University of Oxford

Concordat to Support the Career Development of Research Staff

European Commission HR Excellence in Research Badge

Gap Analysis and Action Plan

1. Introduction

This introduction situates the research effort in the University of Oxford within the organisational framework and arrangements for governance that underpin the employment of Oxford's researchers and provision for their career development. This is the context for the University's implementation of the Concordat.

The University of Oxford is at the forefront of research worldwide, its research objectives being to lead the international agenda across the disciplinary spectrum and through interdisciplinary initiatives and to make significant contributions to society – regionally, nationally and internationally – through the fruits of its research. The University's research income for 2009/10 totalled £485.9 million, of which £118.9 million was received in HEFCE research funding (the highest of any UK university), and £367 million from externally-funded grants and contracts. The scale of University research activity is substantial, involving the four academic divisions, Academic Services and University Collections, and more than 70 departments. In addition, the Oxford Colleges employ researchers and support research both financially and through the collections held in their libraries. Oxford's research activity involves over 1500 academic staff (teaching and research), over 3500 research and research support staff, and nearly 5000 postgraduate research students, supported by Oxford's research administrators.

i. Building on good practice: an action plan

Oxford greatly values its research staff and has long had in place measures consistent with the provisions of the Concordat for their fair employment and career support. There is an existing range of policies, codes of practice, guidelines and other support through which most of the Concordat's provisions are already addressed.

In particular, the Code of Practice for the Employment and Career Development of Research Staff, described in section 2 below, is a key means of achieving Concordat principles 1-7, supported by the University's Strategic Plan; this is also underpinned by comprehensive HR policies and guidance (Principles 1, 2 and 6); support and training from a variety of specialist providers in personal and professional development, research skills, teaching, and careers (Principles 3, 4, & 5); an Athena SWAN institutional bronze award and active working towards departmental silver awards across two divisions (Principle 6); and a proactive approach to evaluation including commitments to run PIRLS and CROS, ongoing evaluation of local provision, and plans to introduce regular reporting against this

action plan (Principle 7). There remain some areas where further work would be beneficial; these have been identified and a summary action plan is presented at the end of this document.

ii. Implementing the Concordat in the Oxford context

Oxford's multi-faceted research environment flourishes in a devolved structure: within an overall framework of policies and procedures determined by the University, the academic divisions and departments are responsible for setting their own research priorities and managing their resources with support provided by the central University.

Policies and procedures on the employment of research staff are determined by the University's Personnel Committee, following consultation with staff representatives. The University has developed its own *Code of Practice for the Employment and Career Development of Research Staff,* the '*Code of Practice*', which maps closely to the Concordat but is tailored to ensure that it suits Oxford's staff and is appropriate to the University's own organisational context.[1] The University is implementing the Concordat through this *Code of Practice*, with each academic division developing local arrangements to address the specific career development needs of its own researchers. This work will increasingly be informed by reference to Vitae's Researcher Development Statement and Framework (the RDS and RDF).

In addition to setting the overarching policies, the University supports the academic divisions through centrally provided services such as Personnel Services (for HR matters), Research Services (for matters relating to obtaining and managing research grants, as well as research integrity and ethics), the Oxford Learning Institute (for a range of personal and professional development including courses accredited by external bodies), the Equality and Diversity Unit, and the Careers Service (which employs two officers specifically to support researchers), along with various other training and service providers such as the libraries, the computing service, and finance services.

The *Code of Practice Implementation Group* consists of representatives of the central services who work together to promote divisional embedding of the *Code of Practice*. In the summer of 2011, the work of the Group was strengthened by the appointment by the Learning Institute of the *Researcher Development Officer*, whose remit includes promoting engagement by research staff and their supervisors with sustainable training and career development. As well as liaising with key staff in divisions and departments, the Researcher Development Officer plans to focus on communications and publicity and will assist with evaluation exercises and surveys such as CROS and PIRLS.

The academic divisions employ dedicated training officers and administrative support staff to run their training programmes with help where appropriate from academic staff, and each division has a nominated academic to provide direction and oversight. The Learning Institute provides advice and support to the divisional training officers and facilitates the dissemination of innovation and good practice. In addition, the divisional skills trainers work together on the *University Skills Group* in order to provide a raft of cross-divisional programmes of generic skills training.

Each division has nominated a *Divisional Research Staff Coordinator* as a divisional point of contact on matters relating to the *Code of Practice*. In addition, *Departmental Research Staff Coordinators* have been identified to act as champions for the *Code* within their departments. Work is currently underway to establish arrangements for these coordinators to discuss issues and challenges and to share good practice.

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[1] As part of this gap analysis, a mapping of the research Concordat against the Code of Practice was undertaken, and it was confirmed that there were no areas of the Concordat unaddressed by the Code of Practice.

The University is engaging energetically with the Athena SWAN scheme to promote equality for women in the sciences: all departments in the Mathematical, Physical and Life Sciences Division (MPLS) and the Medical Sciences Division (MSD) are being encouraged and supported by the Equality and Diversity Unit to submit applications for an Athena SWAN award (or equivalent) over the next two years. Athena recognises and promotes best practice in the recruitment, retention, progression and promotion of women in SET subjects, including research staff.

iii. University Governance and support for researchers

The employment and career development of researchers is overseen at the highest levels of governance. The University has three major committees of Council with remits relating directly to researchers, the Personnel Committee, the Education Committee, and the Research Committee, all of which are chaired by Pro-Vice-Chancellors and all of which include active researchers.

Implementation of the *Code of Practice* (and hence of the Concordat) is monitored centrally by the Personnel Committee through its subcommittee, the Research Staff Working Group, which includes a representative of the Oxford UCU. The group is also seeking a staff representative from the Research Staff Society. This group is chaired by the Pro-Vice-Chancellor (Personnel and Equality) and its membership includes the Pro-Vice-Chancellor (Research). Following adoption of this HR Excellence in Research action plan, the Research Staff Working Group will receive regular updates on divisional progress towards complete implementation of the *Code of Practice*.

