

	Obligation	Analysis	Actions for 2020-22
Environment and Culture			
Institutions must:			
ECI1	Ensure that all relevant staff are aware of the Concordat	Concordat consistently referred to in Research Staff communications and events. Awareness raising also at Faculty meetings and university committees. However, 53% of research staff (CROS2019) were not aware of the researcher development concordat	Raise awareness of the concordat via the Newsletter and Research Staff events. Raise awareness with PIs to include concordat in grant applications. Develop a research staff development needs analysis based on the concordat. Ensure that the Concordat is detailed on the induction checklist.
ECI2	Ensure that institutional policies and practices relevant to researchers are inclusive, equitable and transparent, and are well-communicated to researchers and their managers	All HR policies and procedures are available to all staff to view on the website and updates are regularly communicated to all staff via email updates which include Research staff. The recent introduction, 3 years ago, of the Academic Progression process includes Research staff with 2 or more years service. All relevant staff are encouraged to participate in the process, with regular communications coming from the Department at the start of the annual round and regular updates are included in the newsletters for Research staff. Over the last 3 years, 25 Research staff have been promoted.	New processes embedded. Continue to review the success of new policies and feedback any issues or challenges that arise.
ECI3	Promote good mental health and wellbeing through, for example, the effective management of workloads and people, and effective policies and practice for tackling discrimination, bullying and harassment, including providing appropriate support for those reporting issues	Since the launch of the Wellbeing Hub we have had 62,500 hits which promotes good mental health and wellbeing, unfortunately it is not possible to break this number down into categories of staff. The Wellbeing hub contains information and resources on the effective management of workloads and people including information on the University's Report and Support tool. The Report and Support tool provides a centralised platform for students and staff to make an anonymous report and, where contact details are given, obtain support and guidance from a designated staff member or request for the University to take formal action. Further information can be found: https://www.dur.ac.uk/equality/diversity/hatecrimeproject/reportandsupport/ . It also contains a page about "Taking Notice" since wellbeing can be boosted by being consciously aware and paying active attention to your surroundings. Anti bullying posters are circulated across many department detailing relevant contacts and procedures.	Health & Wellbeing Strategy approved by Senate and currently been implemented across the University. Report+Support tool, Employee Assistance Programme, launched in April 2020, for further information please see: https://www.dur.ac.uk/hr/password/occupationalhealth/employeeassist/ . Report on research staff trends in annual report to Research Management Committee. eLearning Skill Boosters courses on Bullying and Harassment - Effective Interventions and Skills Booster Courses
ECI4	Ensure that managers of researchers are effectively trained in relation to equality, diversity and inclusion, wellbeing and mental health	Organisation Development: Take Notice - Durham University. It is a mandatory requirement for all staff to undertake EDI training. In CROS 2019, 16% disagreed that Durham was committed to EDI	Promote EDI training at Research Staff themed event. Facilitate PI oversight of EDI training online. Staff training on EDI in line with respect commission's recommendations. Oracle cloud introduced in January 2021 to enhance provision of online training including EDI.
ECI5	Ensure that researchers and their managers are aware of, and act in accordance with, the highest standards of research integrity	Online research integrity training provided and bespoke workshops provided on demand. eLearning Skill Booster courses on bullying and harassment - Effective interventions also available. In CROS2019, 35% were aware of the RI concordat.	CIG terms of reference modified to include research integrity. Work with departments to raise awareness and ensure implementation through Research Integrity Action Plan.
ECI6	Regularly review and report on the quality of the research environment and culture, including seeking feedback from researchers, and use the outcomes to improve institutional practices	Organisation Development: Skills Boosters courses. Exit questionnaires are completed by some research staff which help in evaluating current institutional practices.	Undertake CEDARS in 2020 and 2022. Establish new ways of gathering data to assess and evidence research culture including consultation with research staff at RSA events and focus groups and data in the uptake of relevant training. The university's Respect commission recommends issuing Exit questionnaires to all staff including Research Staff
Funders must:			
ECF1	Including requirements which promote equitable, inclusive and positive research cultures and environments in relevant funding calls, terms and conditions, grant reporting, and policies		When we run funding calls for researchers (e.g. Addison Wheeler Fellowships) we follow HR policies which are equitable and inclusive. Continue to review practices to ensure support as widely as possible for all relevant research applications open to research staff.
