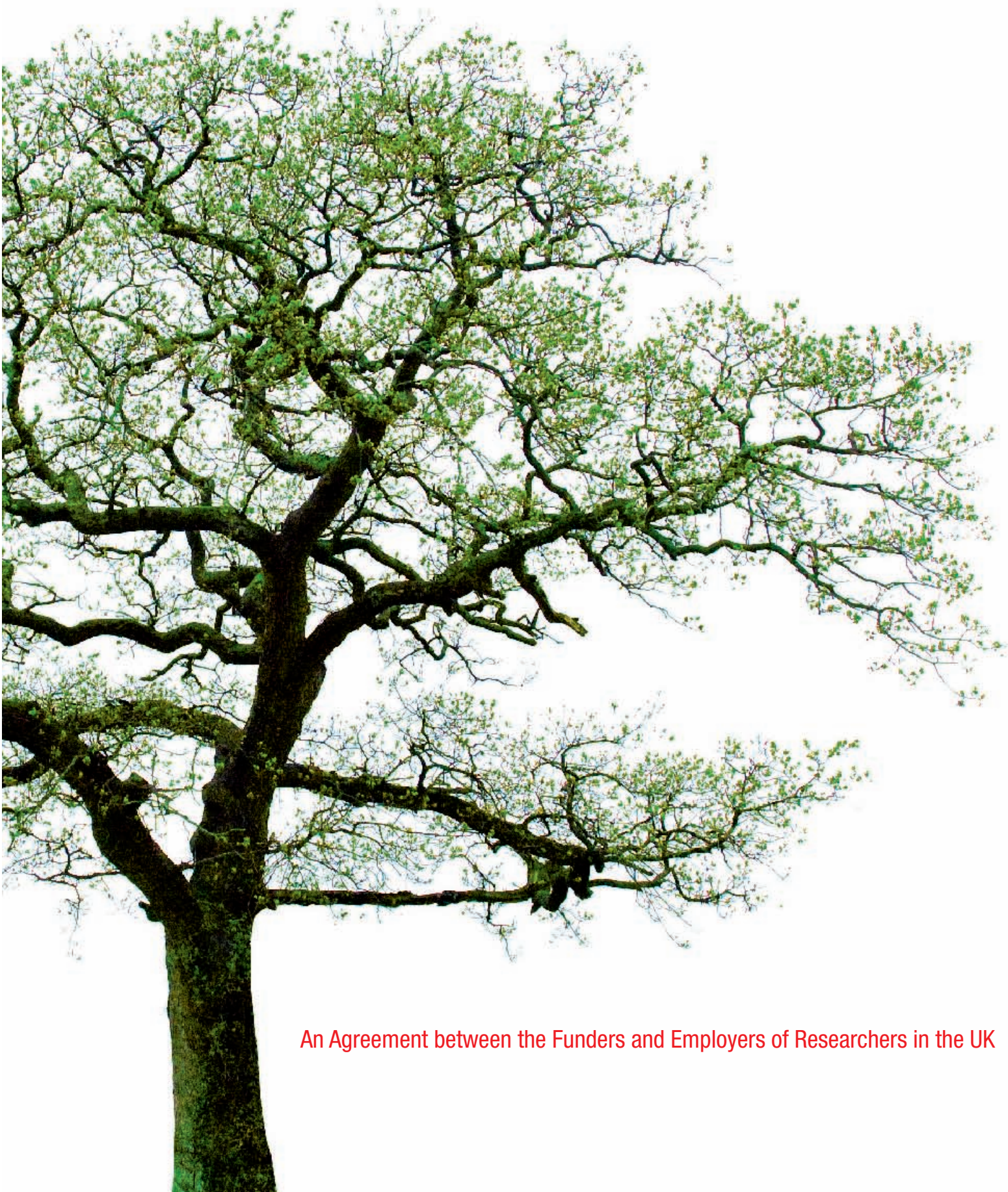




# The Concordat

to Support the Career Development of Researchers



An Agreement between the Funders and Employers of Researchers in the UK

# The 7 Principles of the Concordat

## Principle 1

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

## Principle 2

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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.

## Principle 3

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

## Principle 4

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

## Principle 5

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Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.

## Principle 6

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

## Principle 7

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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.