The Education Committee of Council, chaired by the Pro-Vice-Chancellor (Education), takes particular interest in educational development and graduate supervision, and it receives regular reports from the University Skills Group. The Pro-Vice-Chancellor (Education) also chairs the Management Committee for the Oxford Learning Institute (the staff development institute) whose members include the Pro-Vice-Chancellor (Personnel and Equality) and the Deputy Registrar. The Research Committee of Council, chaired by the Pro-Vice-Chancellor (Research) has a broad remit to further the University's research strategy.
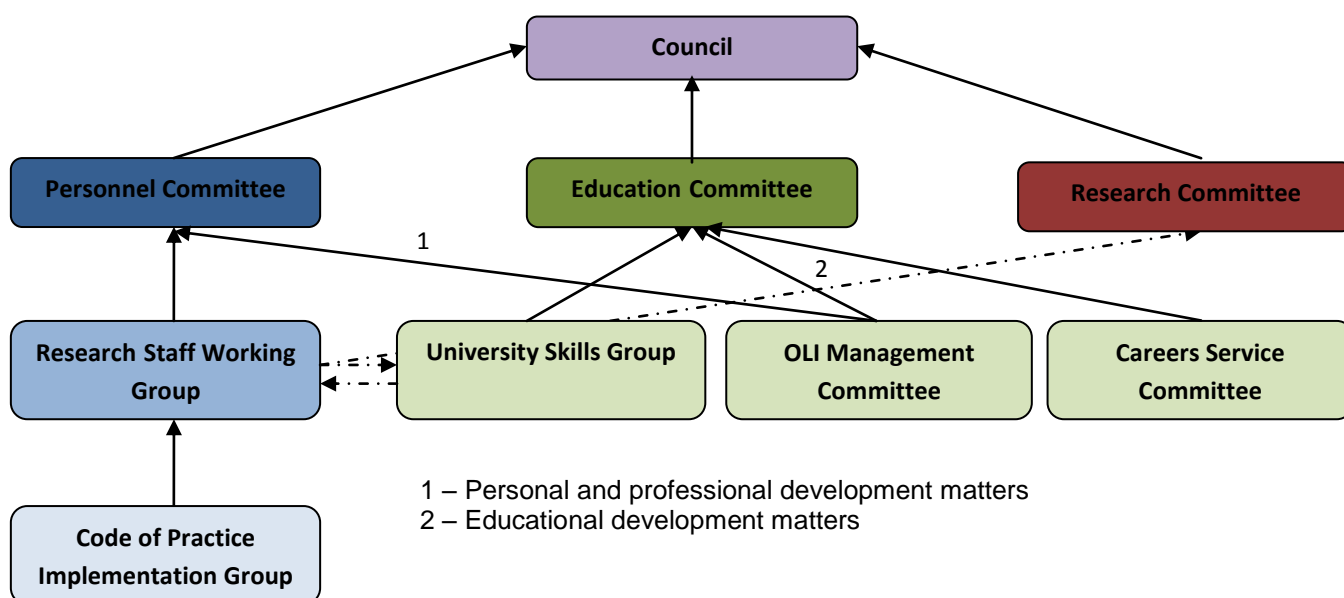

Fig. 1: Assurance and reporting mechanisms

1 – Personal and professional development matters
2 – Educational development matters

iv. The HR Excellence in Research action plan

The following gap analysis and action plan are informed by consultation between the Researcher Development Officer and other members of the Code of Practice Implementation Group and the divisional training officers in September-October 2011. The actions emerge from a consideration of the provisions of the Concordat in the context of University policy and practice, and in particular from a review of the University's own *Code of Practice for the Employment and Career Development of Research Staff* and of data collected in CROS 2009 and PIRLS 2011. The plan is approved and supported by the Pro-Vice-Chancellor (Personnel and Equality).

In the gap analysis, each principle of the Concordat is presented in a table alongside evidence of compliance. The status for each principle is marked either 'A' for 'Achieved', 'PM' for 'Partly met' or 'O' for 'Outstanding' where a need for action has been identified. For ease of reference, the actions are numbered to reflect the clause of the Concordat they are addressing. A timescale for addressing each remaining action is indicated wherever appropriate, though, in some cases, action is simply marked as 'ongoing' to recognise that the implementation process must be one of continuous support and reinforcement of good practice.

A summary of actions is provided at the end of this document. A glossary is also provided.

2. Gap analysis and action plan

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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

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<th colspan="2">Concordat</th>
<th>Evidence for current compliance</th>
<th>Status</th>
<th>Lead</th>
<th>Timescale</th>
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<td>1.1</td>
<td>All members of the UK research community should understand that researchers are chosen primarily for their ability to advance research at an institution.</td>
<td>Recruiting and retaining researchers of the highest standard forms a key part of the University's Strategic Plan (paragraph 47).

This is reinforced by the Code of Practice for the Employment and Career Development of Research Staff (hereafter 'Code of Practice'), which has as its first principle "The University aims to recruit and select researchers with the highest potential to achieve excellence in research" and its second "Researchers are significant participants in and essential contributors to the University's success in research."

In addition, there are clear policies and guidance on the recruitment and selection of all roles, including researchers.

