

Durham University
Concordat to Support the Career Development of Research Staff
Gap Analysis and Action Plan
UPDATED August 2013

Introduction

Durham University is a medium-sized research-intensive university (with approximately 1500 postgraduate research students and 300 research staff) and significant research grant income of £66.3M in 2008/9. The personal and career development of our research staff is of central importance to our university strategy and we welcome the opportunity for our support to be benchmarked against the Concordat to Support the Career Development of Research Staff.

The University Research Committee (which is chaired by the Pro-Vice-Chancellor for Research) has set up the Concordat Implementation Group (CIG) as the operational group which oversees the implementation of the Concordat (and includes the production of this gap analysis and action plan). The CIG reports to two University committees – the Human Resources Steering Group and Research Committee. Membership of the group includes

The Dean of the Graduate School (now the Dean of Undergraduate and Postgraduate Education)

The Director of Postgraduate Training (now the Director of Researcher Development)

The Director of the Research Office

The Deputy Director of Human Resources

A member of Committee of the Durham Branch of the Universities and Colleges Union (UCU) with special knowledge of research staff

Membership of the CIG is thus at high level and covers the key stakeholders across the University who have responsibility for the personal and career development of research staff. Durham does not at present have a research staff association or similar (there has been no desire from the research staff community to set up such a group which has been confirmed during the consultation process). We see the involvement of a senior office holder from UCU (the union that represents research staff) as being an effective way to feed the views of researchers into the work of the CIG. UCU has formal negotiating rights for all matters connected with the collective conditions of service of research staff (whether members of UCU or not) and so represents all research staff in these negotiations. For that purpose UCU is recognised by management as playing a vital role when discussing terms and conditions. Most recently this was done when negotiating on behalf of Fixed Term Staff and then PT/hourly paid staff. UCU also has extensive knowledge of the views of research staff across the University, both through its day-to-day contact with research staff (particularly through the Fixed Term Contract Staff member of its Committee) and its handling of personal cases amongst its research staff membership. UCU also holds meetings of both its membership and special purpose meetings open to all staff where it topics particularly relevant to research staff are discussed – an example of this is during negotiations over issues of fixed term staff within the university. It is the view of the University that UCU's historical knowledge of the issues surrounding the employment of research staff within Durham provides the most effective view of the researcher's perspective in drawing up our gap analysis and action plan.

Research Committee includes both a representative of the research staff and the postgraduate research communities and is the body which both gives strategic direction to the CIG and approves its actions. The CIG reports at least annually directly to Research Committee and, via the Director of Human Resources, to the University Council (which is the body ultimately responsible for human resources matters).

The gap analysis was undertaken by members of the CIG considering their particular areas of responsibility -consulting widely with their stakeholder groups. It was also informed by the limited amount of reliable information that could be extracted from the very low response rate from our participation in CROS in 2009. The initial analysis was considered by the whole group and a revised gap analysis was produced. As discussed above, it was the responsibility of the UCU member to feed in the view of the research staff community at all stages. Having completed the gap analysis, an action plan was drawn up using a similar process. Both the gap analysis and the action plan were considered by Research Committee and HR Steering Group and their views were incorporated into the final draft. Thus the Gap Analysis and Action Plan have been taken through the deliberative processes of Research Committee where research staff representatives on both Faculty and University Research Committees will have consulted with the

researcher community and have had their views incorporated. Thus research staff views have been incorporated both through the membership of the CIG and through the formal deliberative structures of the University.

When the Gap Analysis and Action Plan were published¹, the CIG publicised them to research staff using the established university procedures through Dialogue² and requested feedback. Information on the Concordat, as well as the Gap Analysis and Action Plan are being given to new research staff in their new starter documentation. An annual open meeting of research staff has been instituted, which provides a regular forum for feedback on all research staff issues.

The CIG is responsible for the future monitoring of the implementation of the action plan and the resulting evaluation of its effectiveness, reporting through the deliberative structures of Research Committee and HR Steering Group. The CIG will meet at least termly and will progress items identified in the action plan, which will be linked to each meeting. The membership of CIG has been expanded to include two representatives of research staff.

The updated action plan reflects the position as of August 2013. Sub-principles of the Concordat where progress has been made against the original action plan are highlighted in purple. New actions that have been introduced since the original action plan are indicated by blue. A traffic light system (red, amber, green) is used to mark the status of actions.