ECF2	Consider how funding opportunities and policies can facilitate different patterns and ways of working, and promote the wellbeing and mental health of researchers	Research Stress test has started looking at this.	We initiated a series of workshops to support fellowship applications from researchers. We also established Research Staff Awards to celebrate good practice and recognise the contribution of our researchers to the university. We need to now develop an annual programme of support.
ECF3	Ensure that funding call requirements and selection processes offer equality of opportunity between different groups of researchers, recognise personal contexts, and promote positive research cultures and working conditions	All Recruitment and Selection panel members have to undergo training to ensure they have the knowledge required to successfully undertake core Recruitment and Selection activities. Chairs of panels have to undergo a further training session. Unconscious bias training is also mandatory for interview panels	When we run funding calls for researchers (e.g. Addison Wheeler Fellowships) we follow HR policies which are equitable and inclusive. Oracle Cloud introduced in January 2021 to enhance provision of online training.
Managers of researchers must:			
ECM1	Undertake relevant training and development opportunities related to equality, diversity and inclusion, and put this into practice in their work	Unconscious bias training is mandatory	Policies and practices are already in place. Training to be provided in line with respect commission's recommendations. Establish a review of current training to evaluate gaps in our offer.
ECM2	Ensure that they and their researchers act in accordance with the highest standards of research integrity and professional conduct	Standards clear and communicated via training and disseminated at Committees.	CIG terms of reference modified to include research integrity. Work with departments to raise awareness and ensure implementation through Research Integrity Action Plan.
ECM3	Promote a healthy working environment that supports researchers' wellbeing and mental health, including reporting and addressing incidents of discrimination, bullying and harassment, and poor research integrity	Since the launch of the Wellbeing Hub we have had 62,500 hits which promotes good mental health and wellbeing, unfortunately it is not possible to break this number down into categories of staff. The Wellbeing hub contains information and resources on the effective management of workloads and people including information on the University's report and support tool. It also contains a page about "Taking Notice" since wellbeing can be boosted by being consciously aware and paying active attention to your surroundings. Anti bullying posters are circulated across many department detailing relevant contacts and procedures.	Health & Wellbeing Strategy is soon to be launched. E-learning skill booster courses on Bullying and Harassment - Effective Interventions. Report+Support tool, Employee Assistance Programme. Report on research staff trends in annual report to Research Management Committee
ECM4	Consider fully, in accordance with statutory rights and institutional policies, flexible working requests and other appropriate arrangements to support researchers	All requests are considered in a fair and consistent manner, following relevant University procedures and legislation. The system does not currently enable us to record how many flexible working requests we have had from research staff.	Policies and practices are already in place and we are looking to review and monitor requests from research staff. Relevant HR policies and procedures of the nature can be found: https://www.dur.ac.uk/hr/policies/leave/ and https://www.dur.ac.uk/hr/policies/wbalance/flexible/ . Ensure these are regularly communicated to Research Staff.
ECM5	Engage with opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	In CROS 2019, 24% indicated they were "not participating in decision making" We have arranged "user groups" to obtain feedback from a range of stakeholders when reviewing policies or introducing new ones, including research staff. Some departments with substantial numbers of Research Staff (e.g. Physics) have established committee structures to promote engagement with Research Staff.	Policies and practices are already in place. Publish events and opportunities to engage in groups and activities including membership of Departmental Committees, AUA etc. Future Newsletters will publish such opportunities.
Researchers must:			
ECR1	Actively contribute to the development and maintenance of a supportive, fair and inclusive research culture and be a supportive colleague, particularly to newer researchers and students	The University's benchmark criteria from Progression and Promotion for Research staff actively promotes and encourages participation in the collegial activities of the Department and positive contributions to fostering a collegial and respectful environment.	This will be facilitated through improved induction (see E12), cascading policies and practice through PIs (see ECI4) and promoting good practice via research staff awards.