Arrangements for salary flexibility are in place under the auspices of the Senior Appointment Panel to ensure that the University is able to recruit and retain the very best researchers.</td>
<td>A</td>
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<td>1.2</td>
<td>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</td>
<td>The Code of Practice makes clear that all appointments of research staff will be made in accordance with the University's Equal Opportunities Code of Practice on Recruitment and Selection, as well as in accordance with the management guidelines on recruitment procedures issued by Personnel Services, which promote the principles of fair and open selection and provide for training in fair selection (Clause 1a).</td>
<td>PM</td>
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	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.	It is departmental administrators' responsibility to ensure all those appointing research staff have received training in fair selection and are aware of these policies and procedures Training is offered in support of this: Recruitment and Selection online and selection interviewing practice sessions. In addition, all those involved in selecting staff outputs for submission to the REF will be trained in equality and diversity in early 2012. *Action 1.2: Equality and diversity training for REF UoA co-ordinators.*		*EDU*	*Early 2012*
1.3	Research posts should only be advertised as a fixed-term post where there is a recorded and justifiable reason.	The University abides by the provisions of the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002, in ensuring equal treatment of those on fixed-term contracts compared with those on other types of contract; fixed-term contracts are used only where objectively justified; and open-ended terminable contracts are used where appropriate. Detailed guidance is provided on the use of appropriate contracts (See Code of Practice 2a). The University has adopted an open-ended form of contract for research staff employed on long-term external funding. Trends in the use of permanent, open-ended and fixed-term contracts are monitored and annual reports are considered the Joint Consultative Committee with the Oxford UCU and the RSWG. Research Services and Personnel Services run a Training Programme in Research Administration.	A		
1.4	To assure fairness, consistency and the best assessment of the candidates' potential, recruitment and progression panels should reflect diversity as well as a range of experience and expertise. In order to promote these values, individuals who are members of recruitment and promotion panels should have received relevant recent training. Unsuccessful applicants should be given appropriate feedback if requested as this may be of assistance to the researcher in considering their further career development.	All appointments of research staff are to be made in accordance with the University's Equal Opportunities Code of Practice on Recruitment and Selection, as well as in accordance with the management guidelines on recruitment procedures issued by Personnel Services (Code of Practice 1a). The Oxford Learning Institute runs an online course in recruitment and selection which is compulsory for those chairing selection panels. The guidelines for recruiting academic staff stipulate that active measures be taken to ensure that women serve on selection committees, wherever practicable.	A		

| 1.5 | The level of pay or grade for researchers should be determined according to the requirements of the post, consistent with the pay and grading arrangements of the research organisation. | Research staff must be paid on the relevant university scales (Code of Practice 2h). They are entitled to in-scale incremental salary progression on the same basis as other staff. Salary scale revisions approved by Council and the Personnel Committee are applied to all research staff, subject to any special provisions required by the funding body concerned.

Research staff are eligible to be considered for promotion, merit pay and for conferment of the title of professor in the same way as other staff.

Job titles for research staff may be determined by departmental employing authorities, provided (i) that formal university titles, such as lecturer, reader, professor, and research lecturer are not used unless the relevant divisional authority has been obtained; and (ii) that appropriate care is exercised to avoid confusion with college titles of Fellow and Senior Research Fellow.

Guidelines on grading are available on Personnel's website. | A | | |

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

	Concordat	Evidence for current compliance	Status	Lead	Timescale
2.1	Employers are encouraged to value and afford equal treatment to all researchers, regardless of whether they are employed on a fixed term or similar contract. In particular, employers should ensure that the development of researchers is not undermined by instability of employment contracts. This approach should be embedded throughout all departmental structures and systems.	The University values and affords equal treatment to all researchers: research staff are entitled to the same conditions of service as other academic-related staff in relation to: • hours of work • annual leave • long-service leave • membership of the appropriate staff pension scheme • disciplinary and grievance provisions • union representation and time off for union duties (Code of Practice 2j) They are also entitled to the same provisions as other staff for sick-leave, sick pay, and maternity and paternity leave (Code of Practice 2k).	A		

		In addition, the Research Excellence Framework 2014 Code of Practice on selecting staff "acknowledges the very significant contribution made by the wide range of researchers in externally funded contracts, and those who work part-time, to the research undertaken in Oxford. Staff on fixed-term and part-time contracts, including contract research staff, will be considered for inclusion in the REF2014 in accordance with Oxford's submission policy" (link not yet available).			
2.2	Commitment by everyone involved to improving the stability of employment conditions for researchers and implementing and abiding by the principles and terms laid down in the Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations (2002) and Joint Negotiating Committee for Higher Education Staff (JNCHES) guidance on the use of fixed-term contracts will provide benefits for researchers, research managers, and their organisations.	The University abides by the provisions of the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002, in ensuring equal treatment of those on fixed-term contracts compared with those on other types of contract; fixed-term contracts are used only where objectively justified; and open-ended terminable contracts are used where appropriate. Detailed guidance is provided on the use of appropriate contracts (Code of Practice 2a).	A		
2.3	Research managers should be required to participate in active performance management, including career development guidance, and supervision of those who work in their teams. Employers should ensure that research managers are made aware of, and understand their responsibilities for the management of researchers and should provide training opportunities, including equality and diversity training, to support research managers in doing this. Institutions will wish to consider how research managers' performance in these areas is developed, assessed and rewarded, and how effectively this supports good research management.	Research supervisors are required to provide career development guidance and supervision of staff as detailed in Code of Practice 2g. There is an increasing take-up of the University's Personal Development Review scheme – please see 3.9 below for information. Advice is provided to supervisors and other departmental managers in exercising their responsibilities (restated in the Code of Practice 2g): lists of reflective questions are provided for each of several stages in a researcher's career, as well as links to other useful guidance. The Oxford Learning Institute provides training for research supervisors, in particular the Programme for Principal Investigators, which focuses on the question 'What makes a productive research group?' and explores how research leaders make a difference. PIs are also able to attend the Introductory Certificate in Management, and Developing Leadership and Management Practice programmes, as well as an online Equality and Diversity course.	PM		

		Action 2.3: Online guidance for PIs to support PDR of research staff to be supplemented by new materials, such as a toolkit for supporting research staff development, based on existing guidance.		*OLI*	*Summer 2012*
2.4	Organisational systems must be capable of supporting continuity of employment for researchers, such as funding between grants, other schemes for supporting time between grant funding, or systems for redeploying researchers within organisations where resources allow. Funders are expected to make it a priority to consider how their policies, guidance and funding can be enhanced to help employers to achieve this objective.	The University expects that all researchers be kept informed about the state of funding for their post and project, and about the likelihood of future funding or employment at the end of the present appointment (Code of Practice 3b). Researchers are expected to initiate discussions of future career options with their supervisors, and such discussions take place well before the end of each individual's fixed-term contract (around nine months before the end may be appropriate in many circumstances). Efforts should be made to consider realistic career options outside universities as well as within, so that any decision to pursue a further research appointment may be taken consciously, rather than by default. Many divisions and departments have local arrangements in place to support continuity of employment across gaps in funding while research grant application outcomes are awaited. Researchers will also be supported by their supervisor and/or grant holder in the endeavour to find suitable alternative employment (3d). A nominated supervisor will be responsible, under the University's procedures for staff reaching the end of a fixed-term appointment, for drawing the researcher's attention to the University's jobs webpage, and for meeting regularly with the researcher (if the researcher wishes) to discuss potentially suitable alternative employment opportunities. In the event that no suitable alternative employment is found, the researcher will receive any statutory redundancy pay to which he/she is entitled" (3e). Around a quarter of respondents to CROS 2009 had a good or partial understanding of redundancy and redeployment, and a further half was aware that the processes existed. Much work has been done in this area since 2009 so these numbers are likely to have improved and will continue to do so with greater prominence given to research staff – CROS 2013 will provide information on the extent to which this is the case. As noted above, Research Services runs training for departmental administrators who support research, which includes personnel issues such as recruitment, contracts of employment, and probation. They also run sessions on specific funding opportunities as well as support such as mock interviews, which are available to research staff.	A		

