

Good Practice Checklist

Post-May 2015 Athena SWAN Scheme Edition

Version 3.1 (February 2016)

For more information contact:

Sean McWhinnie

Oxford Research and Policy

t: 01380 871213

e: info@oxfordresearchandpolicy.co.uk

Good Practice Checklist

Note: The Checklist, and the Benchmark Statements within it, are reviewed by ORP after any changes in requirements Athena SWAN applications and each ORP project which makes use of them.

1. The Good Practice Checklist originated from work by Caroline Fox and Sean McWhinnie in 2003/4 on a joint Athena Project and Royal Society of Chemistry programme. This version, developed by Caroline and Sean, who now work as Oxford Research and Policy (ORP), is structured to meet the needs of university departments. Most recently the checklist has been used by departments in preparation for Athena SWAN award applications.
2. The checklist was originally designed with a focus on women's careers. However, as the checklist measures good practice in a department it can be used for other diversity strands.
3. The checklist was also originally designed for STEMM departments. Subsequently a non-STEMM edition of the checklist was produced. This edition is designed for all departments, STEMM and non-STEMM.
4. The checklist can be "scored" by Oxford Research and Policy. This entails ORP assessing the good practice that the department reports as having in place and identifying gaps. The information provided is used to produce a report for the department. Information on this is available from info@oxfordresearchandpolicy.co.uk
5. The checklist is based on five Action Areas:
 - 1 Fundamentals for Action
 - 2 Appointment and Promotion
 - 3 Career Development
 - 4 Department Organisation and Culture
 - 5 Sustainable Careers

For each action area there are two domains, ten in all:

- 1A Organisation for action
- 1B Evidence base for action
- 2A Appointment and promotion processes
- 2B Levelling the appointment and promotion playing fields
- 3A Career development provision
- 3B Developmental activities
- 4A Effective management
- 4B Workplace culture
- 5A Flexibility
- 5B Career breaks and interrupted careers

Previous Experience in the use of the Checklist

6. Experience in the use of the checklist has shown that the 'best' departments are more likely to rate their performance lower than it actually was, compared with others. They are also more likely to say that what they were doing was just 'common sense' and that they still had a lot to do.
7. The consensus from departments who completed the checklist was that it was a useful tool. Completing it led many departments to review their processes, and for some it also has proved a useful tool for:
 - (i) Promoting awareness of career progression and appraisal issues;
 - (ii) Emphasising the importance of having a head of department who supports flexible working by, for example, only holding meetings during core hours;
 - (iii) Prompting a look at how the department supported its early career staff;
 - (iv) Helping the assessment of how jobs were advertised/the wording used;
 - (v) Stimulating an assessment of career breaks and their support for returners.
8. More generally departments have been using the checklist to assess good practice in place, and subsequently progress in implementing good practice, in relation to Athean SWAN awards.

Completing the Checklist

9. The Checklist can be used in a variety of ways:
 - (i) It can be used by groups, such as a self-assessment team (SAT), a women and careers/diversity committee, working on their own, or in conjunction with early career staff;
 - (ii) It can be parcelled out to individuals/appropriate staff groups, either as a blank canvas or with suggested levels 'pencilled' in;
 - (iii) The checklist can be divided up and used as the basis for workshops, or discussion groups, the outcomes of which are entered on the checklist.
10. How the checklist is used is entirely up to individuals. However, it is suggested that for each statement in the checklist a level is assigned using the level definitions below. It is also useful to record briefly in the notes section evidence for the level assigned, in other words, describe what actually happens in the department including who is responsible for overseeing the process/procedure in question and what checks are carried out to ensure a particular action/procedure is carried out, for example, for statement 4, you might record which committee takes the lead, if there is one, and where it reports. You could go further and describe the committee membership. You should also consider including information about how impact and effectiveness of processes and procedures is monitored (e.g. through periodic surveys, discussions groups, interviews, improving participation rates, etc.) and you might also consider noting down any relevant data from surveys.
11. If Oxford Research and Policy is to "score" your checklist, the scoring will be based on the written evidence rather than your assigned levels but it is still useful to see how you score yourself.
12. It is likely that checklists completed by SAT members will give a different picture from those completed by, say, a group of early career staff. On some topics, early career staff would be unlikely to know the systems the department has in place. In others the perceptions of junior and senior staff will differ.
13. There are 90 statements in the checklist and completing fully responses to all the statements will take a long time. Consequently it may be more effective to break the checklist up into sections (see paragraph 9 above).

