Durham University

Concordat to Support the Career Development of Research Staff

2015 Gap Analysis and Action Plan

Glossary

ADR	Annual Development Review
ASR	Annual staff review
DBIS	Durham Business and Innovation Services
CAP	Centre for Academic Practice
CARD	Centre for Academic and Researcher Development
CAROD	Centre for Academic, Researcher and Organisational Development
CEEC	Careers, Employability and Enterprise Centre
CIG	Concordat Implementation Group
CROS	Careers in Research Online Survey
Dean (E&D)	Dean of Equality and Diversity
Dean (R)	Dean and Deputy to the PVCR
DH(R&S)	Deputy Head (Research and Scholarship), Colleges
Faculty PVC	Faculty Pro-Vice-Chancellors
HoD	Head of Department
HR	Human Resources
PGCAP	Post-graduate Certificate in Academic Practice
PI	Principal Investigator
PVCR	Pro-Vice-Chancellor Research
RO	Research Office
RSA	Research Staff Association

Membership of Consortium Implementation Group

- Dean (R) – Chair
- Deputy Director of HR
- Director RO
- Dean (E&D)
- Deputy Head (R&S) Colleges
- Head of Researcher Development, CAROD
- Representative of CEEC
- UCU representative
- Two representatives of the RSA

A. Recruitment and Selection

PRINCIPLE 1

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

	Clause in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
1.1	All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.	Clearly defined person specifications for all roles, including research posts. All posts are advertised and the usual recruitment guidelines apply to these roles. Recruitment and selection training is strongly encouraged, with additional training of Chairs of Appointing Committees. For details see http://www.dur.ac.uk/hr/local/recruitment/recruiters/recguide/	Monitored satisfaction against CROS surveys in 2013 and 2015. Almost all CRs responded that positively to question 19 in CROS2015 about the job description, qualifications and specialist research skills. There was a significant improvement from CROS2013. 3 levels of training in recruitment and selection are available. • Half Day Full training (1/2 day) • 1.5hrs update • Chairs Briefing	Continue to monitor satisfaction (>90% satisfaction on Q19 in CROS2017) (CIG, Q3 2017) Recruitment and selection training is compulsory for chairs of panels, and will be compulsory for panel members from Dec 2015. (HR, Q4 2015)

1.2	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.	Full guidance for chairs of selection committees is available on the HR web site along with generic job descriptions and person specifications for research posts. Job descriptions are checked by HR for compliance with Concordat principles. All shortlists are countersigned by the relevant HoD, and checked by HR. CROS surveys used to identify diversity issues.	Monitored satisfaction against CROS surveys in 2013 and 2015. As noted in 1.1, almost all CRs responded positively to question 19 in CROS 2015. When research positions are entered into our e-recruitment system an automatic statement referring to the Concordat and HR Excellence Award is added to the job details. All Research Vacancies are advertised on jobs.ac.uk Additionally, Euraxess is used for Marie Curie vacancies.	Continue to monitor satisfaction (>90% satisfaction on Q19 in CROS2017) (CIG, Q3 2017) In 2016/17 we will introduce a new Appointments Policy that ensures all appointments, including internal leadership and development opportunities, are openly advertised. Academic Recruitment Working Group reporting Q2 2016. (HR, Q4 2015)
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	A Fixed-Term Contract Policy was agreed with campus trade unions in 2006 and 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/.	N/A	A review of the Fixed Term Contract Policy is planned, involving research staff on fixed term contracts and campus trade unions. (HR, Q1, 2017)