2.5	Pay progression for researchers should be transparent and in accordance with procedures agreed between the relevant trade unions and the employers nationally and locally. In HEIs, pay progression will be in accordance with the Framework Agreement, though recognising the flexibility that institutions have in implementing the Framework.	The University is committed to transparent pay progression for research staff, who are entitled to in-scale incremental salary progression on the same basis as other staff (Code of Practice 2h). Salaries should also provide for in-scale incremental progression within the grade which the individual held at the end of the previous appointment (Clause 2i). The University has implemented the National Framework Agreement.	A		
2.6	Researchers need to be offered opportunities to develop their own careers as well as having access to additional pay progression. Promotion opportunities should be transparent, effectively communicated and open to all staff. It is helpful if clear career frameworks for early stage researchers are outlined in organisational HR strategies.	Promotion opportunities are advertised on the University's main website. As mentioned above, as part of the Code of Practice implementation work development checklists have been produced for research staff and for PIs, which are structured around different stages in a research contract to reflect the career and professional development of the individual researcher. As noted, this is currently available on the Personnel Services website, and Personnel Services/OLI are working to make this resource more accessible to encourage wider use. The University's HR strategy addresses issues specifically relating to research staff, a priority being "to sharpen the focus of work on contract research staff and expedite outcomes, in particular in terms of integrating those contract research staff on an academic career trajectory more fully into the research, teaching, and administrative work of the collegiate University..." In addition, departments submitting for an Athena reward are required to consider how to develop the careers of all research staff, including providing transparent information about opportunities for progression and promotion. *See Action 2.3 (i) and Action 6.3*	PM		

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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

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	Concordat	Evidence for current compliance	Status	Lead	Timescale
3.1	It is recognised that positions of permanent employment are limited in the UK research and academic communities and that not all researchers will be able to obtain such a position. It is, therefore, imperative that researcher positions in the UK are attractive in themselves (and not, for example, solely as potential stepping stones to permanent academic positions). This requires that they provide career development which is comparable to, and competitive with, other employment sectors.	See 3.2 and 3.3 below for details of the wide range of career development available to research staff.	A		
3.2	A wide variety of career paths is open to researchers, and the ability to move between different paths is key to a successful career. It is recognised that this mobility brings great benefit to the UK economy and organisations will, therefore, wish to be confident that their culture supports a broad-minded approach to researcher careers and that all career paths are valued equally.	The Careers Service has a wide range of dedicated resources, events, and webpages aimed specifically at research staff. Support includes: • Two careers advisers with a specific remit for research staff - one permanent and one presently short-term funded for 18 months • Two career management workshops specifically for research staff, the Career Pathfinder and Job Search, CVs and Interview Skills • One-to-one appointments which can be used for career exploration • Various events including: Developing Your Professional Networks, Women in Academia, Careers in Academia, Non-Academic Careers for Researchers (both	A		

		separately for science and non-science) • Currently piloting a Portfolio Careers event; also reviewing need for events addressing Academic applications in particular, and International Academic job searching. • Research staff can also attend all other events and use resources at the Careers Service including attendance at employer events, careers fairs, vacancies and use of the alumni mentor network.			
3.3	Employers, funders and researchers recognise that researchers need to develop transferable skills, delivered through embedded training, in order to stay competitive in both internal and external job markets. Therefore, as well as the necessary training and appropriate skills, competencies and understanding to carry out a funded project, researchers also need support to develop the communication and other professional skills that they will need to be both effective researchers and highly-skilled professionals in whatever field they choose to enter.	The University provides a wide range of opportunities for professional development for researchers, much of it tailored specifically for research staff, both centrally and through divisions and departments. See, for example: Central training http://www.learning.ox.ac.uk/support/research/ http://www.careers.ox.ac.uk/research-staff/ Divisional training http://www.medsci.ox.ac.uk/skillstraining/coursecatalogue/researchstaff http://www.humanities.ox.ac.uk/training_and_support/programme http://www.mpls.ox.ac.uk/skills There is also ongoing work across the University supported by a dedicated Researcher Development Officer to promote use of the Researcher Development Statement. The University Skills Group is planning to incorporate an online version of the RDS into its skills development website. The Humanities Division has a tailored researcher development framework incorporating the RDS available on its website.	PM		
		Action 3.3(i) Continue work on incorporating the RDS into existing web presence, to increase visibility and to allow effective use.		*USG*	*Summer 2012*
		Action 3.3(ii) Researcher Development Officer to continue to explore ways of promoting and supporting use of the RDS by working with Vitae and with other institutions and organisations at a national level, and liaising with divisions and departments.		*OLI*	*Summer 2013*
3.4	All employers will wish to review how their staff can access professional, independent	See 3.2 above for details of the support offered by the Careers Service.	A		