ECR2	Ensure they act in accordance with employer and funder policies related to research integrity, and equality, diversity and inclusion	It is mandatory requirement for all staff to undertake the training on EDI	Promote EDI training at Research Staff themed event. Facilitate PI oversight of EDI training online. Staff training on EDI in line with respect commission's recommendations
ECR3	Take positive action towards maintaining their wellbeing and mental health	Actively encouraged and regular updates are provided through the usual channels for communications: dialogue signposts, Teams and emails where appropriate. Researcher newsletter in addition to the HR webpages	Health & Wellbeing Strategy is soon to be launched Report+Support tool, Employee Assistance Programme. Highlight occupational health webpage. Report on research staff trends in annual report to Research Management Committee
ECR4	Use available mechanisms to report staff who fail to meet the expected standards of behaviour, particularly in relation to discrimination, harassment, bullying, and research misconduct	The University's Bullying and Harassment contact network has been expanded and is now supported by an online Report and Support tool which enables anonymous reporting. Departmental EDI contacts are coordinated by Faculty EDI representatives who provide a consistent approach to the adoption of good practice across the university. In CROS2019 16% disagreed that Durham was committed to EDI	Policies and practices are already in place. Continued emphasis to maintain and support.
ECR5	Consider opportunities to contribute to policy development aimed at creating a more positive research environment and culture within their institution	In CROS 2019, 24% indicated they were "not participating in decision making"	Promote and disseminate best practice for engagement of Research Staff in departmental structures. Promote awareness with Research Staff of Research Staff Association engagement with University committees. Review number of research staff engaged in formal committees and develop proposals if necessary.
Employment			
Institutions must:			
E1	Ensure open, transparent and merit-based recruitment, which attracts excellent researchers, using fair and inclusive selection and appointment practices	Unconscious bias training is mandatory for interview panels. All Recruitment and Selection panel members have to undergo training to ensure they have the knowledge required to successfully undertake core Recruitment and Selection activities. Chairs of panels have to undergo an additional, more detailed training session.	Policies and practices are already in place. Oracle Cloud introduced in January 2021 to enhance provision of online training. Ensure these are communicated to research staff.
E12	Provide an effective induction, ensuring that researchers are integrated into the community and are aware of policies and practices relevant to their position	Attendance at institutional and department inductions remains below target (CROS2019, institutional - 68% attendance, departmental - 51%). In CROS2019, 47% stated that departmental induction was not offered. This may be due to some events and processes not being labelled or recognised as induction and variable implementation at departmental level	Develop Research Staff focused session of institutional induction. Develop a best practice guide. Include staff induction best practice session in PI leadership training. At departmental level, complete the Induction checklist.
E13	Provide clear and transparent merit-based recognition, reward and promotion pathways that recognise the full range of researchers' contributions and the diversity of personal circumstances	Academic Progression process includes Research staff with 2 or more years service. All relevant staff are encouraged to participate in the process which clearly states mandatory criteria which all staff have to evidence. Over the last 3 years, 25 Research staff have been promoted. Research staff can also be considered for discretionary awards and ecp's where the above process is not relevant or applicable at that point. For those who are not eligible to partake in the Academic Progression process they will still have an ADR.	Ensure all research staff are familiar with the progression and promotion process. Provision of specific Autumn training event in line with the appraisal cycle. In early 2021 we are introducing non monetary schemes to instantly reward good practice and behaviours in line with University values.
E14	Provide effective line and project management training opportunities for managers of researchers, heads of department and equivalent	Range of leadership and management courses available (face to face and online) via Organisation Development and DCAD.	Promote engagement in training opportunities such as the Research Project Leadership Programme. Engage in training in line with respect commission's recommendations.
E15	Ensure that excellent people management is championed throughout the organisation and embedded in institutional culture, through annual appraisals, transparent promotion criteria, and workload allocation	Institutional leadership attributes have been developed and these are embedded within leadership training and development.	Policies and practices are already in place. Develop an active network of project PIs to share best practice and ensure they comply with policies to support researchers as effectively as possible.