14. The checklist is unlikely to be a useful tool for a department/academic grouping of fewer than 10 or so staff.

References to the department Athena SWAN Application Form

15. This version of the checklist provides indicative cross references to the Athena SWAN Department Application Form for Bronze and Silver awards. However, it may well be the case that some of the information in the checklist could appropriately be entered in more than one section of the application form.

Nomenclature

16. The checklist is designed to be general and therefore the terminology used may not reflect that used in your university.

17. In the checklist the term **department** is used to mean a distinct university grouping that has an identifiable head (of department) who has the responsibility for management of staff and resources, and has its own undergraduates and/or postgraduates. It may be that the term school would be more appropriate in your case. The department may consist of distinct research and/or teaching groups, with heads who have some responsibility for managing staff, for which we have used the term **unit**. The units may or may not have students associated with them.

18. The term **faculty** is used to mean the organisational level above the department. In some cases this level might be the school, and in others there may be no such structure.

19. The checklist refers to a **management team/group**: the assumption is that the department has a management team/executive committee that meets regularly.

20. **Line managers** are also referred to in places. Line managers may or may not be heads of units - for junior research fellows/post docs the line manager might be the principle investigator, or the unit head. In some departments, the HOD may carry out all the line management functions for academic staff.

21. The term **appraisal** is used to describe a periodic review carried out by an individual's line manager or other nominated staff member. The assumption is that the appraisal is not part of a performance related pay system. Appraisal might be known in your university as a personal development review (PDR) or by any one of a number of other terms.

Professional and Support Staff

22. Support for professional and support staff careers is considered under the expanded, post-May 2015 Athena SWAN scheme. Oxford Research and Policy is developing a Good Practice Checklist specifically for professional and support staff. In the meantime there are a number of ways to use the checklist to cover professional and support staff. You could either add additional information relevant to professional and support staff where processes/procedures are different from those applicable to academic staff or you could complete a separate checklist specifically for professional and support staff (perhaps by amending a completed academic staff version). Either way, we suggest that all aspects of professional and support staff careers are considered – albeit not all the statements in the checklist apply to professional and support staff – even though for the purposes of Athena SWAN awards many fewer aspects are covered than for academic staff. It is worth bearing in mind that although professional and support staff support is only explicitly addressed at Silver level for departments, you need to be thinking about taking action to ensure good practice is established well before the Silver application form is tackled. In other words, although you do not need to submit details on professional and support staff for a department Athena SWAN Bronze award, it may well prove useful to do the Bronze-level work for professional and support staff at the same time as undertaking Bronze-level work for academic staff.

NOTES ON LEVELS IN THE CHECKLIST:

For each statement the Levels take account of the following:

- The coverage and robustness of the practices, processes, systems and arrangements that are in place;
- The review and reporting processes/mechanisms on the practices, processes, systems and arrangements;
- How well the practices, processes, systems and arrangements are regarded and their effectiveness/impact.

Levels	Description
A	All the elements of the Statement (the practices, processes, systems and arrangements) are well established across the department's disciplines, groups and units. Their effectiveness is regularly reviewed and reported on. Academic and research staff at all levels recognise their importance for the wellbeing and success of the department
B	Most elements of the Statement are in place, in the majority of department disciplines, groups and units, and are regularly reviewed and reported on. They are generally robust and well organised and seen by most staff as useful
C	Some elements of the Statement are in place in some department disciplines, groups and units. However, they generally lack supporting structures systems and resources to underpin them and/or may be fragile. They are seen as important by some senior staff. Their review and their reporting is occasional and or infrequent
D	A few elements of the Statement may be inconsistently applied in parts of the department. They may depend on individuals' interests and goodwill. They are not subject to review or included in school reporting arrangements. Their value and contribution is not well understood
E	Not in place, of little interest to the department /its management, not on their radar & not seen as relevant to future of the School

The use of levels

It is suggested that you try to stick to the level definitions as closely as possible. You may wish to use halfway levels, e.g. C/D, B/C, etc.