	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.				
3.5	Researchers benefit from clear systems that help them to plan their career development. Employers and funding bodies should assist researchers to make informed choices about their career progression by ensuring that their own policies and processes for promotion and reward are transparent and clearly stated and that all researchers are aware of local and national career development strategies.	For support offered by the Careers Service see 3.2 above. Personnel Services provide comprehensive information regarding grading.	A		
3.6	Employers should provide a planned induction programme for researchers, on appointment to a research post, to ensure early effectiveness through the understanding of the organisation and its policies and procedures. They should also ensure that research managers provide effective research environments for the training and development of researchers and encourage them to maintain or start their continuous professional development.	The Oxford Learning Institute runs a dedicated induction event specifically for research staff. Divisions and departments also run their own induction events, and induction is also provided by many departments at a local level. Those departments submitting for Athena awards will be required to consider how they provide for the induction of research staff. As stated above, there is also a range of support for managers available via Personnel Services, including the reflective questions tailored for different stages of researchers' developments: http://www.admin.ox.ac.uk/personnel/cops/rsemp-career/rscheck/ and http://www.admin.ox.ac.uk/personnel/cops/rsemp-career/piguide/ *(See Action 2.3)* The Code of Practice also makes clear the expectations of heads of department and supervisors (2f). At the beginning of any appointment, the head of department (or his or her nominee) should clearly identify the immediate supervisor of the researcher and establish the nature of that supervision. Supervisors are responsible for regularly discussing with researchers their research objectives and their work performance; and provision must be made for a clearly-defined probationary period with appropriate probationary review meetings, training needs assessment, and career planning. Departments should ensure that newly appointed research staff are aware of and given time to attend the relevant university induction programme. The last institution-wide survey of research staff was CROS 2009, which indicated that	PM		

		there is room for improvement in the way that induction opportunities are promoted and encouraged. *Action 3.6: Continue to ensure promotion of induction activities is as effective as possible by reviewing and maintaining communications strategies.*		*OLI*	*Summer 2012*
3.7	Employers and funders will wish to consider articulating the skills that should be developed at each stage of their staff development frameworks and should encourage researchers to acquire and practise those skills. For example, researchers may be given the opportunity to manage part of the budget for a project, or to act as a mentor or advisor to other researchers and students.	Work is ongoing to promote and embed the Researcher Development Framework across the University (see 3.3 above), with the aim of encouraging research staff and PIs to be more aware of skills development, willing to seek out and take part in it, and to find/create opportunities to undertake professional development as part of a researcher's work. *See Action 3.3(i).* As described above, the more explicit focus on the RDS is complemented by the support available to complement the Code of Practice, including the reflective questions tailored for different stages of researchers' development for use by both PIs and researchers. There are plans to develop these into an accessible toolkit. *See Action 2.3.* A range of professional development courses is offered by the Oxford Learning Institute to support staff in taking on e.g. budget or project management, in addition to the courses run at divisional level.	PM		
3.8	Employers also should provide a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, which should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers. All researchers should be familiar with such provisions and arrangements.	See 2.3 above for details of the career development checklists for PIs and researchers, and the related action to develop and disseminate toolkits. For details of the wide range of mentoring opportunities available, see 4.5 below. Results from PIRLS 2011 show that one third of PIs had already arranged mentoring for their staff, and nearly a further third would try it in the future. Athena departments will be required to provide mentoring for all research staff. For details of the personal development review roll-out, see 2.3 above.	PM		
3.9	Research managers should actively encourage researchers to undertake Continuing Professional Development (CPD) activity, so far as is possible within the project. It should be stressed that developmental activity can often have a direct impact on the success of the project, by distributing work, taking advantage of individual strengths and talents, and increasing the skill and effectiveness of	The Oxford Learning Institute works with individual departments to introduce personal development review or 'PDR' schemes for staff, including research staff, consistent with Oxford's values and institutional structures. PDR schemes are based on a set of principles developed by Personnel Committee and adapted by departments to their own contexts. A range of support is available in supporting departments to implement Personal Development Review, including a handbook for reviewers, a handbook for reviewees, a published scheme for good practice, and an online programme is currently being piloted. The Oxford Learning Institute is undertaking visits to departments to encourage further roll-out of PDR for research staff.	PM		

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.	Personal and professional development is also supported via the Staff Learning Scheme, designed to provide staff with financial support for relevant courses and other learning activities for which they would otherwise have to pay. There is also a wide range of training in both personal and professional development offered by the Oxford Learning Institute as well as by divisions. PIRLS 2011 results for Oxford are positive in this area, showing that well over half of PIs had undertaken PDR with their staff and a further 20% would try it in the future; and over half had coached their staff with nearly 20% saying they would try it in the future. Whilst these figures show room for improvement, they are encouraging in showing that PIs are by and large engaging in the CPD of their staff, or are willing to do so. Departments submitting for Athena awards are required to provide all research staff with PDR or equivalent. *Action 3.9: Continue to support departments and individuals in implementing PDR and encouraging those who do not have schemes to develop them.*	*OLI*	*Ongoing*

PRINCIPLE 4

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

	Concordat	**Evidence for current compliance**	**Status**	**Lead**	**Timescale**
4.1	Researchers should be empowered by having a realistic understanding of, and information about, their own career development and career direction options as well as taking personal responsibility for their choices at the appropriate times. Employers should introduce appraisal systems for all researchers for assessing their professional performance on a regular basis and in a transparent manner. It is important that researchers have access to honest and transparent advice on their	Appraisal and performance assessment in the university, in addition to the probation process, is undertaken via the PDR process – for details and action see 2.3 and 3.9 above. The Careers Service provides comprehensive support specifically tailored to research staff, including a dedicated advisor and tailored events – see 3.2 above for details.	A		