1.4	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.	Recruitment and selection training is strongly encouraged. Guidance is available on the HR web site. Feedback is not provided automatically to all unsuccessful applicants owing to the large number of applications received, but is always provided when requested. Our Appointments Policy specifies the requirements in terms of gender balance on Appointing Committees.	In 2014-15, over 300 members of staff attended a recruitment and selection briefing and approaching 100 attended a Chair's briefing.	Recruitment and Selection training will be compulsory from 2015-16 onwards. (HR Q4 2015) Compliance can be monitored via our new The new HR/Payroll system, PEOPLE+, will enable us to check that panel members have completed appropriate training and development. (HR, Q4, 2017)
1.5	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.	Generic Job Descriptions and templates are available on the HR web site to assist selection committees in considering all skills required for a position. Once the job description is defined and approved by HR, the position is graded in accordance with HERA methodology. http://www.dur.ac.uk/hr/policies/promotion/reschprog/.	We have recently reviewed the promotion process for research staff. This now includes an assessment of the academic profile of the researcher by the Faculty PVC for progression to grade 8. For progression to grade 9 applications are now assessed by our Academic Progression Committee.	Review effectiveness of new promotion procedures for CRs. (HR, Q1, 2017) Review HERA process (including the assessment of research roles) to ensure it is fit for purpose (HR, Q2, 2017)

B. Recognition and Value

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.

	Clause in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
2.1	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	Research staff receive equal treatment in all processes as articulated in the Fixed Term Contract policy.	Implementation of policies depends on training of PIs. CARD has developed a new online training course on Research Leadership, developed with Epigeum, that can also be taken as part of the PGCAP Introduced a dedicated section on the HR website for research staff in 2014. https://www.dur.ac.uk/hr/researchstaff/	Review take-up of online training course on Research Leadership (CAROD, Q3 2016) Target in CROS2017 on Q23.12 to increase to >50% those undertaking research skills and techniques development (from 30% in CROS2015) Ensure that all research staff are aware of the opportunity to join the Senior Common Room (SCR) or Middle Common Room (MCR) of Durham's Colleges. (CIG, Q2 2016)

2.2	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.	Covered in the Fixed Term Contract policy (see http://www.dur.ac.uk/hr/policies/condemp/fixedterm/). This policy 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 by trade union colleagues.		A review of the Fixed Term Contract Policy is planned, involving research staff on fixed term contracts and campus trade unions. (HR, Q1, 2017)
2.3	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.	All contract research staff are expected to participate in the annual staff review (ASR) process, one output of which is a training plan. Part of the ASR is the development of a training plan for the staff member. Equality and Diversity training is provided through CARD. *"Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants"* 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 is down loadable from the Research Office website. Heads of Department are responsible for ensuring the Concordat is fully implemented	HoDs review all ASRs to ensure that training needs analyses are carried out. Faculty PVCs review departmental returns. The ASR process was reviewed in Spring 2015 to ensure that it is fit for purpose for all categories of staff, and renamed Annual Development Review (ADR) As a result the new ADR process (including new forms) and policy is being drafted for consultation in autumn 2015. Within the **draft** policy there is provision for:	Agree ADR process in relation to research staff. Update information and guidance for reviewers and reviewees. (HR, Q4, 2015) Implement new ADR process for research staff. (HR Q1, 2016 for pilot; Q1, 2017 for all Departments) Monitor satisfaction with new ADR process in CROS 2017: increase in 'very useful + useful' from 51% to >70% (CIG, HR Q3 2017)

		within their units. HoDs are instructed to take account of PI performance in fulfilling their responsibilities under the Concordat when assessing and rewarding PIs.	• All contract research staff to have an ADR irrespective of whether they are at the beginning or end of their contracts, although the scope and nature of the discussions may differ. • CRs to have an ADR carried out by their mentor. • Information regarding training and development needs of CRs to be returned by departments to CAROD.	Review *"Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants"* to be updated, in line with revision of University policies and procedures (RO, Q3, 2016)
2.4	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.	All researchers with more than 2 years' service are offered redeployment opportunities by HR according to the University redeployment policy: http://www.dur.ac.uk/hr/policies/redeployment/ Limited bridging funding is available from the Faculty PVCs. "*Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants*" includes guidance on naming Postdoctoral Research assistants in grant applications. Research office staff advise academics in accordance	"Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants" distributed to all Heads of Department.	Review *"Durham-specific Guidance for Heads of Department and Directors of Research in Relation to Research Grants"* to be updated, in line with revision of University policies and procedures (RO, Q3, 2016)