E16	Seek to improve job security for researchers, for example through more effective redeployment processes and greater use of open-ended contracts, and report on progress	In January of each year HR undertake a review to look at Research staff on a fixed term contract with 4 years or more continuous service to determine if they need to move across onto a non fixed term contract subject to time limited funding. Redeployment policy allows all staff with 2 or more years services to apply for jobs at the same grade or lower prior to being advertised internally and/or externally.	Dissemination of job opportunities via the N8 partnership has already been agreed. Currently reconsidering extending the window for redeployment to more than 3 days.
E17	Consider researchers and their managers as key stakeholders within the institution and provide them with formal opportunities to engage with relevant organisational policy and decision-making	In CROS 2019, 24% indicated they were "not participating in decision making"	Policies and practices are already in place. Use our new PI network to ensure opportunities are cascaded to researchers to engage them more directly in developing policy.
Funders must:			
EF1	Include requirements which support the improvement of working conditions for researchers, in relevant funding calls, terms and conditions, grant reporting, and policies	We continue to review support and conditions for research staff.	We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Ensure that at every opportunity we strive to provide the best possible conditions for researchers employed by grant funding.
EF2	Review the impact of relevant funding call requirements on researchers' employment, particularly in relation to career progression and lack of job security	We continue to review support and conditions for research staff.	We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Where possible review grant spend and explore the possibility of supporting progression and extensions of funding for researchers.
EF3	Support institutions to develop policies and frameworks to promote sustainable employment arrangements and enhance job security, and provide opportunities for career progression	We recently reviewed our policies and frameworks to support job security and introduced a new policy for progression of research staff.	We work with funders and other institutions to share best practice. Share best practice from research groups about ways to improve job security and enhance opportunities for research staff.
EF4	Consider the balance of their relevant funding streams in providing access to research funding and its impact at all career levels	We regularly analyse our research income and report this to Research Management Committee.	We work with funders and other institutions to share best practice. Continue to report analysis of research income to Research Management Committee and ensure discussion and recording of implications for research staff.
Managers of researchers must:			
EM1	Undertake relevant training and development opportunities so that they can manage researchers effectively and fulfil their duty of care	OD and DCAD provide a suite of training opportunities. Promoting and facilitating engagement are areas to develop.	Promote engagement in training opportunities such as the Research Project Leadership Programme. Engage in training in line with respect commission's recommendations.
EM2	Familiarise themselves, and work in accordance with, relevant employment legislation and codes of practice, institutional policies, and the terms and conditions of grant funding	RIS support researchers through all stages of applying for grant funding. Relevant detail is provided in their contract of employment and terms and conditions of employment which staff are issued with on commencement in role.	Review how many PIs are undertaking training offered. Establish new process to remind PIs if necessary.
EM3	Commit to, and evidence, the inclusive, equitable and transparent recruitment, promotion and reward of researchers	Unconscious bias training is mandatory. All Recruitment and Selection panel members have to undergo training to ensure they have the knowledge required to successfully undertake core Recruitment and Selection activities. Chairs of panels have to undergo a further training session.	Policies and practices are already in place. With the launch of Oracle cloud new e learning and workshops packages are being developed, with a focus on EDI.
EM4	Actively engage in regular constructive performance management with their researchers	In CROS 2019, 40% indicated that they had not participated in an appraisal review and 61% indicated satisfaction with the review process. The Academic Progression process encourages research staff with 2 or more years service to engage in the process. Communications go out annually encouraging managers and staff to undertake ADR's	Policies and practices are already in place. The annual progression round provides feedback. Develop an online reflective career development needs analysis tool (see ER3 (line 62)) Will be holding sessions with Research staff so that they are aware of all relevant HR policies and procedures and how it applies to them, eg Performance Management
EM5	Engage with opportunities to contribute to relevant policy development within their institution	In CROS 2019, 24% indicated they were "not participating in decision making"	Policies and practices are already in place. Ensure opportunities are communicated using a range of mechanisms to research staff.