Departmental Data

If you are completing this checklist for scoring by Oxford Research and Policy, please provide the information specified below:

University		
School/Faculty:		
Department		
Departmental Contact	Name:	
	Post held:	
	Email:	
	Telephone:	
	Postal address:	

Students (Headcount of those registered for courses in the department)	Male		Female		% Female		Total		
	Full time	Part time	Full time	Part time	Full time	Part time	Full time	Part time	
Undergraduates									
Masters students									
Doctoral students									
Staff (Headcount)	Full Time				Less than Full Time				Overall % Female
	Male	Female	Total	% Female	Male	Female	Total	% Female	
Administrative staff									
Technical staff									
Post-Doctoral Researchers on open ended contracts									
Post-Doctoral Researchers on fixed-term contracts									
Staff on Teaching and Research contracts									
Lecturers (Assistant Professors - Probationers)									
Senior Lecturers (Associate Professors)									
Readers									
Professors (Full Professors)									

Staff on Teaching-only contracts									
Lecturers (Assistant Professors – Probationers, or equivalent)									
Senior Lecturers (Associate Professors, or equivalent)									
Readers (or equivalent)									
Professors (Full Professors, or equivalent)									
Other staff									
Other staff – Fixed-term Individual Fellowships (such as BA, ESRC)									
Visiting Fellows									

Departmental Management

If you are completing this checklist for scoring by Oxford Research and Policy, please briefly describe how the line management of academic and research staff operates. Does the HOD line manage all the academic staff? If senior staff carry out line management, how are they selected? Does line management responsibility rotate?

Departmental Circumstances

If you are completing this checklist for scoring by Oxford Research and Policy, please briefly whether there are any particular issues that affect the department. For example, is the department split between two or more buildings and/or sites? Has the department been the subject of a recent restructuring?

Action Area 1: Fundamentals for Action

Domain1A: Organisation for Action

The management and organisational framework that supports and delivers equality of opportunity and rewards and embeds SWAN Charter principles into the organisation of the department: the leadership and active engagement of senior managers, the awareness of staff in general, clarity on accountabilities, the adequacy and use of the resources available.

	Benchmark 1 Leadership and engagement	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
1	HOD and management team champion and endorse HOD and management team champion and endorse the department's women's careers /good practice activities and programmes. Individually they contribute to and take part in them.	3		
2	Senior staff support and encourage Senior staff support and encourage the department's women's careers /good practice activities. They demonstrate their understanding and encourage departmental staff and students to participate.	3		
3	Individual awareness, participation and benefits Individuals are aware of women's careers /good practice activities and programmes. Academics, post docs and other staff across all units take part in, and benefit from the programmes and activities.	3		
	Benchmark 2 Accountabilities	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
4	Lead Committee A committee has the lead responsibility for the progress of women's careers and good practices (This may be the management team). The committee has the progress of women's careers and good practice as a standing agenda item. It reports to HOD or management team.	3		
5	Committees and post holders Committees and individual post holders are held accountable for tasks/projects allocated to them. They are responsible for disseminating information on, and reporting the progress of women's careers and good practice.	3		
6	Individuals' responsibilities The responsibilities held by individuals, for women's careers/good practice, are clearly identified. They are fully recognised and well understood in the department. The responsibilities are covered in their appraisals.	3/5.3(ii)		

	Benchmark 3 Resources	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
7	<p>Funding is allocated The department allocates funding as appropriate for women's careers/good practice, programmes and initiatives.</p>	3		
8	<p>Administrative and expert support The department has and makes use of both administrative and expert support for its women's careers/good practice, programmes and initiatives.</p>	3		
9	<p>Time is made available Time is made available to staff who manage and lead activities related to women's careers/good practice, programmes and initiatives. This work is taken into account in workload allocations.</p>	3/5.6(v)		