¹ <http://www.dur.ac.uk/resources/hr/Gapanalysisandactionplan.pdf>

² <http://www.dur.ac.uk/dialogue/>

Glossary

ASR	Annual staff review
BIS	Business and Innovation Services
CARD	Centre for Academic and Researcher Development
CEEC	Careers, Employability and Enterprise Centre
CIG	Concordat Implementation Group (reports to PVCR)
CROS	Careers in Research Online Survey
DEAG	Diversity and Equality Advisory Group (chaired by PVCE)
Dean GS	Dean of the Graduate School
Faculty PVC	Faculty Pro-Vice-Chancellors
HoD	Head of Department
HR	Human Resources
PI	Principal Investigator
PVCE	Pro-Vice-Chancellor Education
PVCR	Pro-Vice-Chancellor Research
RO	Research Office

A. Recruitment and Selection

PRINCIPLE 1

Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research

	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
1.1	<p><i>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</i></p> <p>We have clearly defined person specifications for all roles, including research posts. All posts are advertised and the usual recruitment guidelines apply to these roles. We also have compulsory recruitment and selection training. http://www.dur.ac.uk/hr/local/recruitment/recruiters/recguide/</p>	A	HR	Completed
1.2	<p><i>Employers should strive to attract excellence and respect diversity (see Principle 6). Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background. Person and vacancy specifications must clearly identify the skills required for the post and these requirements should be relevant to the role</i></p> <p>Same comments as 1.1. Full guidance is available on the HR web site along with generic job descriptions and person specifications for research posts. All shortlists are countersigned by the relevant HoD, and checked by HR for compliance.</p>	A	HR	Completed

1.3	<p><i>Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.</i></p> <p>We have a Fixed Term Contract Policy (agreed with campus trade unions in 2006) which states the circumstances in which a fixed term contract can be justified, usually due to time limited funding. http://www.dur.ac.uk/hr/policies/condemp/fixedterm/.</p>	A	HR	Completed
1.4	<p><i>To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.</i></p> <p>We have compulsory recruitment and selection training and this is also covered in the guidance available on the HR web site. We always give feedback when requested.</p>	A	HR	Completed
1.5	<p><i>The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation.</i></p> <p>We grade every new research job in accordance with HERA methodology and all decisions are based on generic Job Descriptions and templates available on the HR web site. http://www.dur.ac.uk/hr/policies/promotion/reschprog/.</p>	A	HR	Completed

<p>B. Recognition and Value</p> <p>PRINCIPLE 2 Researchers are recognised and valued by their employing organisation as an essential part of their organisation’s human resources and a key component of their overall strategy to develop and deliver world-class research.</p>				
	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
2.1	<p><i>Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems</i></p> <p>Research staff have equal treatment in all processes, we make no distinction, and this is clearly articulated in the Fixed Term Contract policy. However it is acknowledged that this is dependent on consistent application by individual PIs. We are trying to address inconsistencies by providing training for PIs.</p> <p>Action 2.1.1 Increase training for PIs in research management 2.1.2. Make CR staff aware of provision for research leadership training</p>	O	2.1.1 CARD/HR 2.1.2 Research leadership team/CARD	2.1.1 On-line Epigeum material should be available early 2014 Completed

2.2	<p><i>Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.</i></p> <p>All of the above is covered in the Fixed Term Contract policy (see http://www.dur.ac.uk/hr/policies/condemp/fixedterm/) – this is based on JNCHES guidance and was drawn up in partnership with campus trade unions in 2006. Our policy has also been cited as an example of good practice.</p>	A	HR	Completed
2.3	<p><i>Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.</i></p> <p>All research staff must participate in the annual staff review (ASR) process, one output of which is a training plan. However this again depends on consistent application by individual PIs. This is reinforced in the training for PIs. http://www.dur.ac.uk/hr/annual.staff.review/</p> <p>From 2011 departments will be asked by the relevant Faculty PVC to confirm that ASRs for all staff have been completed.</p>	A	2.3.1 HR 2.3.2 HR 2.3.3 HR	2.3.1 Initial monitoring completed by end of 2011-12 ASR cycle (June 2012). Ongoing in Future years. 2.3.2 Complete, ongoing in future years 2.3.3 Completed