		with this guidance when assisting the development of external proposals for research grant funding.		
2.5	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.	We have clearly defined pay progression, agreed with campus Trade Unions, which follows framework agreement guidelines.	We have recently reviewed the promotion process for research staff. This now includes an assessment of the academic profile of the researcher by the Faculty PVC for progression to grade 8. For progression to grade 9 applications are now assessed by our Academic Progression Committee.	Review HERA process (including the assessment of research roles) to ensure it is fit for purpose (HR, Q2, 2017)

2.6	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.	The pathway for career progression and promotion for research staff within a specific role is clearly set out in Durham's HR policy (http://www.dur.ac.uk/hr/policies/promotion/reschprog/). Research staff may progress through Research Associate (Grade 6), Senior Research Associate (Grade 7), Research Fellow (Grade 8) to Senior Research Fellow (Grade 9). All staff on the redeployment register are automatically informed of relevant vacancies. All positions are also advertised on the Durham jobs website (either internally or externally) to enable researchers to apply for promotion opportunities.	See 2.5	Appointment Procedures to be reviewed and updated to: • recommend panel members for senior academic and leadership positions to be involved from job description to final appointment. • require all appointment panels to include at least two of each gender • encourage where possible all academic positions to be advertised on a ' Job-Share' basis • include strapline encouraging women applicants both within academic and support departments • use of e-recruitment system for all roles, including internal leadership/development roles (HR, Q4, 2015)

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 in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
3.1	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.	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.	A new HR/Payroll system (People +) has been introduced, which records destination on leaving. However this remains reliant on leavers providing this information. Destination reports will be available from 2015/16.	Benchmark career development provision against Vitae guidance (CIG, CEEC, Q4 2016) We will review our approach to exit questionnaires in 2015-16 to improve take up and quality of data provided. (HR, Q4, 2016)

3.2	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.	CEEC employs a dedicated careers advisor for PhD students and contract researchers. Programme of careers workshops for research staff and PhD students. Our redeployment policy includes opportunities for research staff to move to non-research roles within the University.		Review destination data from People+ and use it to inform career guidance to contract researchers. (CEEC, Q1, 2017) Explore the use of social networking sites, such as LinkedIn, to maintain contact with postdocs and follow their subsequent careers (CAROD, CEEC, Q1, 2016) Dedicated workshop(s) supporting researchers making the transition out of academia. Establishment of peer support group for researchers. (CEEC & CAROD, Q1, 2017) Target for CROS2017: increase in career management training from 10% (CROS2015) to 20% (Q23.1)

3.3	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.	The researcher development programme 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.	In 2015, the Centre for Academic, Researcher and Organisational Development (CAROD) was established as a new unit bringing together CARD, IT training and the HR Training Team. CAROD will facilitate the integration of training for researchers offered by these different units. Researchers also have access to the internal coaching network and can register to be matched with a suitable internal coach. https://www.dur.ac.uk/hr/coachingmentoring/	Develop the 'researchers' section of the HR website to provide an overview of training available with links to pages with further details and the online training booking system. (CAROD, Q3, 2016) Monitor awareness of training courses: 'not aware of training from CAROD' reduced from 29% to <10% and 'not aware of training by CAP' reduced from 62% to <30% in CROS2017. Increase participation in CAROD training courses from 35% to 50% in CROS2017