Domain 1B: Evidence Base for Action				
<i>The systems and arrangements for the collection, availability, communication and use of quantitative and qualitative data as the basis for planning and taking action, for monitoring progress and measuring success.</i>				
	Benchmark 4 Student data	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
10	Student F/M profile UGs and PGs F/M numbers, and course of study is discussed by the appropriate department committee. The data are reported to the management team. They are used to measure the representation of women and are available on the department web.	4.1		
11	Student F/M progression F/M UG and PG (taught and research) applications, offers, acceptances, degree classifications and outcomes) are monitored by the appropriate department committee. The data are reported to the management team. They are used to measure and monitor the progression of women and are available to staff.	4.1		
12	Use of time series F/M student data F/M UG and PG time series data are compared against the national picture (including specific groups of relevant institutions), faculty profile, and like departments within and outside the university.	4.1		
	Benchmark 5 Staff data	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
13	F/M Staff profile, turnover and research assessment participation Data, including grade and contract type, are monitored by the appropriate department committee. Data are also monitored on staff submitted for research assessment exercises (RAE/REF). Data are reported to the management team and are used to measure progress. The data are accessible to staff and are summarised on the web.	4.2		
14	F/M Representation in management Data on those in management roles (including committee membership) at university, faculty, and department, levels, are monitored and reported to the department management team.	4/ 5.6(iii)		
15	Use of time series F/M staff data Changes are compared against the national picture, faculty profile, like departments within and outside the university. These data are reported to the management team and are used to measure and report progress.	4.1		

	Benchmark 6 Qualitative Data	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
16	<p>Student surveys Surveys are used by the department to identify F/M differences/similarities, to assess good practice, to measure its impact, to identify what action is needed to improve practices and to assess progress.</p>	3 and throughout		
17	<p>Staff surveys Surveys are used by the department to identify F/M differences/similarities, academic/post-doc/other staff similarities/differences, and to assess good practice, to measure its impact, to identify what action is needed to improve practices, and to assess progress.</p>	3 and throughout		
18	<p>Use of data Data from surveys and reports external to the department are used and are shared to raise awareness and to inform actions.</p>	3 and throughout		

Action Area 2: Key Career Transitions

Domain 2A: Appointment and Promotion Processes

The action taken to ensure that processes and criteria are clear and open (and information is communicated effectively and in a timely manner), that criteria take account of teaching, research, administration, pastoral, outreach, other responsibilities, and that processes, including decision making, ensure that women and men are equally likely to be put forward and to be successful.

	Benchmark 7 Decision makers	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
19	Appointment panel gender balance Panels for academic and post doc appointments and promotions include at least one man and one woman.	5.1(i)/ 5.1(iii)		
20	Representativeness of appointment panel membership The individuals who participate in selection processes and activities for academic appointments are representative of the department's female and male staff profile.	5.1(i)		
21	Unconscious bias/no candidates are disadvantaged Panel members are aware of female and male differences in how individuals present themselves. Panel chairs ensure that no candidates are disadvantaged by the processes and activities. Appropriate training is provided for panel chairs and panel members	5.1(i)/ 5.1(iii)		
	Benchmark 8 Information	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
22	Information on appointment and promotion processes and criteria The processes and the criteria used are clear, and fair. The information provided to candidates and to panels, is clear, fair, and appropriate and covers careers breaks and less than full time working.	5.1(iii)		
23	Communication is timely and effective Information on job opportunities is timely and effective. Communications (on timing, process, criteria), at the beginning of promotion rounds are timely and effective.	5.1(i)/ 5.1(iii)		
24	Information is useful, attractive and inclusive The information and further particulars for posts advertised reflect the department (members and activities) as a whole. It includes practical, up to date information, of interest to the family unit and is attractive to minorities.	5.1(i)		

	Benchmark 9 Monitor Appointments and Promotions	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
25	<p>Applications for appointments Application process is monitored. Shortlists are referred back by the HOD if the proportion of women is not representative of the proportion of women in the recruitment 'pool'. Further information is required before the process continues.</p>	5.1(i)		
26	<p>Promotion monitoring The HOD monitors the list of candidates for promotion put forward by the department. Final outcomes are monitored by gender, grade and full-/part-time status and compared with like departments, the faculty and the university and are reported to the management team.</p>	5.1(iii)		
27	<p>Appointment processes and outcomes monitoring Data on applications, shortlists, offers and acceptances broken down by gender and grade are monitored and reported to the department management team.</p>	5.1(iii)		