# The Concordat to Support the Career Development of Researchers

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# Foreword



I am delighted to introduce this Concordat to Support the Career Development of Researchers. Supporting world-class research is central to the remit of the Department for Innovation, Universities and Skills<sup>1</sup>. This Department was created in June 2007 almost a year ago by the Prime Minister to make this country one of the best places in the world for science, research and innovation. It goes without saying that high quality, well-motivated research staff are critical to maintaining and developing

that world-class research base. Equally, high quality training, support and management processes have the potential to maximise the output and impact of research and contribute to the attractiveness of UK research careers. It is right that continuing investment in research should be accompanied by an increased focus on the careers of those who will be conducting that research, and enabling us to move forward. I am, therefore, particularly pleased that Research Councils UK (RCUK), Universities UK and their partners have embraced this important agenda.

The agreement of the research careers Concordat in 1996 was a breakthrough and a landmark for the Higher Education sector. After the Concordat was established, university employers and funding agencies agreed standards, expectations, and responsibilities for the proper management and development of the many researchers in universities.

Since then a number of relevant developments have occurred in the higher education sector, including new legislation affecting staff on fixed term contracts, amendments to UK Research Councils' grant terms and conditions, and the introduction of a European Charter for Researchers and Code of Conduct for the Recruitment of Researchers. In response to these, and to improving practice in research career management, researchers' expectations of their career development and working conditions have grown.

To reflect this progress and the growing awareness of the benefits which the effective management of research careers can bring, a new Concordat has been agreed by the sector which builds on the 1996 version and takes a broad approach to enhancing the attractiveness and sustainability of research careers.

The new Concordat consists of:

- A set of principles for the future support and management of research careers and, under each principle, an explanation of how it may best be embedded into institutional practice;
- A clear statement of the signatories' collective expectations for the support and management of researchers;
- A section emphasising the responsibility of researchers to take control of their career and to further it through informed decisions.

One of the main benefits of this Concordat will be to provide a single, unambiguous statement of the expectations and responsibilities of researchers, their managers, employers and funders. It will also demonstrate internationally – including to researchers considering coming to work in the UK – the high standards of management and support that can be expected by UK researchers.

Finally I would like to thank all the signatories and supporters who will be implementing and reviewing the Concordat, which will benefit the sector and UK society and the economy.

A handwritten signature in black ink, appearing to read 'Ian Pearson', written in a cursive style.

**Ian Pearson**

Minister of State for Science and Innovation  
25 June 2008

<sup>1</sup> Now part of Department of Business, Innovation and Skills.

# Introduction



In 1996, with the aim of providing a general reference point for good practice across the UK higher education sector, the UK Research Councils, the Committee of Vice-Chancellors and Principals (now Universities UK), the Standing Committee of Principals (now GuildHE) and others signed a 'Concordat on Contract Research Staff Career Management'.

The 1996 Concordat set standards for the career management and conditions of employment of researchers in Higher Education Institutions (HEIs) on fixed-term or similar contracts who were funded through research grants or similar schemes. It provided a general reference point for good practice for higher education in the UK.

The Research Careers Initiative monitored the Concordat's progress, encouraged dissemination of good practice and stimulated and encouraged initiatives throughout the UK. Sir Gareth Roberts championed the issue of research careers and as chair of the Research Careers Initiative Strategy Group (1997-2002), he recognised "...the need to develop policy and practice in relation to the growing number of staff employed exclusively or predominantly to carry out research". The publication of his report *SET for Success* in 2002 provided a blueprint for a set of measures for addressing critical issues affecting the supply of scientists and engineers. The Government has encouraged this, in the 2000 White Paper: "Excellence and Opportunity", in its response to the "Roberts' Review: SET for Success" and in its science strategy report, "Investing in Innovation".

To reflect progress, Research Councils UK (RCUK) and Universities UK (UUK) convened a UK higher education sector working group to draft a new Concordat. Development of the Concordat has included wide consultation and engagement with the sector - a process which has been invaluable in ensuring the Concordat is feasible and fit for purpose. This development has been endorsed by the UK Research Base Funders' Forum - representing the major public and private funders of public research in the UK.

A wide range of issues still need to be addressed, in particular that researchers should have greater security of employment. Researchers are also a distinctive group of staff and as such their management and development should be addressed within institutional HR strategies. These should also ensure that women and minority groups are not disadvantaged.

The Concordat provides a framework for implementation - reflecting the sector's strong recommendation - including a steering group with an independent chair, a benchmarking study and a major review after three years. The signatories and supporters have expressed their collective commitment to the Concordat's implementation and expect that significant emphasis will be placed on the sharing of good practice between institutions and on the use of existing data and information sources to provide evidence of its impact.