	prospects for success in their preferred career.				
4.2	Employers will wish to ensure that developmental activities open to researchers include preparation for academic practice. Employers should take measures to ensure broad recognition of CPD schemes from other employing organisations as far as possible, so that researchers are not unduly disadvantaged when moving from one employer to another.	The University acknowledges that "Researchers may aspire to academic posts at Oxford or at other universities; research careers outside academia; or careers drawing on their research skills but without a specific research focus. They and their supervisors should keep their aspirations under review in the light of progress, and the activities agreed should reflect the trajectory while also enabling the researcher to acquire flexibility and adaptability. In planning and managing their careers, researchers are encouraged to make use of the guidance from the Personnel Committee and the resources available from the divisional skills co-ordinators and the Learning Institute on training and development and the Careers Service on career planning and management." (Code of Practice 3a). In particular, the Code of Practice also states that researchers "should be encouraged and supported to undertake teaching and research student supervision duties", although teaching opportunities are necessarily more limited at Oxford than they may be at other institutions given the unique nature of the tutorial system. There is a wide range of support available from the OLI Educational Development Group and Professional Development Group to support staff in preparing for academic practice, which includes nationally accredited courses. The University's Postgraduate Diploma in learning and teaching in Higher Education (PGDipLATHE), for experienced teachers, is accredited by the Higher Education Academy(UKPSF Standard Descriptor 3), and allows participants to achieve Associate Fellow or Fellow status of the HEA; Developing Academic Practice (for those new to teaching) is assessed against the UK Professional Standards Framework, Standard Descriptor 2; and Developing Learning and Teaching, assessed at UKPSF Standard Descriptor 1, leads to Associate status of the HEA. In addition, the Introductory Certificate in Management leads to the award of the Chartered Management Institute's Certificate in Management. The OLI's support in this area is also evidenced by its having hosted, as part of the CETL initiative, the Centre for Excellence in Preparing for Academic Practice, the work of which is available online. The CETL has resulted in robust structures across the university and has had a major institutional impact on academic practice; see, for example the legacy website. The Careers Service is also a key mechanism in supporting research staff to identify other potential avenues for development – see 3.2 above for details.	A		
4.3	Employers will ensure that where researchers are provided with teaching and demonstrating opportunities as part of their	The Educational Development Group (EDG), part of the OLI, supports efforts to improve teaching across the university (see 4.2 above for more details on learning and teaching support). Division and departments also offer training and support, such as Humanities	A		

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	career development, suitable training and support is provided.	Division's teaching seminars, MPLS' resources, or MSD seminars. An increasing positive trend is for departments to hold registers of researchers who have undertaken courses on teaching and who are available to undertake further teaching.			
4.4	Employers and researchers can often benefit if researchers have an input into policy and practice through appropriate representation at staff meetings and on organisation or management committees.	Research staff are encouraged to input into other areas of University decision-making e.g. Research staff holding posts in a University department or institution at grade 8 or above are eligible to apply to become members of Congregation; and the Regulation governing the composition of departmental committees provides for senior researchers to be members of such committees.	A		
4.5	Mentoring arrangements should be supported by employers as a key mechanism for career development and enhancement.	There is a range of mentoring available for research staff in a variety of contexts. Of particular note is a mentoring scheme, established by the CETL, to bring together Oxford researchers and Oxford alumni holding academic posts outside Oxford, and that scheme is now being developed by the Careers Service as the Career Accelerator programme in order to accommodate the large numbers wishing to take part. The University expects researchers to be appointed a mentor "to serve as a sounding board, information source, critical friend or career guide" (Code of Practice 2n); in addition, as part of the end of contract process, it is recommended that researchers are assigned a mentor 6 months before the end of their contract to support transition. The Careers Service has a database of Alumni, the Oxford Careers Network, where alumni have agreed to be contacted by students and Research Staff who need to research career options or need a mentor/contact in a particular field. The Careers Service encourages RS to use this as a starting point for finding mentors and for developing networks. The Careers Service also runs a workshop called Developing your Professional Networks for Research Staff (and DPhil students) which advises participants on how to develop their own networks and find their own mentors. At an individual level, as noted above PIRLS results are encouraging regarding the extent to which mentoring is arranged: over 33% have arranged it, and a further 29% said they would try it. *Action 4.5: Continue to promote specific opportunities to ensure PIs and research staff are aware of the range of mentoring possibilities on offer.*	PM	*OLI*	*Ongoing*

D. Researchers' responsibilities

PRINCIPLE 5

**Individual researchers share the responsibility for and need to proactively engage
in their own personal and career development, and lifelong learning**

	Concordat	Evidence for current compliance	Status	Lead	Timescale
5.1	Researchers are employed to advance knowledge and should exercise and develop increased capacity for independent, honest and critical thought throughout their careers.	This is underpinned by the University's strategic plan II (c) "Continue to provide and develop a supportive research environment in which scholars, at every stage of their career, can flourish" as well as the Code of Practice clause 4.	A		
5.2	Researchers should develop their ability to transfer and exploit knowledge where appropriate and facilitate its use in policy making and the commercialisation of research for the benefit of their employing organisation, as well as the wider society and economy as a whole.	The University's subsidiary company, Isis Innovation, manages technology transfer and academic consulting for Oxford. It provides researchers with commercial advice, funds patent applications and legal costs, negotiates exploitation and spin-out company agreements, and identifies and manages consultancy opportunities for university researchers. There are therefore excellent opportunities for researchers to exploit knowledge, supported by the University. There is also a range of courses offered by divisions on knowledge transfer: e.g. • Making a difference: How to make inroads into applying your research • Science Innovation Plus • Management business and presentation skills • Building a Business • Digital Economy Technologies Workshop	A		
5.3	Researchers should recognise their responsibility to conduct and disseminate research results in an honest and ethical manner and to contribute to the wider body of knowledge.	Research Services runs Research Integrity training and Good Clinical Practice training as well as providing comprehensive information on its website. Training is also offered by the divisions e.g. MPLS' Research Integrity workshop. Activity is underpinned by the Academic Integrity in Research Code of Practice and Procedure.	A		

5.4	Researchers should also be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.	This point is underpinned by the Code of Practice clause 3a; for details see 2.3 and 3.9 above on PDR.	A		
5.5	Researchers should recognise that the primary responsibility for managing and pursuing their career is theirs. Accordingly, they should identify training needs and actively seek out opportunities for learning and development in order to further that career and take personal responsibility for their choices. Research managers and employers also have a responsibility to provide honest advice and appropriate structures, and to equip researchers with the tools to manage their own careers. Research managers should encourage research staff under their supervision to attend appropriate training and career development courses and events.	The University considers it the responsibility of research staff to seek out these opportunities (see Code of Practice 3a). While there is currently a comprehensive offering of support as detailed elsewhere in this analysis, the various training providers continually review and respond to feedback on this support in order to ensure it is meeting researchers' needs. See 3.2, 3.9 and 4.1 above for details of the support provided for research staff to support them in managing and pursuing their careers.