3.4	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.	There is a dedicated careers advisor for postgraduate research students and research staff in CEEC, who provides professional independent advice on an individual basis. 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 were, for example, to take up an internship during the course of the grant that employs them. DBIS has extensive experience in bidding for Knowledge Transfer Partnerships, which provide funding for post-doctoral researchers to undertake a secondment to industry.	Opportunities for placements and internships that are identified on awarded and active research grants are highlighted to PIs as part of the contract negotiation process. Research Office subscribes to Research Professional, a funding opportunities database, which highlights funded research opportunities and is made available to all staff, including contract researchers, within Durham.	Working lunch: alumni stories. Series of sessions featuring Durham alumni who will share their professional journey outside of academia. (CEEC, CAROD, Q3, 2016) Working lunch: meet the employer. Series of sessions featuring employers that values, and can utilise, the skills, knowledge and expertise developed by researchers. (CEEC, CAROD, Q4, 2016) Online access to Careers Service Portal (CEEC, Q2, 2016)
3.5	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.	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 on appropriate university bodies and CAROD will fund representatives of the research staff body to attend appropriate national events.		The revised ADR process will encourage reviewers to discuss promotion and career progression with CRs. (HR Q1, 2016 for pilot; Q1, 2017 for all Departments)

3.6	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.	The "all staff" induction takes place six times a year and all new research staff are invited to attend. New members of staff are allocated a place on the induction event and those who do not attend are "chased-up" and rebooked on a future event. The "all staff" induction is also being reviewed to ensure that it reflects best practice. The periodic induction sessions run by HR for new staff, but these may not coincide with the arrival of a new researcher. Consequently, there is extensive online induction material at https://www.dur.ac.uk/hr/staff.induction/ , including copies of the presentation materials from the induction sessions. Also available are transcripts of the Q&A sessions from recent induction events. Research leadership training is available as a module taught by CARD and CAP (see https://www.dur.ac.uk/hr/training/leadershipprogs/leadingresearchprog/). or as separate online material developed by Epigeum (https://www.dur.ac.uk/hr/training/elearn/leadershipandmanagement/leadershipandmgment/)	Reviewed induction process. Produced induction check-list for all new research staff. Developed training for HoDs and PIs on the management of research staff. Reviewed CROS2015 return.	Monitor take up of Research Leadership Training module (CAROD, ongoing) Only 30% of staff were in employment for < 2 years in CROS2015, so the CROS response on induction will change slowly. Target for CROS2017 is an increase from 27% to 40% on attendance at Departmental induction and 25% to 40% at Institutional induction (CIG, Q3 2017) Review "local" induction provision across the University. Produce a "good practice guide" for local induction for departments to use. The induction of researchers is included in this project. (CAROD, Q3 2016)

3.7	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.	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. Opportunities to develop additional management or leadership skills will vary from project to project. Research managers are encouraged to provide skills development opportunities, for example, to supervise final-year undergraduate projects or dissertations, or to undertake small group teaching. Researchers can take the online training course in research leadership (see § 3.6) Mentors should explore whether CRs are being offered appropriate development opportunities.	Examples of best practice included in research leadership training. Excellence in Research Leadership award not implemented due to difficulties in defining criteria.	Presentations to Faculty Boards on development of research staff (Dean (R), Q2 2016) Evaluate mentoring schemes across the University to assess their effectiveness and to assess take up of these schemes by CRs. (CAROD, Q4 2016)
3.8	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.	All research staff participate in the ASR (see § 2.3), which includes a discussion of career development and training needs. Each researcher also has a mentor, separate from the PI, to provide guidance *inter alia* on career development.		See actions in 2.3 arising from the review of the ASR scheme

3.9	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.	CPD activity is formally reviewed during the ASR. CPD opportunities organised by CARD are circulated to all research managers and research staff. Research managers encourage research staff to take up appropriate training opportunities, both internally and externally. The HR Training team also offer appropriate training and development initiatives (management and soft skill development) for researchers.	Examples of good practice included in research leadership training and online Epigeum training material.	Implement revised ADR process for CRs. (HR Q1, 2016 for pilot; Q1, 2017 for all Departments)