The signatories and supporters of the Concordat look forward to continuing to work together to make the implementation of this Concordat a success.

**Iain Cameron**

On Behalf of the Sector Working Group

# Principles, Signatories and Supporters

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**In endorsing the principles, we, the signatories, hereby adopt the principles of the 'European Charter for Researchers and Code of Conduct for the Recruitment of Researchers'**

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The UK research community is proud of our country's long tradition of research excellence, both for its own sake and for the wider benefit it brings to the health, economy and well being of our nation.

This Concordat sets out a vision of working practices, roles and responsibilities that we believe will further the attractiveness and sustainability of research careers in the UK, and thus ensure the continued provision of well-trained, talented and motivated researchers that is essential to the continuation of our research excellence. We are committed to the realisation of this vision in the UK.

The UK has a high standing in Europe for its attention to the management of its researchers. It was therefore important that the UK demonstrate its alignment with the European Charter and Code and this was done through a 'Gap Analysis' conducted by a previous working group, also led by UUK and RCUK. We are pleased that this Concordat unambiguously states that the higher education sector adopts the principles of the European Charter and Code.

We recognise that researchers in Higher Education and research institutions constitute a diverse group, including postgraduate students, research-only employees on short-term projects, part-time staff, lecturers and professors with a range of duties including research. The principles set out here apply equally to any member of staff engaged in research, and provide a framework of good practice for the management of all researchers and their careers.

Nevertheless, the focus of this document is on employees engaged principally to undertake research, the majority of whom are necessarily supported by fixed-term project funding. Despite progress made since the Concordat of 1996, this group is still rendered vulnerable by the uncertainty of research funding. The aim of this Concordat is to ensure maximum benefit to the researcher, their employing organisations and the research base during their period of employment as researchers in higher education and research institutions, recognising that this may be only part of a much longer career track.

We hereby undertake to adopt the following principles:

1. Recognition of the importance of recruiting, selecting and retaining researchers with the highest potential to achieve excellence in research.
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.
3. Researchers are equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment.
4. The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career.
5. Individual researchers share the responsibility for and need to pro-actively engage in their own personal and career development, and lifelong learning.
6. Diversity and equality must be promoted in all aspects of the recruitment and career management of researchers.
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.

## Signatories

The signatories<sup>1</sup> of this Concordat are:

Universities UK  
GuildHE  
Research Councils UK<sup>2</sup>  
The Royal Society  
The British Academy  
The Royal Academy of Engineering  
The Wellcome Trust  
Higher Education Funding Council for England  
Higher Education Funding Council for Wales  
The Scottish Further and Higher Education Funding Council  
Department for Employment and Learning Northern Ireland  
The National Institute for Health Research  
The Department of Health  
Scottish Government Health Directorates  
British Heart Foundation  
Technology Strategy Board

## Supporters

Academy of Medical Sciences  
Academy of Social Sciences  
Association of Graduate Careers Advisory Services  
Association of Medical Research Charities  
Association of Research Managers and Administrators  
British Educational Research Association  
CRAC: The Career Development Organisation  
Council for Science and Technology  
Equality Challenge Unit  
Institute of Biology  
Institute of Physics  
Modern Universities Research Group  
National Research Staff Association  
The Quality Assurance Agency for Higher Education  
Royal Society of Chemistry  
The 1994 Group  
The Biochemical Society  
The Biosciences Federation  
University Alliance  
UK Higher Education Europe Unit  
Universities HR (formerly UPA)  
UK Resource Centre for Women in SET  
Vitae, incorporating the UK GRAD Programme and UKHERD

<sup>1</sup> An up to date list of signatories and supporters is maintained on the Concordat website

<sup>2</sup> The Arts and Humanities Research Council  
The Biotechnology and Biological Sciences Research Council  
The Engineering and Physical Sciences Research Council  
The Economic and Social Research Council  
The Medical Research Council  
The Natural Environment Research Council  
The Science and Technology Facilities Council

## Definitions

### Researchers

Researchers are broadly defined as individuals whose primary responsibility is to conduct research and who are employed for this purpose. It is recognised that this broad category of staffing covers a wide range of staff with different disciplinary backgrounds, levels of training, experience and responsibility, types of contract (fixed or open ended, full or part time), and different career expectations and intentions. Recognising the diversity of research staff experience and expertise, it is impossible to address researchers as a homogeneous group.

### Employers of researchers

Those public or private institutions or organisations that employ individuals to conduct research.

