

UK Board

UK

UKB/08/22

Executive Summary

This paper informs the UK Board on the revised Research Careers Concordat and invites agreement on Universities UK becoming a signatory and the role UUK should play in the implementation process.

Attachment(s)

UKB/08/22(a)final draft of revised Concordat

Enquiries

Chris Hale

Tel

020 7419 5490

Fax

020 7383 5766

Email Chris.Hale

@UniversitiesUK.ac.uk

25 April 2008

Research Careers Concordat

Purpose of paper

1. This paper informs the UK Board of the revised Research Careers Concordat and invites agreement on Universities UK becoming a signatory and the role UUK should play in the implementation process.

Recommendation

- The Board are invited to note the revised Concordat and agree that Universities UK becomes a signatory. A copy of the final revised Concordat is attached as Annex UKB/08/22(a).
- The Board are invited to agree that UUK play a proactive role in the implementation of the Concordat through housing a dedicated post (funded by the research funders) to take this forward. This proposal is outlined in paragraphs 7-11 and has been endorsed by the Executive Committee.

Discussion

2. Since the signing of the 1996 Research Careers Concordat, developed and championed by Sir Gareth Roberts, significant progress has been made. However, researchers' expectations of their career development and working conditions have grown. The interests and responsibilities of research funders and HEIs have also changed in response to new legislation affecting staff on fixed term contracts, amendments to UK Research Councils harmonised grant terms and conditions, and the publication of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers.
3. Reflecting on this, the UK Research Base Funders' Forum proposed the development of a new Concordat to give further momentum to the process and ensure that investment in researchers remains a priority. In response to this Research Councils UK (RCUK) and Universities UK (UUK) convened a UK higher education sector working group to produce a new Concordat that could build on the 1996 version and take a broad

Chief Executive **Baroness Warwick**

Universities UK, Woburn House, 20 Tavistock Square, London WC1H 9HQ

Tel +44 (0)20 7419 4111 Fax +44 (0)20 7388 8649 Email info@UniversitiesUK.ac.uk Web www.UniversitiesUK.ac.uk
Company limited by guarantee, registered in England and Wales No. 2517018. Registered Charity No. 1001127.

approach to enhancing the attractiveness and sustainability of research careers at all levels. Objectives of a revised Concordat are to:

- provide a single, unambiguous statement of the expectations and responsibilities of research funders and institutions with respect to the management of all researchers;
- embed the key principles in institutional practice as well as highlighting the roles and responsibilities of funders and researchers themselves;
- reflect the progress that has been made in recent years in strengthening the attractiveness of research careers; and
- 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.

The revised Concordat

4. The sector working group drafted a revised Concordat during 2007. The Concordat is built around a set of key principles focusing on the following areas:

- Recruiting and selecting excellence;
- Recognition and value of researchers;
- Supporting researchers to be flexible in a diverse research environment;
- Supporting researchers' personal and career development;
- Individual researchers' own responsibility for their career development;
- Promoting diversity and equality; and
- Regular review of progress in strengthening the sustainability of research careers.

Consultation

5. A draft of the revised Concordat was put out for consultation over the summer 2007. Additionally, two consultation events were held in Edinburgh and London. The UUK Research Policy Committee (RPC) provided advice and input on a number of occasions. The RPC has endorsed the revised Concordat. Feedback from the consultation informed a redrafting process leading to a final document, which is currently being signed off by sponsoring organisations.

Sign up

6. The new Concordat is currently in the process of being endorsed by those organisations that will become signatories (research funders and UUK on behalf of the sector). A number of non-signatory organisations will also support the Concordat. The Government's science advisory group, the Council for Science and Technology (CST) recently endorsed the Concordat, though with a caveat that much will depend on the way the Concordat is implemented.