	<p>Actions</p> <p>2.3.1 Increase uptake of ASR amongst research staff</p> <p>2.3.2 Heads of Department and Faculty PVCs to monitor departmental returns</p> <p>2.3.3 Participation in ASRs should be publicised to ESRs in advance of next ASR cycle</p>			
2.4	<p><i>Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.</i></p> <p>We do have limited bridging funding. This may be an area we could develop further.</p> <p>All researchers with more than 12 months service are offered redeployment opportunities by HR. We have recently (October 2010) agreed a formal Redeployment Policy with campus trade unions: http://www.dur.ac.uk/hr/policies/redeployment/</p> <p>At the Research Enablers Away Day (29th September 2010), the Research Office issued “<i>Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants</i>” which includes guidance on naming Postdoctoral Research assistants in grant applications and clearly sets out the head of department responsibilities in relation to the Concordat and refers to the Principal Investigators responsibilities under the Concordat. The Guidance booklet will be presented direct to Heads of Departments at upcoming Faculty Board meetings and will available to down load from the Research Office website. Research office staff advise academics in accordance with this guidance when assisting the development of external proposals for research grant funding.</p>	A	<p>2.4.1 PVCR / Treasurer / HR.</p> <p>Responsibility now resides with Faculties.</p> <p>2.4.2 RO / HoD</p>	<p>2.4.1. Treated on an individual basis.</p> <p>2.4.2 Completed</p>

	<p>Actions</p> <p>2.4.1 Explore options for increasing amount of bridge funding available</p> <p>2.4.2 Promote awareness of “<i>Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants</i>” in Departments.</p>			
2.5	<p><i>Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.</i></p> <p>We have a clearly defined research career pathway, agreed with campus Trade Unions, which follows framework agreement guidelines.</p>	A	HR	Completed
2.6	<p><i>Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.</i></p> <p>Same comments as 2.5 above.</p> <p>There is scope to improve the way this information is communicated</p> <p>Actions</p> <p>2.6.1 Explore options for communication with research staff</p>	O	2.6.1 CIG	Ongoing

C. Support and Career Development

PRINCIPLE 3

Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.

PRINCIPLE 4

The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.

	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
3.1	<p><i>It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.</i></p> <p>Durham has little difficulty in attracting well qualified candidates to fill its research positions. It is a major plank of the Institutional strategy to attract the best researchers to the institution. Our researcher development provision won the 2009 THE award, which is an indication of quality, at least within the sector.</p> <p>Action 3.1.1 Explore how to harness information on researcher destinations 3.1.2 Evaluate researcher development provision against provision in non-academic sectors</p>	O	3.1.1 CIG / HR 3.1.2.CARD	3.1.1 Use exit interviews- ongoing 3.1.2 Ongoing

3.2	<p><i>A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.</i></p> <p>We have a clearly defined research career pathway, agreed with Trade Unions, which follows framework agreement guidelines. We also proactively consider redeployment to other career pathways when contracts come to an end. See http://www.dur.ac.uk/hr/policies/promotion/reschprog/ and http://www.dur.ac.uk/hr/policies/redeployment/.</p>	A	HR	Completed
3.3	<p><i>Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.</i></p> <p>The researcher development programme (http://www.dur.ac.uk/resources/graduate.school/Handbook2010.pdf) is designed support the development of a wide range of skills and competencies including communication and other professional skills including publication, grant writing, project management. Researchers are provided with details of the Durham and other regional and national career development opportunities via regular e-mails.</p>	A	CARD	Completed

<p>3.4</p>	<p><i>All employers will wish to review how their staff can access professional, independent advice on career management in general, particularly the prospect of employment beyond their immediate discipline base, or offering training and placements to broaden awareness of other fields and sectors.</i></p> <p>Currently all research staff can access a professional, independent and dedicated careers advisor based in the Careers, Employability and Enterprise centre. Generic training is available via the researcher training programme. Placements can only be effective if there is a relaxation in research council grant conditions so that grants can be easily extended if research staff e.g. take up an internship during the course of the grant that employs them.</p> <p>3.4.1 Monitor conditions of award of research grants to ensure that opportunities for placements and internships are taken up when permitted.</p>	<p>O</p>	<p>CIG</p>	<p>Ongoing. We are linking this to the research student agenda. European funding initiatives such as ITNs are providing some opportunities.</p>
<p>3.5</p>	<p><i>Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.</i></p> <p>Policies for promotion and reward are set out clearly on e.g. the HR website (http://www.dur.ac.uk/hr/policies/promotion/reschprog/). The Concordat is distributed to all research staff. Representatives of research staff sit an appropriate university bodies and CARD will fund representatives of the research staff body to attend appropriate national events.</p>	<p>A</p>	<p>HR and CARD</p>	<p>Complete</p>