### Research managers

Those responsible for managing and supporting researchers, including: Supervisors, Principal and Co-Investigators (The Principal Investigator takes responsibility for the intellectual leadership of the research project, for the overall management of the research and for the management and development of researchers), Research Team Leaders, Directors of Research and Heads of Schools or Departments.

### Supporters of researchers

Those responsible for supporting researchers in their career development as well as the administrative and other processes related to research, including: Research Administrators, Finance Officers, HR staff, Staff Developers, Careers Advisors and Mentors.

### Funders of researchers

Those institutions and organisations which fund public and private research. It is recognised that funders may also be employers of researchers.

# 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.

1. All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.
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.
3. Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.
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.
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.







## The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations came into force in October 2002.

The purpose of the legislation was to

1. limit the use of successive fixed term contracts (this aspect of the legislation came into full effect in July 2006).
2. prevent fixed term employees being treated less favourably than similar permanent employees.

“The University has welcomed these changes as an opportunity to move towards an employment environment where our reliance on fixed term contracts is greatly reduced. This is because we believe this will provide:

- greater security of employment and a more positive working experience for all staff.
- enhanced ability to recruit and retain top quality people.
- an opportunity for staff to develop a broader skill base, leading to a more highly skilled, flexible and effectively managed workforce”.

*University of Bristol*

# 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.

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.
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.
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.
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.
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.
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.



### Leadership Development for Principal Investigators

“The Principal Investigators’ resource helps them to navigate the bewildering array of leadership and management responsibilities they face. It provides support in five key areas:

- Leading a Research Team
- Legal and Ethical Issues
- Developing Your Researchers
- Managing Your Research Career
- Managing Research Finances

For further information about the resources see <http://www.le.ac.uk/researchleader>”



## Appraisal

“Like other staff members, researchers should have regular formal progress and review meetings, often referred to as appraisal. Appraisal arrangements for researchers must cover two distinct sets of goals and, given the particular needs of research staff, this Code of Practice recommends two distinct types of formal review meeting to discuss the research project and personal development.

Two distinct meetings are recommended since:

- a. compared with the enormous short-term pressures of the project, development and career plans for life beyond the research project can seem of low priority and become neglected, and

- b. development needs for future career plans (such as teaching experience) may be seen as conflicting with project needs (e.g. more time in the lab/library).

The two meetings recommended are:

- **A Project Review Meeting** that concentrates on progress towards the goals of the specific research project, and
- **A Development Review Meeting** which focuses on the wider career and personal development of the researcher beyond the current project”.

*University of Edinburgh*

# C. Support and Career Development

## PRINCIPLE 3

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

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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.
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.
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.
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.
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.
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.
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.
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.
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.

## PRINCIPLE 4

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



10. 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.
11. 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.
12. 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.
13. 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.
14. Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.

### THES award for support of early career researchers

The award is for outstanding support for personal, professional and career development of early career researchers who may be postgraduate researchers or research staff (typically employed on projects).

“The University of St Andrews GRADskills Programme supports early career researchers in developing generic skills to enhance their research capabilities and widen their future employability.

It provides a wide range of dedicated courses, workshops, on-line resources and training events throughout the year, including a highly successful, annual conference called “Research Futures”. Research Futures aims to raise awareness of the opportunities for researchers to become more involved in policy development, move between academia and industry, engage with wider audiences, be innovative and entrepreneurial, access national and international awards and funding, and undertake cutting-edge research, and of the skills required to succeed in these areas”.

*University of St Andrews  
Winner 2007*

# 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.

1. Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.
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.
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.
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.
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.
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.



### Mentoring for Research Staff

**“The mentoring scheme has been introduced to give researchers the opportunity of talking to someone who may have had similar experiences but is further ahead in their career. Discussions with a mentor could include the following: career options; routes to career goals; information/people/networks of potential help to them; feedback on fellowship applications or CVs; and balance between work and family.**

**The main difference between a mentor and a line manager is the mentor has no personal responsibility for performance. The mentee may also wish to discuss career plans with their line manager and they should ensure they do not neglect this option during the mentoring relationship”.**

*Imperial College London*



## The Enterprising Researcher

**“The Enterprising Researcher is an Enterprise and Commercial Awareness course that includes input from external experts and academic entrepreneurs who will provide you with real perspectives on the varied issues of commercialisation. It will provide you with a wide range of skills enabling you to be more effective as a researcher, and to broaden your professional career prospects should you decide to pursue a career away from academic or industrially-based research”.**

*White Rose Consortium (a strategic partnership between the Universities of Leeds, Sheffield and York)*

# E. Diversity and Equality

## PRINCIPLE 6

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

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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 under-representation or lack of progression.
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.
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.
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.
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.
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.
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.
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.
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.
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.