Concordat implementation

7. The Concordat provides only a framework; much of its success will depend on the way it is adopted and taken forward by the various stakeholders it is aimed at. To take forward the detailed implementation research funders have agreed that collectively they would provide resources to support the following activities:
 - The development of a detailed implementation plan.
 - The commissioning of a benchmark study and the development of other research and analysis where appropriate.
 - The promotion of the Concordat across different communities and stakeholders (not just signatories).
 - The engagement of all key 'audiences' addressed in the Concordat to help develop and agree specific actions relating to their communities that will need to be taken forward.
 - The mapping of current activities and initiatives relating to researchers and careers and training, and help ensure they are coordinated and aligned to the objectives of the Concordat.
 - Facilitate the development and sharing of good practice (either virtually or through seminars/conferences etc).
 - Support work of the High Level Steering Group
8. These activities will need to be coordinated and have a focus, it is therefore proposed that a dedicated post is established to take this forward. The Research and Funding Councils have approached Universities UK informally with an invitation to house this post.
9. A number of detailed issues, such as the exact costing of the post and related activities, will need to be worked though it is expected that resources would be provided for 3 years for at least one FTE with some administrative support, a budget to support the benchmarking study and any additional research, as well as seminars, conferences and a website. It is likely that the post would be established towards the end of 2008.
10. The UUK Executive Committee recently discussed the proposal for UUK to take this on and agreed that it would ensure the process is sector owned and demonstrate a strong commitment to the development of researchers. This would also benefit the profile and perception of UUK in this area. The UK Board are invited to endorse the Executive Committee's recommendation that UUK take this on.
11. Is proposed that the governance of the implementation of the Concordat would be achieved through the setting up of a high-level steering/strategy group. Membership of this group will be decided up on in the coming months.

Next steps

12. The Science Minister, Ian Pearson, will launch the revised Concordat at an event on 25 June in Westminster.

13. RCUK, UUK and the UK Funding Councils are currently drawing up an implementation strategy. It is expected that the high level steering group will be established by summer 2008, with the dedicated post to support implementation in place before the end of 2008.

14 April 2008

Copyright in this paper, and any or all of its attachments unless stated otherwise, is vested in Universities UK. Persons in receipt of it at institutions in membership of Universities UK may copy it in whole or in part solely for use within their institutions.

UKB/08/22(a)

**A Concordat to Support the Career
Development of Researchers**

1 MARCH 2008

Final Text for Signature

Foreword

I am delighted to introduce this Concordat to Support the Career Development of Researchers. High quality research staff are critical to maintaining and developing the world-class research base in the UK. 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.

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.

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 pioneered 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 to address 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".

The UK continues to perform exceptionally well in research and, increasingly, its exploitation. We remain second only to the US in global scientific excellence (as measured by citations), while collaboration between the research base and business continues to grow ever stronger. Science and innovation are at the heart of the ongoing transformation of the global economy. The Department for Innovation, Universities and Skills (DIUS) was created by the Prime Minister in June 2007 to drive forward delivery of the Government's long-term goal to make Britain one of the best places in the world for science, research and innovation; and to deliver the ambition of a world-class skills base. Investment in attracting, training and managing the next generation of world-class researchers will make a major contribution to improving the quantity, quality and impact of research to the benefit of UK society and the economy.

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 which should also ensure that women and minority groups are not disadvantaged.

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 of this Concordat who will be taking forward the implementation and review of the Concordat which will benefit the sector and UK society and the economy.

Government Minister

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 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 analogous schemes. It provided a general reference point for good practice across the UK higher education sector.

Since publication of the 1996 Concordat, 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, Research Councils UK (RCUK) and Universities UK (UUK) convened a UK higher education sector working group to draft a new Concordat that could build on the 1996 version and take a broad approach to enhancing the attractiveness and sustainability of research careers.

The development of this Concordat has been endorsed by the UK Research Base Funders' Forum - representing the major public and private funders of public research in the UK. 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.

The new Concordat consists of:

- A set of key 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

Iain Cameron
On Behalf of the Sector Working Group

Key Principles, Signatories and Supporters

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 HE Sector adopts the principles of the European Charter and Code.

We recognise that researchers in Higher Education and research institutions form 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 life long 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 life long 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.