3.6	<p><i>Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.</i></p> <p>The University is currently reviewing its induction programme for all staff and a specific programme will be included for research staff. It will be a challenge to ensure that all research managers (particularly PIs) provide effective training. However the probation and ASR processes emphasise the importance of appropriate professional development.</p> <p>Actions</p> <p>3.6.1 Complete review of induction and ensure adequate provision for research staff</p> <p>3.6.2 Produce induction check-list for all new research staff.</p> <p>3.6.3 Include training for HoDs and PIs on the management of research staff</p>	A	3.6.1 CIG 3.6.2 CIG 3.6.3 CIG	3.6.1 Initial review complete and ongoing. 3.6.2 Complete 3.6.3 HoD training implemented Jan 2012. Leading research programme established and ongoing (Epigeum research leadership module due 2014)
3.7	<p><i>Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.</i></p> <p>Currently, skills and competencies are defined in terms of the HERA framework, which defines those associated with particular grades. The researcher development programme enables researchers to acquire additional skills but practice will be dependent on the research manager providing the researcher with suitable opportunities; for instance, the opportunity to gain supervisory experience,</p>	A/O	3.7.1 CIG 3.7.2 CARD 3.7.3 CIG	3.7.1 Provided via PI training programme. 3.7.2 Implement 2012-13. On hold due to difficulties of defining excellence. 3.7.3 2013-14

	<p>perhaps by (joint) supervision of a final year undergraduate project or dissertation.</p> <p>Action</p> <p>3.7.1 Provide PIs with examples of best practice for researcher career development</p> <p>3.7.2 Consider Excellence in Research Leadership award</p> <p>3.7.3 Future presentation to Faculty Boards</p>			
3.8	<p><i>Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.</i></p> <p>Formally, this is done through the annual staff appraisal system (see section 2.3) which applies to all staff, including research staff. Appraisal is normally done via the line manger and there is unlikely to be significant mentoring support beyond the initial induction period.</p>	A	CIG	Completed
3.9	<p><i>Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of researchers in key areas such as writing for publication or communicating with a wider audience. Funding bodies acknowledge that the training of researchers is a significant contribution to research output and they encourage employers and mentors to adopt these practices.</i></p> <p>To achieve this we will need to make PIs aware of the need to do this and, in some cases, we will need to make a major cultural change. There are a number of</p>	A	3.9.1 CARD / HR	3.9.1 Complete via Leading Research programme and Epigeum on-line resource

	<p>examples of good practice that could be presented</p> <p>Action</p> <p>3.9.1 Develop examples of good practice that can be included in academic staff and leadership development programmes.</p>			
4.1	<p><i>Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their prospects for success in their preferred career.</i></p> <p>The researcher development programme stresses that researchers are responsible for their own career development etc and is geared towards this by operating on a menu system. New research staff are provided with a mentor on appointment and undergo a probationary process. There is however a tension between this and the ownership that some PIs may feel for their research staff which can result in difficulties for research staff taking up career development opportunities. Research staff are part of the annual staff appraisal system although there is evidence that not all research staff are included. Research staff have access to a dedicated career advisor in the Careers Advisory Service. As with all University Careers Services, their advice is based on honesty and transparency to provide realistic advice to their clients.</p> <p>The Annual Staff Review scheme (http://www.dur.ac.uk/hr/annual.staff.review/)</p> <ul style="list-style-type: none"> • applies to all full time, part time and fixed term members of staff. • identifies personal and professional staff development needs. • provides every member of staff with the opportunity to meet at least once 	A	HR	Completed

	<p>a year, with an appropriate reviewer, to discuss how their role can contribute to the continued success of the University</p> <ul style="list-style-type: none"> • provides an opportunity for members of staff to review progress over the previous year and agree objectives for the coming year. • from 2010, completion of the Personal Research Plan (PRP) is required as part of the Annual Staff Review. <p>Details on training and CPD for research staff are available from the following web page: http://www.dur.ac.uk/hr/researchstaff/usefulinfo/</p>			
4.2	<p><i>Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.</i></p> <p>Formal developmental activities open to researchers include many opportunities which focus on academic practice including project management, writing for publication, securing funding, teaching development etc. We have a training programme for new and aspiring principle investigators which focuses primarily on the research role. We plan to introduce a lower level qualification in research support (the Durham University Research Award). Development of teaching and learning activities is covered in 4.3 below. Our formal qualifications in learning and teaching lead to recognition by the HEA and so ensure broad recognition. There is currently no national benchmarking of other areas of academic practice apart from teaching and so wide recognition is difficult to achieve.</p>	A	CARD	Completed