### The Athena SWAN Charter

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“Athena SWAN is an award scheme for good practice in employing women in science, engineering and technology (SET) in higher education and research institutions. It was launched in 2005 and now has over 30 members. Institutions applying for awards have to demonstrate to a panel of expert judges that their policies, practices and statistics demonstrate a pro-active approach to recruiting and retaining women in SET. Each submission must be tailored to the needs of each institution and show a firm commitment from senior management. Membership is currently free of charge.

The beliefs underpinning the Charter are:

- The advancement of science, engineering and technology (SET) is fundamental to quality of life across the globe.
- It is vitally important that women are adequately represented in what has traditionally been, and is still, a male-dominated area.
- Science cannot reach its full potential unless it can benefit from the talents of the whole population, and until women and men can benefit equally from the opportunities it affords.

*For more information visit [www.athenaswan.org.uk](http://www.athenaswan.org.uk) ”*

# 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.

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

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<sup>3</sup> and on the sharing of good practice between institutions and to provide evidence of its impact.

<sup>3</sup> Any collection of data will be undertaken in accordance with the Higher Education Regulation Review Group Higher Education Concordat on quality assurance arrangements and data collection.



## CROS, the Careers in Research Online Survey

CROS has been running since 2002 and is aimed at anonymously gathering data about working conditions, career aspirations and career development opportunities for research staff.

“The data we have gathered through the Careers in Research Online Survey have been central to improving the working conditions and career development of research staff at Cardiff University. In providing essential information about the views and experiences of our researchers, the CROS tool has enabled us to begin to respond more effectively to the needs of this group of staff and to ensure that any policy developments are evidence-based. As part of our commitment to transparency and continuous improvement we have made public the summary findings of the CROS data, along with the feedback we gather at our annual Research Staff Conference. We will continue to do so in order to demonstrate Cardiff’s progress against the principles outlined in the revised Concordat.”

*Cardiff University*



Incorporating the UK GRAD Programme and UKHERD

## The Vitae programme

Vitae is dedicated to realising the potential of researchers. The programme, funded by Research Councils UK, supports the personal, professional and career management of researchers in the UK and will play a major role in the implementation of the principles of the Concordat.

The Vitae programme’s vision is for the UK to be world-class in supporting the professional development of researchers and researcher careers. The programme has four key aims to:

- Champion the development and implementation of effective policy.
- Enhance higher education provision through sharing practice and resource.
- Provide access to development opportunities and resources.
- Build an evidence base to support the researcher development agenda.

[www.vitae.ac.uk](http://www.vitae.ac.uk)

## Annex 1

### Membership of the working group for the revision of the Concordat

<b>Iain Cameron (Chair)</b>	Research Councils UK
<b>Louise Ackers</b>	University of Liverpool
<b>John Bothwell</b>	National Research Staff Association
<b>Linda Bradley</b>	Department for Employment and Learning Northern Ireland
<b>Birgit Brandt</b>	The Royal Society
<b>Jane Butcher</b>	UK Resource Centre for Women in SET
<b>Michael Carr</b>	Russell Group
<b>Sarah Chaytor</b>	Universities UK
<b>Gill Clarke</b>	University of Bristol, and Quality Assurance Agency
<b>Nicola Dandridge</b>	Equality Challenge Unit
<b>Peter Deer</b>	Universities Personnel Association
<b>David Delpy</b>	University College London
<b>Simon Denegri</b>	Association of Medical Research Charities
<b>Davina Foord</b>	Universities UK
<b>Pat Fry</b>	Science and Technology Facilities Council
<b>David Gani</b>	The Scottish Further and Higher Education Funding Council
<b>Chris Hale</b>	Universities UK
<b>Erica Halvorsen</b>	Equality Challenge Unit
<b>Candace Hassall</b>	The Wellcome Trust
<b>Paul Hubbard</b>	Higher Education Funding Council for England
<b>Simon Inger</b>	UKHERD, Higher Education Researcher Development
<b>Jan Juillerat</b>	Biotechnology and Biological Sciences Research Council
<b>Jane Kirby</b>	Department for Innovation, Universities and Skills
<b>Ed Metcalfe</b>	SE Regional Development Agency
<b>Janet Metcalfe</b>	UK GRAD Programme
<b>Jennifer Rogers</b>	Higher Education Funding Council for England
<b>Elaine Thomas</b>	GuildHE
<b>Jane Thompson</b>	University and College Union
<b>Linda Tiller</b>	Higher Education Funding Council for Wales
<b>Suzanne Wilson</b>	Higher Education Funding Council for England
<b>Rosie Beales (Coordinator)</b>	Research Councils UK