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

Final Text for Signatures

Potential Signatories

The signatories of this Concordat are:

Universities UK
GuildHE
Research Councils UK¹
The Royal Society
The British Academy
The Royal Academy of Engineering
The Wellcome Trust
Association of Medical Research Charities
Higher Education Funding Council for England
Higher Education Funding Council for Wales
Scottish Funding Council
Department for Employment and Learning Northern Ireland
The National Institute for Health Research
The Department of Health

Potential Supporters

Academy of Social Sciences	National Research Staff Association
Association of Graduate Careers Advisory Services	Quality Assurance Agency
Association of Research Managers and Administrators	Royal Society of Chemistry
British Educational Research Association	UK GRAD
Council for Science and Technology	UKHERD
Equality Challenge Unit	University and College Union
Higher Education Academy	Universities & Colleges Employers Association
Institute of Biology	Universities Personnel Association
Institute of Physics	UK Resource Centre for Women in SET

Formatted

¹ 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

Contents

Definitions

Sections:

- A. Recruitment and Selection – Principle 1
- B. Recognition and Value – Principle 2
- C. Support and Career Development – Principles 3 & 4
- D. Researchers' Responsibilities – Principle 5
- E. Diversity and Equality – Principle 6
- F. Implementation and Review – Principle 7

- Annex 1 Membership of the working group for the revision of the Concordat
- Annex 2 Links to relevant legislation and guidance
- Annex 3 Link to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

Definitions

Researcher

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, careers advisers 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 as laid down in the Fixed Term Employees Regulations (2002).
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 assessing their potential for 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.

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 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.

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.

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.

Principle 4

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

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 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 encourage employers and mentors to adopt these practices.

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 evaluation / 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.

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 life long 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.

E. Diversity and Equality

Principle 6

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

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 their 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 which 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.

Final Text for Signature

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 core 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 implementation and review costs 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 grants include the expectation that the Research Organisations 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 the Skills Development Programme 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 sources² and on the sharing of good practice between institutions and to provide evidence of its impact.

Final Text for Signature

² 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.

Annex 1

Membership of the working group for the revision of the Concordat

Iain Cameron (Chair)	Research Councils UK
Louise Ackers	University of Liverpool
John Bothwell	National Research Staff Association
Linda Bradley	DELNI
Birgit Brandt	The Royal Society
Jane Butcher	UK Resource Centre for Women in SET
Michael Carr	Russell Group
Sarah Chaytor	Universities UK
Gill Clarke	University of Bristol and Quality Assurance Agency
Janet Coulson	BBSRC
Nicola Dandridge	Equality Challenge Unit
Peter Deer	UPA
David Delpy	University College London
Simon Denegri	AMRC
Davina Foord	Universities UK
Pat Fry	STFC
David Gani	SFC
Chris Hale	Universities UK
Erica Halvorsen	Equality Challenge Unit
Candace Hassall	The Wellcome Trust
Paul Hubbard	HEFCE
Simon Inger	UKHERD
Jane Kirby	Department for Innovation, Universities and Skills
Ed Metcalfe	Regional Development Agencies
Janet Metcalfe	UK GRAD
Jennifer Rogers	HEFCE
Elaine Thomas	GuildHE
Jane Thompson	UCU
Linda Tiller	Higher Education Funding Council for Wales
Suzanne Wilson	HEFCE
Rosie Beales (Coordinator)	Research Councils UK

Annex 2

Links to relevant legislation and guidance

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](#)

[Gender Equality Duty](#)

[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

[Appointing Senior Managers in Higher Education: A Guide to Good Practice \(2004\)](#)

[A Concordat to Provide a Framework for the Career Management of Contract Research Staff in Universities and Colleges \(1996\)](#)

[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 Role Profiles \(NRP\) for research staff](#)

[RAE 01/2004: Initial Decisions by the UK Funding Bodies](#)

[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 \(1998\).](#)

[Proposed universal ethical code for scientists \(published by the UK Council of Science and Technology\)](#)

Other

[SET for Success: Final Report of the Gareth Roberts Review](#)

[Science and innovation investment framework 2004-14 \(published by HM Treasury, July 2004\)](#)

Annex 3

Link to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers:

www.europa.eu.int/eracareers/europeancharter

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

<http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/researchcareers/gapanalysis.pdf>

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

<http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/researchcareers/gapanalysisresponse.pdf>

Final Text for Signature