Domain 2B: Levelling Appointment & Promotion Playing Fields				
<i>The action taken to increase the candidate pool, to attract potential candidates from women and or other groups underrepresented in the department, to encourage them to apply and to ensure that short listing, selection processes and criteria are fair open and transparent and are women and men equally likely to be successful.</i>				
	Benchmark 10 Identify and encourage candidates	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
28	Widen the candidate pool Academics in the department identify potential candidates (both internal and external) in particular belonging to underrepresented groups and they are informed of job opportunities as they arise.	5.1(i)		
29	Positive review of potential promotion candidates All academics (and other staff) are positively reviewed for their promotion potential, in the lead up to, or at the beginning of each promotion round. Candidates do not have to self-nominate themselves for promotion. However, there is provision for personal applications.	5.1(ii)		
30	Encourage application HOD and Heads of sections encourage individuals to apply for posts and for promotion. If individuals, who have potential, do not apply the HOD and Heads of units actively suggest they do apply.	5.1(iii)		
	Benchmark 11 Support for promotion candidates	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
31	Support promotion candidates' cases for promotion Individuals who are preparing their cases for promotion are able to access help to present themselves and their cases in the best way possible.	5.1(iii)		
32	Personal support Individuals can access personal mentoring, coaching and other support during the promotion process.	5.1(iii)		
33	Advice on gaps and weaknesses: If gaps and/or weaknesses in candidates' CVs are identified during the departmental consideration, candidates are offered advice on filling gaps at the earliest possible opportunity.	5.3(ii)		

	Benchmark 12 Feedback and follow up for promotion candidates	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
34	<p>Positive feedback Successful and unsuccessful candidates are offered, and take the opportunity for, positive feedback.</p>	5.1(iii)		
35	<p>Unbiased career advice and guidance Unbiased career advice and guidance is available to unsuccessful candidates to improve their chances of promotion in the future.</p>	5.1(iii)/ 5.3(iii)		
36	<p>Activities and opportunities available to candidates Candidates who receive feedback on the experiences, skills, activities, and opportunities they need are provided with the opportunity to gain these.</p>	5.1(iii)/ 5.3(i)/ 5.3(iv)		

Action Area 3: Career Development

Domain 3A: Career Development Provision

The support and encouragement provided for women and other underrepresented groups to participate in training, programmes, and activities (departmental, university and external) that contribute to their career/professional/personal development, and raise their profile.

	Benchmark 13 Staff Development and training	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
37	<p>Induction All new staff (academic, post doc and others), are provided with a comprehensive induction at department, as well as University level. The take up and usefulness of department, faculty and university provision is monitored.</p>	5.1(i)		
38	<p>Awareness of needs and what is available Head of department/heads of units are aware of the development needs of their staff, and the training, opportunities and support that is available. They facilitate participation to meet those needs, and ensure that support is available for staff applying for research grants.</p>	5.3(i)/ 5.3(iv)/ 5.3(v)		
39	<p>Encourage and monitor participation Senior staff encourage junior colleagues to take up training and development provision, and recommend courses they know are useful. The department monitors participation rates.</p>	5.3(i)		
	Benchmark 14 Junior research fellows/posts docs development	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
40	<p>Access to impartial advice Junior research fellows/posts docs have access to impartial advice on career development.</p>	5.3(iv)		
41	<p>Individual responsibility for career progression Junior research fellows/posts docs are made aware that they are personally responsible for their own careers and for making informed career decisions and choices.</p>	5.3(iv)		
42	<p>Transferrable Skills Training The uptake, and the usefulness, of the training provided to junior research fellows/posts docs is monitored.</p>	5.3(i)		

