the Researcher community. Hold biannual briefing sessions for the researcher community.	Ongoing	RDCSG Chair		
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
ECI3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and including, wellbeing and mental health	From OU Gap Analysis 2021, this was identified as partially complete. This was rated as a relatively **high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee		RDCSG Chair		
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Monitor at Concordat Steering Groups			Head of Research Strategy and Goverance		
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	Monitor at Concordat Steering Groups			RDCSG Chair		
Funders must:							
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies	N/A	N/A	N/A	N/A	N/A	N/A
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	N/A	N/A	N/A	N/A	N/A

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	N/A	N/A	N/A	N/A	N/A
Managers of researchers must:							
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Equality Essentials training mandated in 2020.	Monitor at RDCSG, reporting of institutional uptake.	Ongoing	Dean EDI		
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	This is embedded in Research Governance, Integrity and Ethics	Annual statement on research integrity to be received by the RDCSG	Annual	Head of Research Strategy and Goverance		
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	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Head of Research Strategy and Goverance		
Researchers must:							
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students	Monitor at Concordat Steering Groups		Ongoing	Dean, Equality Diversity Inclusion		
ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	Monitor at Concordat Steering Groups		Ongoing	Dean, Equality Diversity Inclusion		
ECR3	Take positive action towards maintaining their wellbeing and mental health	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
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	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities).	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Head of Research Strategy and Goverance		
Employment							
Institutions must:							
EI1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Monitor at Concordat Steering Groups		Ongoing	Head of People Hub, People Services		
EI2	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		
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	Monitor at Concordat Steering Groups		Ongoing	Head of Reward, Insight and Inclusion, People Services.		
EI4	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	From OU Gap Analysis this was identified as partially complete. This was rated as a **relatively high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	People Business Partner; People Services		
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	Monitor at Concordat Steering Groups		Ongoing	People Business Partner; People Services		

ID	Action	Status	Success measure	Timescale	Responsibility		
EI6	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress	From OU Gap Analysis this was identified as partially complete. This was rated as a **relatively high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Head of Business Partners, People Services		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a **relatively high priority** at RDCSG for next academic year (in comparison to other priorities).	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee		Head of Research Strategy and Goverance		
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	N/A	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A	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	N/A	N/A	N/A	N/A	N/A	N/A
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels	N/A	N/A	N/A	N/A	N/A	N/A
Managers of							
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	Monitor at Concordat Steering Groups	Revised measure R4: Agree and implement changes to the career development and training programme as a result of the CROS/PIRLS evaluation and participant feedback.	Ongoing	Head of Institutional Learning		
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	Monitor at Concordat Steering Groups		Ongoing	Line Managers and People Services Business Partners		
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Monitor at Concordat Steering Groups		Ongoing	People Services Business Partners/Head of EDI		
EM4	Actively engage in regular constructive performance management with their researchers	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Line Managers and People Services Business Partners		
EM5	Engage with opportunities to contribute to relevant policy development within their institution	Monitor at Concordat Steering Groups		Ongoing	Head of Research Strategy and Goverance		
Researchers							
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	Monitor at Concordat Steering Groups		Ongoing	Line Managers and People Services Business Partners		
ER2	Understand their reporting obligations and responsibilities	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Chair RDCSG; Researchers		
ER3	Positively engage with performance management discussions and reviews with their managers	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities).	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	People Business Partner; People Services		
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Line Managers and People Services Business Partners		
Professional							
Institutions							

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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Senior Manager Research Career Development and Chair RDCSG		
PCDI2	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Monitor at Concordat Steering Groups		Ongoing	Head of Institutional Learning		
PCDI3	Ensure that researchers have access to professional advice on career management, across a breadth of careers	Monitor at Concordat Steering Groups		Ongoing	Senior Manager Research Career Development and Chair RDCSG		
PCDI4	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Faculty Associate Directors Research		
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	Monitor at Concordat Steering Groups	On target Revised measure R8: Build from best practice in providing opportunities for teaching experience for researchers. Success measure is increased PRES score.	Ongoing	Faculty Associate Directors Research		
PCDI6	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	People Services Business Partners		
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	N/A	N/A	N/A	N/A	N/A	N/A
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes	N/A	N/A	N/A	N/A	N/A	N/A
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	N/A	N/A	N/A	N/A	N/A	N/A
Managers of							
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	Monitor at Concordat Steering Groups		Ongoing	Line Manager/People Services Business Partner		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Line Managers/Senior Manager Researcher Career Development		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Associate Deans Research; People Services Business Partners		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Line Manager/Associate Deans Research		
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Line Manager/Head of Institutional Learning		
Researchers							

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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **high priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Researchers		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Researchers		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Researchers		
PCDR4	Positively engage in career development reviews with their managers	Monitor at Concordat Steering Groups		Ongoing	Researchers/People Services Business Partners		
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **medium priority** at RDCSG for next academic year (in comparison to other priorities)	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Researchers		
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	From OU Gap Analysis this was identified as partially complete. This was rated as a relatively **low priority** at RDCSG for next academic year (in comparison to other priorities).	Success measure to be defined and agreed at the next (September 2021) RDCSG in consultation with Research Committee	Ongoing	Researchers/Head of Research and Enterprise		

* 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 suport staff; technicians.