4.1	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.	The researcher development programme stresses that researchers are responsible for their own career development. Details on training and CPD for research staff are available from the following web page: http://www.dur.ac.uk/hr/researchstaff/usefulinfo/ New research staff are provided with a mentor on appointment and undergo a probationary process. 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.	Review in light of CROS13 results. The review of the ASR and the **draft** policy includes provision for an early career/contract researcher to be reviewed by their mentor rather than the P.I. During summer 2015 a working group is looking at the ASR form and process for academic an research staff with a view to consult in autumn 2015, pilot in January 2016 and implement in September 2016.	Implement revised ADR process for contract researchers. (HR Q1, 2016 for pilot; Q1, 2017 for all Departments) Monitor satisfaction with new ADR process in CROS 2017: increase in 'very useful + useful' from 51% to 70% (CIG, HR Q3 2017)

4.2	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.	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 principal investigators which focuses primarily on the research role. CRs can enrol on Module 5 of the PGCAP on 'Developing Funded Research' to prepare them to write and manage research grants. Development of teaching and learning activities is covered in 4.3 below. Our formal qualifications in learning and teaching lead to Fellowship of 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.	The Leading Research Programme has been running annually since 2010. The programme involved skills based workshops (such as management skills, developing personal research strategy, project management) and information sessions where researchers have the opportunity to attend sessions run by key service providers. The programme was shortlisted for a THE Award in 2014.	Extension of PGCAP to research staff – first intake Q1 2016.

4.3	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.	The University has no formal 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 than 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: • 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 academic practice that they will further develop throughout their careers Further details are available from http://www.dur.ac.uk/education/ctlrhe/programmes/pgcap/		

4.4	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.	At Departmental level, best practice is to have a number of post doctoral representatives sitting on Boards of Studies, including all those with teaching and assessment responsibilities. University Research Committee includes an Early Career Researcher and a Postgraduate Research Student as full members. CRs are eligible for election to Senate.	Best practice in representation discussed with HoDs and Faculty PVCs. Participation in CROS 2013 and CROS 2015	Develop guidance for research staff representation on Departmental committees (CIG, Q3 2016)
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	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 at http://www.dur.ac.uk/hr/mentoring/		Evaluate mentoring schemes across the University to assess their effectiveness and to assess take by of these schemes by CRs. (CAROD, Q4 2016)

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 in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	Researchers are encouraged and supported to work with their academic peers and colleagues to develop their capacity and ensure good conduct in their research. 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/	Research integrity / governance training is currently available (i) via Epigeum online to all staff (ii) as an afternoon module as part of Leading Research Programme (iii) via PGCAP	Increase % of CRs undertaking Research Integrity training from 15% to >50% in CROS2017
5.2	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.	Researchers are encouraged to engage in impact activities in accordance with the requirements and permissions of research sponsors. Two senior engagement managers assist the originators of research to develop impact in policy and cultural sectors. Where IP is owned by the University, DBIS manages exploitation. Research staff are seen as key enablers of knowledge transfer, and this may open up alternatives to a conventional academic career. Follow-on funding is available through Impact Acceleration Accounts to develop policy and commercial impacts.	New training opportunities for post-doctoral researchers, such as Newton's Apple (influencing policy) and Durham Enterprise School (entrepreneurship)	

5.3	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.	The University has set up a training programme on the Durham VLE on research integrity, coupled with small group case studies. This has been piloted with several groups with the intention of rolling it out across the University.	CARD	Pilot of Research Integrity training course for post-doctoral researchers, 2014/15, further roll-out 2015 /16. (CAROD, 2016)
5.4	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.	Training needs are addressed through mentors and the ASR process. CEEC provides guidance on skills required for non-academic roles.		Implement revised ADR process for CRs. (HR Q1, 2016 for pilot; Q1, 2017 for all Departments)