	Benchmark 15 Appraisal	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
43	<p>Arrangements and availability There are appropriate differentiated appraisal schemes for academics, junior research fellows/posts docs, and other staff groups. The schemes ensure regular and automatic appraisal. Those who appraise junior research fellows/posts docs receive appropriate and useful training. Staff who 'manage' others are asked in their own appraisal about the career development support they provide.</p>	5.3(ii)		
44	<p>Comprehensive Coverage Appraisal provides comprehensive coverage of key areas including the full range of activities (teaching, research, administration, outreach, pastoral responsibilities, enterprise, etc), workload, training needs, preparation and readiness for promotion, work-life balance.</p>	5.3(ii)		
45	<p>Follow through Checks are made to ensure that the development needs of academics, including junior research fellows/posts docs, and other staff, which are identified at appraisal, are met and that they are followed up at the next appraisal.</p>	5.3(i)/ 5.3(ii)		

Domain 3B: Developmental Activities				
<i>The support and encouragement provided for women and other underrepresented groups to participate in programmes/activities (departmental, university and external) that contribute to their career/professional/personal development, and raise their profile.</i>				
	Benchmark 16 Mentoring	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
46	Availability information and contact Information on schemes (university/department and/or external) for academics, junior research fellows/posts docs, other staff and post graduate students is easily accessible. It is well publicised, and up to date, with named scheme contacts available.	5.1(ii)/ 5.3(iii)		
47	Senior Academics and other senior staff act as mentors Heads of units encourage staff in particular senior academic staff and other senior staff to become mentors, and to train as mentors.	5.1(ii)/ 5.3(iii)		
48	Monitoring The department monitors the take up (by gender and staff group) of mentoring, and its usefulness, for mentors and for mentees.	5.1(ii)/ 5.3(iii)		
	Benchmark 17 Networks and role models	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
49	Support and encourage networks The HOD/heads of units encourage staff to contribute to external professional and special interest networks (regional, national and international), and to join and/or form internal support networks (university, faculty, and department).	5.6(iv)		
50	Use of networks Academics use their personal networks on behalf of the department, and its women's careers activities (for example to identify potential mentors, female visiting academics, external examiners and seminar speakers).			
51	Role models Female academics and other senior women act as role models and are encouraged to do so by the department. The department encourages visits from women academics, with the opportunity to present their work and meet staff, including junior research fellows/posts docs. The activities are monitored across sections and further encouragement is given if needed.	5.6(vii)		

	Benchmark 18 Internal and external activities	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
52	<p>Internal activities The HOD/heads of units encourage their staff to undertake activities in the department, faculty and university, which raise their personal profile and which bring them, and their work, to the notice of senior staff.</p>	5.3(iii)		
53	<p>External activities Senior staff encourage staff, including junior research fellows/posts docs, to get involved in professional and learned societies. Where appropriate, they put them forward for positions.</p>	5.3(iii)		
54	<p>Department nominations and recommendations The HOD/management team monitor by gender the nominations and recommendations made by the department/the university on their behalf for professional roles, functions, prizes, awards, marks of esteem.</p>			

Action Area 4: Department organisation and culture

Domain 4A: Effective Management

The organisational systems/structures that ensure the fairness, openness, and clearness of department management arrangements (accountability, reporting, communications, resource allocation - office and laboratory space, research technical support and access to equipment funding and studentships), including the systems to identify/nominate/select/elect members/chairs and into management roles.

	Benchmark 19 Management systems	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
55	Accountability and reporting arrangements The accountabilities (and the reporting lines) of the HOD, the management team, and heads of units, are clear, effective, and are well regarded by academics including junior research fellows/posts docs and other staff.	2		
56	Representative management The HOD/management team ensures that the membership and chairs of committees and heads of functions and units reflect the department staff profile.	2		
57	Communications The department and units communicate effectively and openly with academics, junior research fellows/posts docs and other staff. The process is two way, regular, timely, and is valued by staff.	2		
	Benchmark 20 Resource allocation	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
58	Systems for allocating resources The systems for allocating resources used by the department, and its units, are clear, and open, and understood by staff.	2		
59	Offices/departmental resources Academics including junior research fellows/posts docs perceive that the way these are allocated is fair and that the share they, their team and/or group has, is fair.	2		
60	Finances Academics, including junior research fellows/posts docs, understand the different sources of department and unit funding. They perceive that the way the department and units allocate available funding is fair.	2		