4.3	<p><i>Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their career development, suitable training and support is provided.</i></p> <p>The University has no requirement for new research staff to undertake professional development in learning and teaching (http://www.dur.ac.uk/hr/policies/probation/profdvlp/) . However, research staff are encouraged to make use of a wide range of opportunities that are available. These include accredited courses such as the Durham University Award in Learning and Teaching or Module 1 of the Certificate in Academic Practice, both of which lead to Associate Fellowship of the HEA. There are also stand-alone courses on various aspects of learning and Teaching which are available through the researcher training programme. The formal requirement for support is that all those involved in teaching should be peer observed at least every three years. Best practice in departments will include much more support and this minimum. The University has a PG Certificate in Academic Practice which provides a CPD framework for the professional development of academics. In summary the programme aims to:</p> <ul style="list-style-type: none"> • provide an initial orientation to the learning and teaching issues that course participants will encounter in their professional teaching role at Durham University and within the context of their discipline • provide course participants with a learning environment in which they can reflect on, and further develop, their understanding of the student learning experience and in a way which is aligned with the areas of activity, core knowledge and professional values as expressed in the UK Professional Standards Framework for teaching and supporting learning in higher education (UK PSF) • enable participants to avail themselves of opportunities to develop broader aspects of their academic practice • instil in course participants a reflexive and innovative approach to their 	A	CARD	Completed
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	<p>academic practice that they will further develop throughout their careers From 2010/11, the Research Office will deliver training as part of Module 5 “Developing Funded Research”.</p> <p>Further details are available from the web page: http://www.dur.ac.uk/education/ctrlhe/programmes/pgcap/</p>			
4.4	<p><i>Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.</i></p> <p>At Departmental level, best practice is to have a number of post doctoral representatives sitting on Boards of Studies.</p> <p>At organisational level, University Research Committee draws its membership from the researcher community in its widest sense and includes an Early Career Researcher and a Postgraduate Research Student.</p> <p>The University participated in the CROS survey in 2009 and anticipates participating in the 2013 survey.</p> <p>Actions 4.4.1 Encourage Schools/Departments to adopt best practice in post-doctoral representation. 4.4.2 Participate in CROS 2013</p>	A	<p>4.4.1 Faculty PVCS / HoD</p> <p>4.4.2 CIG</p>	<p>4.4.1 Complete January 2012</p> <p>4.4.2 Complete 2013</p>

4.5	<p><i>Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.</i></p> <p>At Durham, mentoring is defined as 'an informal and supportive relationship whereby a more experienced member of staff undertakes to help a new member of staff to learn his/her job and understand its context within the University. Guidance is given to for Heads of Departments on the selection of appropriate mentors and the roles and responsibilities. Further details on Durham mentoring available to all staff are at the following:</p> <p>http://www.dur.ac.uk/hr/mentoring/</p> <p>Research staff, as are all other members of staff, are allocated a mentor on appointment. A review of mentoring across the University has recently taken place.</p>	A	PVCE/HR	Complete
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	D. Researchers' Responsibilities PRINCIPLE 5 Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.			
	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
5.1	<p><i>Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.</i></p> <p>Advancement of knowledge underpins the University strategy. Researchers are encouraged and supported to work with their academic peers and colleagues to develop their capacity and ensure good conduct in their research.</p> <p>The University has a policy on ensuring sound conduct in research which has been reviewed in 2009/10. Details on the policy are available at: http://www.dur.ac.uk/hr/policies/research/soundconres/</p> <p>In 2010/11 the Research Office is co-ordinating the delivery of 'Research Governance' training for key academic stakeholders to ensure they understand the importance on their roles in promoting and delivering research in line with the conduct policy, University ethics framework and external requirements i.e. data protection. As part of this training, participants will be required to take responsibility for communicating and cascading the principles and procedure, in accordance with the policies, in their own research areas, departments and roles.</p>	A	PVCR / Research Office	Completed