Researchers must:			
ER1	Ensure that they work in accordance with, institutional policies, procedures and employment legislation, as well as the requirements of their funder	Contracts of employments and the terms of conditions of employment clearly detail standards required. This is also covered at induction.	Policies and practices are already in place and kept up to date so that Research Staff can access current and relevant information. Continue to monitor and evaluate policies and practice.
ER2	Understand their reporting obligations and responsibilities	See ER1 (line 47)	Policies and practices are already in place and this information will form part of induction on an on-going basis. Continue to monitor and evaluate policies and practice.
ER3	Positively engage with performance management discussions and reviews with their managers	In CROS 2019, 40% indicated that they had not participated in an appraisal review and 61% found the process useful or very useful.	use of Pebblepad Development Needs Analysis (DNA) to inform discussion (see PCD14)
ER4	Recognise and act on their role as key stakeholders within their institution and the wider academic community	Research staff are able to act on their role as stakeholders via the Research Staff Association, representation on the Concordat Implementation Group and Research management committee.	See ECM5, ECR5, E12 and E14.
Professional and Career Development			
Institutions must:			
PCD11	Provide opportunities, structured support, encouragement and time for researchers to engage in a minimum of 10 days professional development pro rata per year, recognising that researchers will pursue careers across a wide range of employment sectors	A wide variety of development opportunities are available including raising awareness of non-academic careers. Research staff and managers are encouraged to engage. In CROS2019, 80% agreed that they had access to training and development opportunities.	Promote development opportunities via Microsoft Teams, email newsletter, webpages and regular events. Deliver regular bespoke themed training sessions in response to RS need. Establishment of Research Staff Awards. Build network of senior research administrators to promote development opportunities. Explore potential for 10 days professional development to be included in contracts.
PCD12	Provide training, structured support, and time for managers to engage in meaningful career development reviews with their researchers	Promoting mentoring scheme and importance of ADRs and research plans.	Policies and practices are already in place. Evaluate and review process and mechanisms. Encourage and publicise researcher engagement in mentoring and training. New PI network will help drive working practices.
PCD13	Ensure that researchers have access to professional advice on career management, across a breadth of careers	Research staff are able to access a wide range of career support from the careers and enterprise centre including 1 to 1 support with CV writing and interviews. Promoting and facilitating engagement remains an area to develop.	Raise awareness of dedicated careers professional to provide individual and collective support to researchers. Provide access to a range of career activities, including appropriate alumni and employer led events highlighting a breadth of career pathways. Promote opportunities via Microsoft Teams, email newsletter, training booking system and webpages, including Careers & Enterprise web and social media platforms.
PCD14	Provide researchers with opportunities, and time, to develop their research identity and broader leadership skills	OD and DCAD provide a suite of training opportunities. Promoting and facilitating engagement remains an area to develop.	Introduce Development Needs Analysis (DNA) and eportfolio on Pebblepad specific for Researchers. Promote engagement in leadership training opportunities.
PCD15	Recognise that moving between, and working across, employment sectors can bring benefits to research and researchers, and support opportunities for researchers to experience this	Careers workshops and resources are provided to raise awareness of different employment sectors.	See PCD13. Provide access to appropriate employer events and opportunities. Dedicated half-day workshop for research staff on careers beyond research.
PCD16	Monitor, and report on, the engagement of researchers and their managers with professional development activities, and researcher career development reviews	Managers can request reports on the number of courses an individual in their team has attended	Provide range of pd activities and use of training booking system to monitor engagement. Pls starting new grants provided with written reminder of these responsibilities. Launch of Oracle cloud will log all training which managers will be able to monitor.
Funders must:			
PCDF1	Incorporate specific professional development requirements in relevant funding calls, terms and conditions, grant reporting, and policies. This should include researchers' engagement in a minimum of 10 days' professional development pro rata per year, and evidence of effective career development planning	The Research Development Team actively review calls and opportunities to better support research staff in funding applications.	We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services. Ensure that our own internal funding explicitly recognises the necessary engagement in training.
PCDF2	Embed the Concordat Principles and researcher development into research assessment strategies and processes	The Research Development Team actively review calls and opportunities to better support research staff in funding applications.	Review current practice to ensure that in research development support and internal evaluations for research funding that core principles are embedded.