	Benchmark 21 Workload roles and responsibilities	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
61	<p>Monitoring the balance of teaching and research: The HOD/management team monitor the balance of teaching and research loads, to ensure that it reflects both individuals' career stage and department's needs, and that it provides fair teaching opportunities and that the teaching load for newly appointed academics is fair.</p>	5.6(v)		
62	<p>Rotation of management and administrative roles The HOD/management team makes sure that management roles and committee memberships are rotated. The rotation takes account of individuals' level of management experience and their need for experience, and the needs for gender balance, new blood and succession planning.</p>	5.6(v)		
63	<p>Allocation of workload is fair and open Staff perceive the workload allocation is fair and open. They believe that they, their team and their peers receive equitable treatment and that they would be heard fairly if they raised concerns.</p>	5.6(v)		

Domain 4B: Workplace Culture				
<i>The systems/arrangements that ensure workload allocation is fair, transparent, effective and appropriate, that it covers all contributions and responsibilities (pastoral and administrative responsibilities, work on women and science) as well as teaching and research, that workload is taken into account in appraisal and promotion, there is a balance between responsibilities with a heavy workload with those that are good for individuals' career and responsibilities are rotated.</i>				
	Benchmark 22 Working environment	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
64	Standards of behaviour Staff respect the (high) standards of behaviour towards all other staff and students that the department sets. They would expect timely and effective action to be taken over any reported incidence of poor or intimidating behaviour.	5.6(i)/ 5.6(ii)		
65	Open and friendly environment The HOD, the management team and heads of units ensure an open, welcoming and friendly environment.	5.6(i)		
66	Co operative working Departments and units ensure that their academic staff recognise the problems that can be created by an overly competitive environment and/or the relentless pursuit of personal professional ambitions.	5.6(i)		
	Benchmark 23 Collegiality	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
67	Support from colleagues The department checks to ensure that academics including junior research fellows/posts docs, perceive that they personally, and members of their unit/group/team receive support and encouragement from colleagues (junior, peers, and senior).	5.6(i)		
68	Line management The department recognises the potential conflict of interest between academic/ 'managers' and those they manage. There are arrangements in place which ensure that individuals can access unbiased career advice, in a way that doesn't damage their career prospects.	5.3(iii)/ 5.6(i)		
69	Sense of belonging The department has systems and arrangements in place to ensure that all staff feel they 'belong' from their first day onwards, and are included in the work and social activities of the department and their unit/team.	5.6(i)		

	Benchmark 24 Individual contributions valued	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
70	<p>Teaching and research contributions Academics' teaching and research contributions are valued by their unit and the department, and their contributions are recognised, rewarded and celebrated.</p>	5.6(i)		
71	<p>Management and administrative contributions The department expects that individuals' contributions to the running of department and section are valued, recognised, and rewarded.</p>	5.6(i)		
72	<p>External professional contributions The department ensures that it is aware of academics' and post docs' external professional contributions. The value of these external contributions to the department and its units is recognised, as is the time taken in carrying out these activities.</p>	5.6(i)		

Action Area 5: Sustainable Careers

Domain 5A: Flexibility

The action to ensure that flexible working and family friendly policies, practices (including e.g. core time, the timing of meetings/events, teaching timetabling and managing flexible working) are effective, that department and group/section/team heads are aware of individual's needs for flexible working, that flexibility is available to all academic staff (including post docs) and that its take up (and the take up of e.g. paternity, parental/shared parental and adoption leave) is encouraged and monitored.

	Benchmark 25 Approaches to flexible working	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
73	Availability of flexibility Information on the range of flexible working arrangements available to different staff groups in the department is well publicised. The department ensures that working arrangements reflect the importance the department places on flexible working for all.	5.5(vi)		
74	Awareness of individual needs The department/its managers are 'aware' of the individual needs for flexibility of its staff and demonstrates a willingness to try to meet those needs.	5.5(vi)		
75	Long hours culture discouraged The department discourages manifestations of a long-hours culture/presenteeism and is proactive in managing of working time across all units/groups/teams.	5.6(i)		
	Benchmark 26 Take up of flexible working	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
76	Senior staff lead by example Senior staff are expected to lead by example in their own working arrangements and to go public, within the department, on the use they make of flexibility.	5.5(vi)		5.5
77	Encourage take up The department makes it easy for academics including junior research fellows/posts docs and other staff to take advantage of flexibility (for example, by as far as is practicable not requiring long notice and not asking why an individual needs flexibility on particular occasions).	5.5(vi)		
78	Monitor take up The department 'monitors' the take up of flexibility in units/groups/teams. The department follows up on areas where the take up of flexible working is low.	5.5(vi)		