5.2	<p><i>Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.</i></p> <p>Researchers are encouraged to disseminate their research findings in accordance with national guidance, whilst observing the requirements of individual sponsor terms and conditions (where appropriate).</p> <p>Knowledge transfer and exploitation is managed via the Dean of Knowledge Transfer. Frequently research staff are seen as key enablers of knowledge transfer since this may open up alternatives to a conventional academic career.</p> <p>Action</p> <p>5.2.1 Encourage researchers to take up training in knowledge transfer and commercialisation of research.</p> <p>5.2.2 Encourage researchers to take up training in impact of research.</p>	A/O	<p>5.2.1 Dean of Knowledge Transfer / BIS / CARD</p> <p>5.2.2 Dean of Knowledge Exchange and Impact/ RO/ CARD</p>	<p>5.2.1 Ongoing</p> <p>5.2.2 2013-14</p>
5.3	<p><i>Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.</i></p> <p>See 5.1 above.</p>	A	PVCR / Research Office	Completed
5.4	<p><i>Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.</i></p> <p>This is one of the focuses of careers advice for research staff. Reflected in Durham</p>	A	CEEC / CARD	Completed

	promotion criteria.			
5.5	<p><i>Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.</i></p> <p>Durham University recognises the contribution employees make to its success. It also recognises that to maintain a committed and competent workforce, it needs to ensure that there is adequate training and development provided for all employees.</p> <p>The Human Resources Training Team delivers a wide variety of courses for University staff (http://www.dur.ac.uk/hr/training/). The areas covered by training include:</p> <ul style="list-style-type: none"> • Information and Communications Technology • Personal Development • Team Leader and Middle Management Development • Administrator Development • Career Review • Finance & Procurement • Open courses <p>All of the training opportunities are offered to all University Staff.</p> <p>The Centre for Academic and Researcher Development (CARD) supports academic</p>	A	HR / CARD / Research Office	Completed

<p>staff and postgraduates engaged in teaching to review and develop their practice, and provides:</p> <ul style="list-style-type: none">• opportunities for initial and continuing professional development;• consultancy and support to individual staff and Departments and Schools on academic practice;• access to resources to enable staff to review and develop their practice;• opportunities to disseminate good practice. <p>CARD is committed to the development of academic practice as a whole and we seek to embody relevant evidence, research and scholarship in our courses, consultancy, resources, and dissemination activities.</p> <p>The Postgraduate Training team co-ordinates and delivers a comprehensive programme of training for Postgraduate Students and Early Career Researchers.</p> <p>The Research Office is developing training for researchers by working with all of the established training providers above. In 2010/11 the Research Office working with the above teams will be co-ordinating a modular training programme for Principal Investigators. The Research Office delivers training as part of Module 5 in the PG CAP and will aim to respond to other researcher training needs as appropriate.</p> <p>It is difficult to ensure that all PIs are aware of their obligations but these points are stressed during PI development sessions.</p>			
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5.6	<p><i>Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.</i></p> <p>CPD forms an essential part of the annual staff review process. No separate resources for recording of CPD are provided for research staff – many may, for instance, have specific requirements through their membership of professional and learned societies.</p>	A	HR / CARD	Completed
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E. Diversity and Equality				
PRINCIPLE 6				
Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.				
	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
6.1	<p><i>The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.</i></p> <p>Durham University has had a Single Equality Scheme in place since 2007. This Scheme and its associated action plan cover race, disability and gender. The University took the opportunity provided by the new Equality Act to review its approach to Equality and Diversity, while also incorporating all areas of diversity in to a reviewed action plan.</p>	A	DEAG	Complete
6.2	<p><i>As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of researchers from the widest pool of available talent, including those from diverse backgrounds.</i></p> <p>The University has a diverse staff and student population. We believe that our purpose, aims and values will be best achieved if we recruit students and staff at all levels of responsibility from the national, regional and international communities that we serve and which influence our University. We aim to make full use of the talents and resources of everyone within our University community. Our Equality</p>	A	DEAG	Complete

	and Diversity Mission Statement is 'To embrace diversity by promoting and maintaining an inclusive and supportive work and study environment that enables all members of our University community to achieve their full potential.'			
6.3	<p><i>It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others</i></p> <p><i>See 6.23 above.</i></p> <p>Actions</p> <p>6.3.1 Review obstacles to retention and progression in research careers.</p> <p>6.3.2 Promote Daphne Jackson fellowships and Athena Swan</p> <p>6.3.3 Review administrative procedures</p>	O	<p>6.3.1 CIG / DEAG</p> <p>6.3.2 RO</p> <p>6.3.3 CIG</p>	<p>6.3.1 Ongoing. Pilot of exit interviews.</p> <p>6.3.2 In progress</p> <p>6.3.3 Ongoing</p>
6.4	<p><i>Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.</i></p> <p><i>See 6.8 below.</i></p>	A	HR	Complete