5.5	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.	Researchers are encouraged to reflect on training needs in their ASRs and meetings with mentors. Research managers formally review training needs as part of the ASR. The Human Resources Training Team delivers a wide variety of courses for all University staff covering areas such as The areas covered by training include: • ICT • Personal Development • Team Leader and Middle Management Development • Administrator Development • Career Review • Finance & Procurement • Diversity Training (http://www.dur.ac.uk/hr/training/). CAROD supports academic staff and postgraduates engaged in teaching to review and develop their practice, and provides: • 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	Modules 5 and 7 of the PGCAP approved and implemented. Research staff also have access to the university's coaching provision. https://www.dur.ac.uk/hr/coachingmentoring/ With the establishment of CAROD, the university is moving towards a "one-stop-shop" approach regarding training and development, especially in the areas of academic and researcher development, management and leadership, I.T., and soft skills development.	Review the training and development HR webpages to ensure that the full range of training opportunities is explained and links to these opportunities are available in one place. (CAROD, Q? 2016) Assess improvement in PI guidance through Q22.1 'encouraged to engage in personal and career development' in CROS2017: increase from 71% to 80%.

		review and develop their practice; • opportunities to disseminate good practice. 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. The Postgraduate Training team co-ordinates and delivers a comprehensive programme of training for Postgraduate Students and Early Career Researchers. The Research Office and CAP offer two modules as part of the PGCAP on Developing Funded Research (Module 5) and Research Leadership (Module 7)		

5.6	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.	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.		Further developments of the PEOPLE+ HR System, especially the training and development module, will enable staff to keep an accurate log of training and CPD activities. (HR, Q4 2016)

E. Diversity and Equality

PRINCIPLE 6

Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.

	Clause in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
6.1	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.	DU has published E&D objectives relating to all protected characteristics to 2016. These can be found here: https://www.dur.ac.uk/equality.diversity/managingdiversity/equalityact/ In addition, a gender equality action plan was developed in 2014 The University has successfully reapplied for an institutional Athena Swan Bronze award and has a clear action plan attached to this. We are a member of the government's two tick scheme and are also Stonewall Diversity Champions.		Extend our approach to all areas of E&D using the model used to develop gender action plan: • Consultation with staff via online questionnaire • focus groups to further explore key issues emerging from the questionnaire. (Dean E&D, 2015) Refresh Equality Objectives and supporting Action Plans to 2020. (Dean E&D, HR, Q3 2016)

6.2	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.	Our purpose, aims and values set out in our University Strategy will be best achieved if we recruit students and staff at all levels of responsibility from the regional, national, and international communities that we serve. We aim to make full use of the talents and resources of everyone within our University community. We are fully committed to eliminating discrimination and actively promoting equality of opportunity for all of our staff and students. We believe that where equality of opportunity exists all staff and students work in a more rewarding and less stressful environment, one where prejudice and harassment are not accepted, and one more likely to enhance performance and achievement. We will seek to promote and maintain an inclusive and supportive work and study environment that respects the dignity of staff and students and assists all members of our University community to achieve their full potential. In 2014, Durham University's Executive Committee and its governing bodies, Council and Senate, approved an action plan to address academic gender imbalance in the University. In November 2014 the University	We have been running recruitment and selection briefing sessions and chair's briefing sessions for all those on recruitment panels (see section 1.2). Attendance at these events will be compulsory for all those involved in recruitment panels from 2015-16. In 2014-15, 785 members of staff attended a workshop on Unconscious Bias. We have introduced a 'Women in Academia Coaching and Mentoring' initiative across the university. 12 senior women academics are acting as coaches and mentors for other women across the institution. We have also established a Senior Women's Group which meet on a regular basis to discuss equality and diversity matters. Job share policy was reviewed to encourage advertising of job share for all	Sponsorship of a recurrent Daphne Jackson Fellowship (Dean E&D, Q3 2016) Appointment Procedures to be reviewed and updated to: • recommend panel members for senior academic and leadership positions to be involved from job description to final appointment. • require all appointment panels to include at least two of each gender • encourage where possible all academic positions to be advertised on a ' Job-Share' basis • include strapline encouraging women applicants both within academic and support departments • use of recruitment

		applied to renew its Bronze Athena SWAN award, a significant part of which is the action plan for the next three years. This action plan includes several actions to address recruitment and retention.	posts. A policy of allowing a term research leave following maternity/parental/ adoption leave was approved and has been incorporated into the maternity policy.	system for all roles (HR, Q4, 2015) Review trial advertising of positions in Science Faculty on WISE (HR, Q3 2017) Quarterly analysis of exit questionnaire responses (HR, 2015-17)