## Annex 2

### Relevant legislation and guidance<sup>4</sup>

#### Relevant legislation

Data Protection Act 1998  
Disability Discrimination Act 1995  
Employment Act 2002  
Employment Equality (Age) Regulations 2006  
Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002  
Single Equality Act 2006  
Health and Safety at Work etc Act 1974  
Race Relations (Amendment) Act 2000  
Sex Discrimination Act 1975  
Welsh Language Act 1993

#### Guidelines and Codes of Practice

Universities UK: Appointing Senior Managers in Higher Education: A Guide to Good Practice (2004)  
Council for Industry and Higher Education (CIHE): Ethics Matters: Managing Ethical Issues in HE  
HEFCE Circular RAE 01/2006 Panel Criteria and Working Methods  
HEFCE Financial Memorandum and Audit Code of Practice (2004)  
Joint Negotiating Committee for Higher Education Staff (JNCHES) Fixed-Term and Casual Employment Guidance for Higher Education Institutions (2002)  
Joint Negotiating Committee for Higher Education Staff (JNCHES) Work-Life Balance Guidance for Higher Education Institutions (2003)  
Joint Statement of the Research Councils' Skills Training Requirements for Research Students  
Lambert IP Model Agreements (2005) published by the Department of Trade and Industry (DTI)  
National Library of Academic Role Profiles: for research staff

Research Governance Framework for Health and Social Care (2005)

Safeguarding good scientific practice (a joint statement by the Director General of the Research Councils and UK Research Council CEOs) (1998)

UCU/NUS/NPC Employment Charter For Postgraduate Student Academic and Academic Related Staff (1998).

Universal ethical code for scientists (published by the UK Council of Science and Technology)

#### Other

SET for Success: The Report of Sir Gareth Roberts' Review Science and innovation investment framework 2004-14 (published by HM Treasury, July 2004)

Research Careers Initiative (RCI) reports 1998 - 2002



Professor Sir Gareth Roberts 1940 - 2007  
Chairman of the Research Careers Initiative Strategy Group 1997 - 2002

<sup>4</sup> The web links to these documents are available on the Concordat web site.

## Annex 3

### European Guidance and Codes of Practice<sup>5</sup>

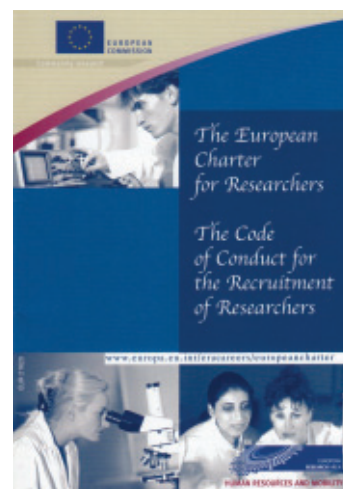
The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. (European Commission 2005)

The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: A UK HE Sector Gap Analysis.

The European Commission Response to A UK HE Sector Gap Analysis.

Euraxess Rights, hosting the Charter and Code, is part of Euraxess – ‘Researchers in Motion’ alongside other key initiatives facilitating the careers and lives of researchers.

<sup>5</sup> The web links to these documents are available on the Concordat web site.



### Images

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Others	Research Councils UK

# Signatories

The signatories<sup>1</sup> of this Concordat are:

Universities UK  
GuildHE  
Research Councils UK<sup>2</sup>  
The Royal Society  
The British Academy  
The Royal Academy of Engineering  
The Wellcome Trust  
Higher Education Funding Council for England  
Higher Education Funding Council for Wales  
The Scottish Further and Higher Education Funding Council  
Department for Employment and Learning Northern Ireland  
The National Institute for Health Research  
The Department of Health  
Scottish Government Health Directorates  
British Heart Foundation  
Technology Strategy Board

<sup>1</sup> An up to date list of signatories and supporters is maintained on the Concordat website

<sup>2</sup> The Arts and Humanities Research Council

The Biotechnology and Biological Sciences Research Council

The Engineering and Physical Sciences Research Council

The Economic and Social Research Council

The Medical Research Council

The Natural Environment Research Council

The Science and Technology Facilities Council