6.5	<p><i>It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.</i></p> <p>The University carefully considers all applications from staff for changes to their working patterns. Our flexible working policy applies to all staff, extending beyond those with the statutory right to request flexible working to enable them to care for a child or adult.</p>	A	HR	Complete
6.6	<p><i>Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.</i></p> <p>The Director of the Research Office is a member of the RCUK Research Organisations Consultation Group:</p> <p>http://www.rcuk.ac.uk/media/news/2011news/Pages/110329.aspx</p> <p>The role of the ROCG is to provide Councils with advice, from a Research Organisation (RO) perspective, on policies, processes and administrative arrangements associated with grants, studentships and fellowships. To this end, it will in particular:</p> <ul style="list-style-type: none"> (i) Work closely with the Research Administration Convergence Group (RACG), (ii) Bringing forward suggestions and reviewing proposals developed by the Councils; (iii) Engage with the wider RO community to develop a representative 	O	6.6.1 PVCR / Research Office 6.6.2 PVCR / HR / Treasurer	6.6.1 Ongoing 6.6.2 Dealt with on a case-by-case basis.

perspective on issues, promote good communications between ROs and Research Councils, including participation in research administration seminars, and encourage the further development of good working practices within ROs.

The work of the group will be conducted by correspondence and by occasional meetings, including 1-2 meetings each year with the RACG.

Reporting to Research Committee and facilitated by the Research Office, an internal Liaison Group has been set up for each of the Research Councils to **initiate, support and follow up engagement activity, share feedback and disseminate opportunities and "intelligence" appropriately** with each Council. Each Group, with an academic Chair, has a small membership of nominated academics who have established strategic links with each Council, supported by the named sponsor contacts from the Research Office.

The Liaison Groups are pooling information on an ongoing basis and aim to meet each term, and share information more frequently via email for dissemination, as appropriate, to University colleagues:

http://www.dur.ac.uk/research.office/local/rcuk_liaison/.

Actions

6.6.1 Monitor conditions of awards and suggest to research funders where these could be improved

6.26.2 Where these conditions are not met, we will explore if and how additional funding can be secured to continue research projects beyond periods of e.g. maternity leave

6.7	<p><i>Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is ‘representative’ will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.</i></p> <p>We have transparent recruitment and promotion policies in place – see 1.1 above.</p> <p>Our policies and procedures are regularly reviewed and monitored for disproportional impact on specific groups. Where any disadvantage is noted, remedial action is taken. Our staff and student population are also monitored annually, as well as information from the whole recruitment cycle, and information is used to inform our Equality Action plan.</p> <p>Actions 6.7.1 Continue to monitor for disproportionate impact and take action where necessary</p>	O	6.7.1 DEAG	6.7.1 Ongoing. The University is appointing a Dean of Equality and Diversity to take these issues forward.
6.8	<p><i>Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.</i></p>	A	HR / CARD	Complete

	<p>The University carefully considers all applications from staff for changes to their working patterns. Our flexible working policy applies to all staff, extending beyond those with the statutory right to request flexible working to enable them to care for a child or adult. Parents with small children can also take advantage of a salary sacrifice scheme for childcare vouchers. Our ASR process is designed to review all aspects of working conditions and training needs for all University staff. Our EURAXESS Local Contact Point supports the needs of incoming and outgoing research staff from outside the UK</p>			
6.9	<p><i>All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties.</i></p> <p>Through our Respect at Work and Study policy we aim to show our commitment to eliminating discrimination and actively promoting equality of opportunity for our staff. We seek to promote and maintain an inclusive and supportive work and study environment that respects the dignity of staff and assists all members of our University community to achieve their full potential. The University has a network of Harassment Contacts available for all staff, who offer confidential advice and information to anyone who feels they have been harassed or bullied or who has been accused of such behaviour. In addition, a number of staff have received training in mediation skills – see http://www.dur.ac.uk/diversity.equality/contact/respect/.</p>	A	DEAG	Complete