6.3	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.	Where funders allow it, contracts are extended to permit part-time working following the birth of a child without a reduction in the number of researcher months. As part of the Athena Swan process, departments are encouraged to include researchers on their self-assessment team. This allows for consultation with this group of staff that can be fed in to subsequent action plans at both departmental and University level	Reviewed CROS 13 and CROS 15 results. The University established a process for online exit questionnaires in 2014 using Survey Monkey. A link is provided on the HR webpages and is also included in letters sent to staff from HR acknowledging resignation.	We will review our approach to exit questionnaires in 2015-16 to improve take up and quality of data provided. (HR, Q4, 2016)

6.4	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.	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 the training needs for all University staff. Our EURAXESS Local Contact Point supports the needs of incoming and outgoing research staff from outside the UK. Where possible, timings of meetings are adjusted to take childcare commitments into account.	Section 5 of our Gender Equality Action plan aims to improve our policies and practices to take better account of work/life balance. Several policies have been implemented and others are planned. (i) Where possible and practical key decisions at scheduled Committees of Senate and Council take place after 09.15 and before 16.00 (ii) Strongly encourage all staff to schedule meetings, as far as possible, to enable colleagues to participate fully. (iii) Trial during 2014-15 at least 50% public lectures and seminars should be completed by 6.15. Shared parental leave policy has been developed and implemented.	Section 5 of our Gender Equality Action plan aims to improve our policies and practices to take better account of work/life balance. Several policies have been implemented and others are planned. Where possible and practical scheduled Committees of Senate and Council will begin after 09.15 and end by 16.00. (Governance Support, Q4 2015) Each academic department to have a workload model which enables academic staff to see their workload relative to the anonymised workloads of colleagues. (FPVCs, Q4 2015) Conclude review of University Nursery opening hours (HR, Q4 2015)

6.5	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.	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. In addition to formal flexible working policy, the University has undertaken a number of measures to enhance work/life balance. Section 6.4 above		See section 6.4 above
6.6	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.	An internal Liaison Group has been set up for each of the Research Councils, reporting to Research Committee, which *inter alia* respond to consultations on matters affecting T&Rs for researchers.	Monitor conditions of awards and suggest to research funders where these could be improved (ongoing). University has committed to fund Junior Research Fellows on the EU COFUND scheme where maternity/paternity leave takes their Fellowship beyond the end-date of the EU grant.	

6.7	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.	Durham University has transparent recruitment and promotion policies in place, see §1.1 above, and participates in national equality and diversity schemes, such as Two Ticks. Selection and evaluation committees have an appropriate gender balance. 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. All staff on selection committees receive mandatory training in Diversity and Equality, including unconscious bias. (Please see section 6.2)	Durham appointed a Dean of Equality and Diversity (2013) to ensure that E&D issues are represented at the highest levels in the University.	All staff involved in recruitment panels to receive training, with specific training for those Chairing panels. This has been made compulsory from 2015-16. (HR, Q4, 2015) Unconscious Bias training to be rolled out to all staff (over 785 staff had received training as of summer 2015) 3 See section 6.2 above for representation on panels and review of recruitment policy

6.8	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.	See §6.4 We have extended our provision of staff counselling to help with non-work related issues, and have increased the budget available for staff counselling. In 2014-15 we introduced free health checks and lifestyle advice for all staff who wished to take up the offer, these are now offered each year and the feedback has been very positive.		See also section 6.4 for actions to address Improvement of policies and practices to take better account of work/life balance We are reviewing our occupational health service in 2015-16 to ensure it is fit for purpose and provides pro-active support and guidance to our staff. (HR, Q3 2016)