There is perhaps scope for an exploration of the means by which research staff (as well as their PIs) access information on the support available and potential review of communications strategies as a result. Work is underway to revise the web-pages for research staff on the Staff Gateway to ensure that information can be found quickly, easily, and in a way that most closely reflects research staff's needs. Consideration is also being given to what other resources can be developed in support of this area.

There is evidence that PIs are already proactive in encouraging their staff to attend training (nearly 2/3 of PIRLS respondents had encouraged staff to attend University-run training, and nearly half externally run training; 89% had encouraged staff to attend conferences; for other PDR support information from PIRLS see 3.9 and 4.5 above), and work will continue on increasing the number of PIs who encourage research staff and on increasing the number of research staff who attend events and who engage in their career development.

The Careers Service attends research staff induction events where possible and encourages research staff to take responsibility for their own careers, engaging with the Careers Service for support early on in their contract. At all stages of interaction with research staff the Careers Service tries to develop self-management and career development skills that research staff will be able to use independently in the future.

Action 5.5: Continue work to ensure that web presence clearly signposts the comprehensive support offered by the University to PIs and research staff in managing their careers. | PM | | |
| | | | | *OLI* | *Summer 2012* |

5.6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated throughout the year in discussion with their research manager and mentor, and that they commit themselves fully to all such activities. Researchers are encouraged to record their Personal Development Planning (PDP) and CPD activities, a log of which may be presented to current and future employers as appropriate.	See 2.3 and 3.9 above for PDR arrangements, and 3.5 above for work on promoting effective use of the Researcher Development Statement (RDS), and 3.2 above for details of the support provided by the Careers Service. *Action 5.6 Continue to provide support, particularly through work to implement PDR and promote the RDS, to enable research staff to pay attention to their career development.*	PM	*OLI*	*Autumn 2013*

E. Diversity and Equality

PRINCIPLE 6

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

	Concordat	Evidence for current compliance	Status	Lead	Timescale
6.1	The UK legislative framework outlaws discrimination on the basis of age, disability, sex, sexual orientation, race or religion. It also requires public bodies to take positive steps to promote equality, based on evidence and priorities, and to develop specific schemes and action plans related to gender, race and disability to address specific issues of underrepresentation or lack of progression.	Equality of opportunity for research staff, as with all staff, is protected by the University's integrated equal opportunities policy; see Code of Practice 6. The Equality and Diversity Unit provides a range of support and policies to ensure the promotion of equality and diversity. It also supports individual departments and divisions, including those applying for Athena awards, in ensuring that departmental practices and processes treat all research staff fairly and equally. The EDU is reviewing the University's policies and procedures in the light of the Equality Act 2010.	A		
6.2	As is the case for society as a whole, UK research will benefit from increasing equality and diversity in the recruitment and retention of researchers. The Concordat encourages the recruitment and retention of	See 6.1 above. There is also a Code of Practice on Staff Recruitment and Selection, which is kept under review so as to ensure that it is operating effectively.	A		

	researchers from the widest pool of available talent, including those from diverse backgrounds.	The University publishes annual progress reports on its equality schemes for gender, race and disability.			
6.3	It should be emphasised that the demanding nature of research careers has a disproportionate effect on certain groups. We strongly recommend that all members of the UK research community actively address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately impact on some groups more than others	As stated in 6.1 above, the EDU works specifically to ensure that all groups are treated equally. In relation to research staff in particular, the Code of Practice also supports flexibility of working conditions such as ensuring research staff are entitled to the same conditions of service as other academic-related staff in relation to e.g. working hours; the REF Code of Practice will also ensure that part-time research staff are considered in the same way as full-time colleagues for REF submissions. The University holds an institutional Athena SWAN bronze award, and two divisions (MPLS and MSD) are currently supporting their departments in working towards the Athena SWAN silver award. The Department of Zoology holds a silver award. *Action 6.3: Continue to support departments in MPLS and MSD in achieving Athena SWAN silver awards.*	PM	*EDU*	*Ongoing*
6.4	Employers should ensure that the working conditions for researchers provide the flexibility necessary for successful research performance in line with legal requirements. Employers should recognise that for parents and others who have taken career breaks, including parental leave, have worked part-time, or have taken atypical routes into research, the "early career" period may be prolonged, and this may be a time where the risk of attrition from the research path is most acute. Working conditions should allow both female and male researchers to combine family and work, children and career.	Research staff are entitled to the University's maternity, paternity and child care provision, which is the most generous in the UK higher education sector, and the University is committed to creating a family friendly environment. See also 6.3 above.	A		
6.5	It is important for employers to respond flexibly to requests for changed work patterns and to resist instant refusals on the assumption that, because research has always been carried out in a particular way, it cannot be done differently.	Code of Practice Clause 2k makes clear that researchers whose positions are funded from external grants will also be entitled to the same provisions as other staff for sick-leave, sick pay, and maternity and paternity leave. In addition, all staff have the right to request flexible working.	A		

6.6	Funders should continue to ensure that their funding mechanisms and policies are adapted to changing diversity and equality legislation and guidance, for example in their provision of additional funding and duration of grant to cover paternity and adoptive leave as well as maternity leave.	N/A	N/A		
6.7	Employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of a transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity should be reflected on selection and evaluation committees. What is 'representative' will vary according to the nature of the institution and the academic research subject, but institutions should aim to ensure that the percentage of applicants, and ultimately appointments, from a particular group to any given level should reflect the percentage in the available pool at the level immediately below.	See 1.2, 1.4 and 6.2 above for evidence of this. In addition, Athena requires departments to consider points of attrition in the career pipeline for academic and research staff and to take action to address that attrition. *See Action 6.3.*	PM		
6.8	Account should also be taken of the personal circumstances of groups of researchers. Examples would include researchers who have responsibility for young children or adult dependants, researchers for whom English is not a first language, older or younger researchers, or researchers with disabilities and long-term health issues. Employers and funders should change policies or practices that directly or indirectly disadvantage such groups.	See 6.3 above, in particular the University's adherence to the principles of Athena Swan; underpinned by Code of Practice 2j. A range of training is offered with the personal circumstances of various groups in mind; for example, the Language Centre runs Academic English for non-native speakers of English, and Medical Sciences Division runs English Language - Communication Skills for Researchers which is aimed specifically at postgraduates and research staff. The University is recruiting a specialist adviser on staff disability who will work with departments to ensure that they make reasonable adjustments for all disabled staff.	A		

| 6.9 | All managers of research should ensure that measures exist at every institution through which discrimination, bullying or harassment can be reported and addressed without adversely affecting the careers of innocent parties. | The University has a comprehensive policy and support system in relation to harassment, including a network of harassment advisers based in academic departments. | A | | |
| 6.10 | Employers should also consider participation in schemes such as the Athena SWAN Charter, the Juno Project and other initiatives aimed at promoting diversity in research careers. | See *Action 6.3* above. | PM | | |