6.10	<p><i>Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers.</i></p> <p>The University joined the Athena Swan Charter in January 2011. The Department of Physics has signed up as a supporter of the Juno Project. Other appropriate schemes will be considered in the future.</p> <p>Action 6.10.1 Consider participation in other appropriate schemes aimed at promoting diversity in research careers.</p>	O	DEAG	Ongoing*
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	F. Implementation and Review PRINCIPLE 7 The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK.			
	Clause and evidence for current compliance	Achieved (A) Outstanding (O)	Lead	Timescale
7.1	<p><i>The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.</i></p> <p>A Concordat Implementation Group, endorsed by senior management, is in place.</p>	A	Dean GS / CIG	Complete
7.2	<p><i>The signatories agree:</i></p> <ul style="list-style-type: none"> <i>a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including the Professional Institutions. This group will inform the UK Research Base Funders' Forum of progress.</i> <i>b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat.</i> <i>c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report.</i> <i>d. to draw up an implementation plan for the Concordat, to ensure a coherent and sustained approach by organisations operating in the sector and the appropriate use of survey and monitoring tools such as the Careers in</i> 	O	7.2.1 PVCR / CIG 7.2.2 CIG/UCU	7.2.1 2010/11 and Ongoing 7.2.2 First meeting Spring term 2012 and annually thereafter

	<p><i>Research Online Survey (CROS).</i></p> <p><i>e. to undertake and publish a major review of the implementation of the Concordat after three years reporting to the signatories and taking account of progress against the benchmark report and the views of researchers and employers (both outside and within the HE sector).</i></p> <p>Action</p> <p>7.2.1 The CIG will monitor and review compliance with the Concordat. Research Committee will provide direction to the Concordat Implementation Group.</p> <p>7.2.2 The CIG in collaboration with UCU will arrange an annual meeting open to all research staff to discuss all items of interest to research staff and to gain feedback on the implementation of the Concordat</p>			
7.3	<p><i>The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.</i></p> <p>The Director of the Research Office is a member of the RCUK Research Organisations Consultation Group:</p> <p>http://www.rcuk.ac.uk/media/news/2011news/Pages/110329.aspx</p> <p>The role of the ROCG is to provide Councils with advice, from a Research Organisation (RO) perspective, on policies, processes and administrative arrangements associated with grants, studentships and fellowships. To this end, it will in particular:</p> <ul style="list-style-type: none"> (i) Work closely with the Research Administration Convergence Group (RACG), (ii) Bringing forward suggestions and reviewing proposals developed by the 	O	Research Office	2010-11 and ongoing

	<p>Councils;</p> <p>(iii) Engage with the wider RO community to develop a representative perspective on issues, promote good communications between ROs and Research Councils, including participation in research administration seminars, and encourage the further development of good working practices within ROs.</p> <p>The work of the group will be conducted by correspondence and by occasional meetings, including 1-2 meetings each year with the RACG.</p> <p>Reporting to Research Committee and facilitated by the Research Office, an internal Liaison Group has been set up for each of the Research Councils to initiate, support and follow up engagement activity, share feedback and disseminate opportunities and "intelligence" appropriately with each Council. Each Group, with an academic Chair, has a small membership of nominated academics who have established strategic links with each Council, supported by the named sponsor contacts from the Research Office.</p> <p>The Liaison Groups are pooling information on an ongoing basis and aim to meet each term, and share information more frequently via email for dissemination, as appropriate, to University colleagues: http://www.dur.ac.uk/research.office/local/rcuk_liaison/.</p> <p>Action</p> <p>7.3.1 Monitor the changing requirements of external stakeholders e.g. the Research Councils to ensure that we are aware of the requirements of their delivery plans.</p>			
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7.4	<p><i>The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae, the national programme dedicated to realising the potential of researchers, funded by the Research Councils, will play a major role in innovating, sharing practice and enhancing the capability of the sector to implement aspects of the Concordat, as well as establishing strategic partnerships between funders.</i></p> <p>Action 7.4.1 Engage with other stakeholders (such as Vitae, RCUK, HEFCE) to share good practice and promote the principles of the Concordat</p>	O	CARD with all Professional Services	2010/11 and ongoing
7.5	<p><i>Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources³ and on the sharing of good practice between institutions and to provide evidence of its impact.</i></p> <p>Action 7.5.1 As part of our Equality Action Plan we are reviewing existing data sets to ensure that maximum information is available.</p>	O	DEAG with all Professional Services	Spring Term 2012 and ongoing. New HR IT systems will enable this to be done more effectively.