PCDF3	Acknowledge that a large proportion of the researchers they fund will move on to careers beyond academia, and consider how they can encourage and support this within their remit	Review support from our careers service.	We continue to lobby UKRI and other funders through the Russell Group and other formal networks with our Research Innovation Services.
Managers of researchers must:			
PCDM1	Engage in regular career development discussions with their researchers, including holding a career development review at least annually	Annual appraisal processes are embedded. In CROS2019, satisfaction with the new ADR process had fallen to 61% (CROS2017 - 71%). This may reflect the fact that some RS thought the process was not applicable as they were not eligible for promotion. The Academic Progression process encourages research staff with 2 or more years service to engage in the process. Since the CROS Survey further clarity on eligibility has been provided. This process enables meaningful feedback to be given to staff on their performance over the last 12 months. Communications go out annually encouraging managers and staff to undertake ADR's for those who do not partake in the annual Academic Progression round.	Promote and communicate progression and promotion process via research staff events, webpages and email. The online development needs analysis will aim to promote career development discussions.
PCDM2	Support researchers in exploring and preparing for a diversity of careers, for example, through the use of mentors and careers professionals, training, and secondments	Mentoring policy and processes in place but implementation can be variable	Raise awareness of mentoring process and policy. Research staff mentoring themed training event. Development and dissemination of best practice case studies.
PCDM3	Allocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development	This is already in existence in some areas and is encouraged.	Explore the possibility of writing the 10 days of training explicitly into every contract for research staff.
PCDM4	Identify opportunities, and allow time (in addition to the 10 days professional development allowance), for their researchers to develop their research identity and broader leadership skills, and provide appropriate credit and recognition for their endeavours	CROS 2019: 23% not aware of DCAD. 40% not aware of CAP (postgraduate teaching certificate)	See EM2
PCDM5	Engage in leadership and management training to enhance their personal effectiveness, and to promote a positive attitude to professional development	OD and DCAD provide a range of training opportunities. Promoting and facilitating engagement is an area to develop.	Promote the research project leadership programme to Pls
Researchers must:			
PCDR1	Take ownership of their career, identifying opportunities to work towards career goals, including engaging in a minimum of 10 days professional development pro rata per year	OD, DCAD and RIS provide a wide range of training opportunities. In CROS 2019, 80% agreed that they had access to development and training opportunities although 23% were not aware of DCAD and 40% were not aware of CAP (postgraduate teaching certificate)	Record development and training undertaken and report in an annual appraisal. Provide an online development needs analysis and portfolio tool based on the RDF to record career development.
PCDR2	Explore and prepare for a range of employment options across different sectors, such as by making use of mentors, careers professionals, training and secondments	Scope to improve engagement in mentoring - 47% in CROS 2019 responded in relation to mentoring - "not undertaken but would like to"	see PCDM2
PCDR3	Maintain an up-to-date professional career development plan and build a portfolio of evidence demonstrating their experience, that can be used to support job applications	Supported via institutional processes such as Annual Development Reviews and Personal Research Plans to be completed by individual researchers in consultation with employers. No process is available that specifically relates to the RDF or concordat and do not promote continual updating.	see PCDR1

PCDR4	Positively engage in career development reviews with their managers	Annual appraisal processes are embedded. In CROS2019, satisfaction with the new ADR process had fallen to 61% (CROS2017 - 71%). This may reflect the fact that some RS thought the process was not applicable as they were not eligible for promotion.	see PCDM1
PCDR5	Seek out, and engage with, opportunities to develop their research identity and broader leadership skills	OD, RIS and DCAD provide a range of training opportunities. In CROS 2019, 23% were not aware of DCAD. Promoting and facilitating engagement is an area to develop.	Development of reverse mentoring opportunities with the research project leadership programme
PCDR6	Consider opportunities to develop their awareness and experience of the wider research system through, for example, knowledge exchange, policy development, public engagement and commercialisation		Develop potential placement opportunities within the institution and ensure a wide range of researchers as possible engage with RIS.