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F. Implementation and Review

PRINCIPLE 7

The sector and all stakeholders will undertake regular and collective review of their progress in strengthening the attractiveness and sustainability of research careers in the UK

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	Concordat	Evidence for current compliance	Status	Lead	Timescale
7.1	The implementation of the Concordat's principles will lead to greater integration of researchers into the mainstream management and career development structures of their employing organisations. The aim of this section is to promote implementation through a collective commitment to reviewing its progress.	The University's Code of Practice closely reflects the principles of the Concordat, but tailored to the particular institutional context, showing the intent to abide by and implement the Concordat in a realistic and effective manner (see introduction). As detailed in the introduction (sections (ii) and (iii)), the RSWG and USG are overseeing work on implementation of the Concordat. A Code of Practice implementation group was established in 2010 and work is underway to take forward its proposals, with a new post created in summer 2011 with the explicit remit of supporting divisions and departments in implementing the Code of Practice, and thereby the Concordat.	A		
7.2	The signatories agree: a. to constitute a steering group under an independent chair to oversee the implementation and review of the Concordat with appropriate representation of the funders and sector bodies including	The University intends to run CROS and PIRLS in 2013. In addition, the Research Staff Working Group will receive a termly update produced by the Researcher Development Officer and the Code of Practice Implementation Group on progress against this action plan. *Action 7.2: Run CROS and PIRLS to review and evaluate progress.*	O	OLI	*Summer*

	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).				*2013*
7.3	The signatory funders will ensure that their terms and conditions of, for example, project grants include the expectation that the Research Organisations that they fund will adopt the principles of the revised Concordat.	N/A			
7.4	The signatories recognise the value of innovation in practices and of sharing practice between institutions and aim to promote these throughout the implementation and review process. The funding signatories will consider aligning their support for transferable and career development skills. It is expected that Vitae,	The University will work with other key stakeholders in the sector to undertake regular and collective reviews of progress in strengthening the attractiveness and sustainability of research careers in the UK. *Action 7.4: Continue to liaise with Vitae and other institutions and organisations to share, disseminate and implement practices to support researchers' development.*	PM	*OLI*	*Ongoing*

	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.			
7.5	Under public sector equality schemes, employers are required to monitor equality and diversity indicators for their researchers. This section focuses on the co-ordination and enhancement of existing information collection and not on the creation of additional data. There is a strong presumption that in implementing the Concordat, significant emphasis will be placed on the use of existing data and information sources and on the sharing of good practice between institutions and to provide evidence of its impact.	As mentioned above (7.2), the University will run CROS and PIRLS in 2013. It will also continue to evaluate its work in terms of policies and training offered. Under the Public Sector Equality Duty, the EDU is keeping under review the equal opportunities and monitoring data it collates on all staff, including research staff, in order to identify any areas of under-representation in the recruitment, progression and promotion of staff with protected characteristics, including research staff. The evidence from this data exercise will be used to underpin new equality objectives for the University, including on the recruitment and employment of research staff.	PM	

3.   Summary of actions

Regular (termly) reports against this plan will be submitted to the Research Staff Working Group.

Action	Description	Lead	Timescale
1.2	Equality and diversity training for REF Unit of Assessment co-ordinators.	EDU	Early 2012
2.3	Online guidance for PIs to support PDR of research staff to be supplemented by new materials, such as a toolkit for supporting research staff development based on existing guidance.	OLI	End 2011
3.3(i)	Continue work on incorporating the Researcher Development Statement into existing web presence, to increase visibility and to allow effective use.	University Skills Group	Summer 2012
3.3(ii)	Researcher Development Officer and Code of Practice Implementation Group to continue to explore ways of promoting the Researcher Development Statement by working with Vitae and with other institutions and organisations at a national level, and liaising with divisions and departments.	RDO	Summer 2013
3.6	Continue to ensure promotion of induction activities is as effective as possible via reviewing and maintaining communications strategies.	OLI	Summer 2012
3.9	Continue to support departments and individuals in implementing PDR and encouraging those who do not have schemes to develop them.	OLI	Ongoing
4.5	Continue to support and promote the Code of Practice and specific opportunities to ensure PIs and RS are aware of the range of mentoring possibilities on offer.	OLI	Ongoing
5.5	Continue work to ensure that web presence clearly signposts the comprehensive support offered by the University to PIs and research staff in managing research staff careers.	OLI	Summer 2012
5.6	Continue to provide support, particularly through work to implement PDR and promote the RDS, to enable research staff to pay attention to their career development.	OLI	Autumn 2013
6.3	Continue to support departments in MPLS and MSD in achieving Athena SWAN silver awards.	EDU	Ongoing

7.2	Run CROS and PIRLS to review and evaluate progress.	OLI	Summer 2013
7.4	Continue to liaise with Vitae and other institutions and organisations to share, disseminate and implement practices to support researchers' development.	OLI	Ongoing

4. Glossary

CPD – Continuing Professional Development

CROS – Careers in Research Online Survey

EDU – Equality and Diversity Unit

HEFCE – Higher Education Funding Council for England

MPLS – Mathematical, Physical and Life Sciences Division

MSD – Medical Sciences Division

OLI – Oxford Learning Institute

PDR – Personal Development Review

PI – Principal Investigator

PIRLS – Principal Investigators and Research Leaders' Survey

RDF – Researcher Development Framework

RDO – Researcher Development Officer

RDS – Researcher Development Statement

REF – Research Excellence Framework

RSWG – Research Staff Working Group

UoA – Unit of Assessment

USG – University Skills Group