6.9	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.	Durham's Respect at Work and Respect at Study policies 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/.	In November 2014 we launched a Mediation Service. The service is available to all staff and students with the aim to resolve conflicts that may arise between staff and staff; staff and students; and students and students. Mediation sits outside of formal HR and Academic Office processes and procedures as successful mediation negates the need to evoke formal processes. All mediators are trained and operate in a confidential and impartial manner.	In addition to Harassment Contacts, the University has Diversity Contacts and Disability Representatives in each department. These two roles will be reviewed with the aim of amalgamating them. This approach has been piloted by some departments with positive results. (Dean E&D, Q4 2016)

6.10	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.		Durham University was successful in receiving Athena Swan Bronze renewal in April 2015. Departments with awards: Psychology (Silver) Physics (Juno) Chemistry (Bronze) SMPH (Bronze) In addition, two departments participated in the ECU pilot to expand the principles of Athena Swan across SSH and A&H. This resulted in the following awards: Anthropology (GEM Bronze) Geography (GEM Bronze) An Athena Swan Forum and a GEM forum have been established to support departments and share good practice. From academic session 2015-16 this will function as a combined forum under the new Athena SWAN gender equality charter mark.	Continue to engage in the Women in Academia Coaching & Mentoring programme (HR, 2015-17) All Science departments to apply for Athena SWAN award (or equivalent) at minimum bronze level (PVC Science, HR, Q4, 2015) For each faculty to have a majority of academic departments having applied for Athena SWAN accreditation by 2018. (PVC A&H, PVC SS&H, HR Q2, 2018)

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 in Concordat	Established Procedures	Progress against 2011 Action Plan (updated 2013)	2015 Action Plan (lead, timescale)
7.1	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.	The Concordat Implementation Group reports to Research Committee and the Director of Human Resources. CIG is chaired by the Dean (R) and includes the Dean (E&D) senior representatives from professional services, a union representative and two post-doctoral representatives.		Members of the CIG will attend Faculty Board meetings in 2015-16 to raise awareness of the Concordat Action Plan and the role of Heads of Departments in its implementation. (CIG, Q2, 2016)

7.2	The signatories agree 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. b. to procure an independent benchmarking study to assess the state of the sector at the launch of this Concordat. c. to contribute an appropriate share of the costs of supporting implementation and review, including the benchmarking report. 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 Research Online Survey (CROS). 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	The CIG monitor and reviews compliance with the Concordat and reports issues to Research Committee and the Director of Human Resources The CIG in collaboration with UCU arranges an annual meeting open to all research staff to discuss items of interest to research staff and to gain feedback on the implementation of the Concordat	Meetings with research staff held in 2013 and 2015	Annual meetings with research staff. (CIG, HR Q3 2016 for next meeting)

	report and the views of researchers and employers (both outside and within the HE sector).			

7.3	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.	See § 6.6 on engagement with funding bodies	RO reviews delivery plans and changes in T&Cs of funders to ensure that we are aware of and compliant with their requirements.	
7.4	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.	Durham engages with other stakeholders (such as Vitae, RCUK, HEFCE, HEA) to share good practice and promote the principles of the Concordat.		

7.5	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 sources and on the sharing of good practice between institutions and to provide evidence of its impact.	Durham participates in the CROS and PIRLS surveys to evaluate the effectiveness of the actions it takes under the Concordat. Gender data is currently recorded for all employees, but other E&D data is provided on a voluntary basis.	Analysis of CROS13 and CROS15 survey results.	Implement new HR IT system to facilitate the collection and review of data relating to research staff. Employee self-service access to E & D data will be implemented in 2016/17 and should improve reporting.

Durham University commits to working proactively with the research community through the Research Staff Association, RSA and the Concordat Implementation Group to develop a range of key performance indicators, KPIs, based on improvements seen between the CROS 2015, 2017 and 2019 surveys.

In addition, in the shorter-term we will conduct regular focus groups with the researcher community in addition to our normal feedback questionnaires from our training programs to ensure we are pro-actively supporting the changing needs of research staff within the institution. We will make available to all research staff when possible these targets and our measured outcomes to improve clarity and highlight the significant steps taken in enhancing our support provision.