	Benchmark 27 Flexibility built into arrangements	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
79	<p>Timing of meetings/events The department timetables meetings and events (academic, administrative and social) to ensure as many as possible can attend. Dates of important events are publicised well in advance. The department checks its arrangements to enfranchise staff including those working less than full time.</p>	5.6(vi)		
80	<p>Timetabling of teaching Individuals' needs for flexibility, such as personal and family circumstances, are taken into account when teaching is timetabled.</p>	5.5(vi)		
81	<p>Units/Groups/Teams' arrangements Units arrange meetings and events to meet the working patterns and flexibility needs of their staff, so as to maximise attendance and allow the majority of staff to participate.</p>	5.5(vi)		

Domain 5B: Career breaks and interrupted careers				
<i>The action taken to ensure that: managers and individuals are aware of what support/facilities are available, that individuals can receive practical advice and information, returners' career needs (the flexibility, practical provisions, personal support, mentoring, training and development opportunities which facilitate a smooth return and getting a career back on track) are recognised and provisions are in place to meet those needs.</i>				
	Benchmark 28 Supportive approaches to career breaks	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
82	<p>Aware and supportive The department demonstrates its ability and its willingness to support staff to cope with the practicalities before, during and after a career break or unplanned career interruption. The department expects its line managers to be aware of what the department can and does provide.</p>	5.5(i)/ 5.5(ii)/ 5.5(iii)		5.5
83	<p>Practical advice and information The department has well publicised and easily accessible arrangements for providing advice and information, formal and informal which can be used by all, including potential users, HOD, and line managers.</p>	5.5(i)/ 5.5(ii)/ 5.5(iii)		
84	<p>Role models and case studies Individuals (across the grades and staff groups) who have personal experience of career breaks and career interruptions are identified; some provide case studies which are on the intranet. Some act as points of contact in the department and provide practical and career progression advice.</p>	5.5(i)/ 5.5(ii)/ 5.5(iii)		
	Benchmark 29 Career breaks before and during	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
85	<p>Personal choice The department's approach reflects the awareness that individuals' needs and wants (for advice, support, contact, and flexibility) are a personal choice. Managers are expected to arrange for a meeting with individuals to check they are getting the support, advice and information they want and need.</p>	5.5(i)/ 5.5(ii)		
86	<p>Cover arrangements The department can and does help with, advise on, and/or make the support arrangements (for administration/teaching/research responsibilities) before, during and after the career break. These are agreed with the individual and their managers (preferably in advance).</p>	5.5(i)/ 5.5(ii)		
87	<p>Keeping in touch The department has arrangements to keep individuals informed of events and changes while on leave. Managers are expected to communicate news. If an individual wishes it, colleagues visit, and/or the individual comes into the department, using, e.g., "keeping in touch" (KIT) days.</p>	5.5(ii)		

	Benchmark 30 Career breaks on/after return	SWAN Form	Notes/comments and description of arrangements and processes and how their impact/effectiveness is monitored/measured	Level
88	<p>Support to facilitate a smooth return The department recognises returners' need personal support and mentoring to facilitate a smooth return. Returners are offered a personal mentor and training and development to get them back up to speed. Managers are expected to "look out" for returners and check they are getting the support they need.</p>	5.5(iii)		
89	<p>Flexibility available after return Information on the flexibility (hours, days, pattern of work over a period) that is available, on and after their return, is provided and discussed before the career break. Meetings to agree the pattern of return are held prior to the return.</p>	5.5(iii)/ 5.5(vi)/ 5.5(vii)		
90	<p>Career progression The HOD/line manager holds a meeting with academic returners, some weeks after their return to discuss their career progression, what is needed to get their career back on track, and over what time scale. This is followed up at subsequent meetings or at appraisal.</p>	5.5(iii)		