

## Measures of progress for the Concordat

Implementation of the Concordat to Support the Career Development of Researchers was designed to make a significant contribution to increasing the attractiveness and sustainability of research careers in the UK and improving the quantity, quality and impact of research for the benefit of UK society and the economy. It is also the mechanism through which the UK is contributing to the development of the European Research Area and enabling institutions and research funders to achieve the HE Excellence in Research award.

In October 2010 the Concordat Strategy Group identified the need to identify measures of progress for the Concordat both to define whether the Concordat was having sufficient impact on policy and practice and to identify what more needed to be done.

Vitae challenged the sector to identify potential measures through a series of workshops at the Vitae Policy Forum in January 2011. Subsequently, these were refined by the Impact and Evaluation Group and presented to both the Concordat Strategy Group and Executive Group in March 2011. At the Executive Group meeting it was agreed that only existing sources of data should be used for the measures of progress so as not to increase the burden on institutions. It was also agreed that it was not possible to have definitive measures of progress, and they would need to be put into context, particularly in the current changing environment in higher education.

Further review by the Impact and Evaluation Group has produced the list of measures below. They draw primarily on CROS, PIRLS, HESA and HR Excellence in Research data. Collectively, and with appropriate commentary, these measures should give a good indication of progress.

## Progress with Concordat implementation: measures of progress by principle

Concordat Principle	Available measure	Evidence for extent of progress	2009	2011
<b>Implementation and review: overarching measures</b>				
Take-up and overall results of CROS and PIRLS	<b>MEASURE 1</b> CROS HEI participation and overall response rate	✓✓✓ <b>Institutions participating in CROS</b> <b>Response rate</b> <b>Respondents</b> Institutions participating in 2009 and 2011 Participating institutions new to CROS (revised survey) Total institutions to have participated in CROS	<b>51</b> <b>21%</b> <b>5908</b> 27 51 -	<b>46</b> <b>25%</b> <b>5585</b> 27 19 70
	PIRLS HEI participation and overall response rate	<b>Institutions participating in PIRLS</b> <b>Response rate</b> <b>Respondents</b>	- - -	<b>33</b> <b>19%</b> <b>2588</b>
European 'HR Excellence in Research' awards	<b>MEASURE 2</b> Number of HEIs seeking and gaining the award	<b>UK institutions gaining award</b>		<b>38</b>
Extent of cultural change	<b>MEASURE 3</b> PIRLS Q7/15 confidence in participating in continued professional development and perceived importance for future leaders [There is some debate about what principal investigators understand by the term 'continued professional development'.]	<b>Participating in continued professional development:</b> <ul style="list-style-type: none"> <li>• <b>not currently relevant to themselves</b></li> <li>• <b>not important for research staff in becoming future research leaders</b></li> <li>• <b>very important for future research leaders</b></li> </ul>		<b>21%</b> <b>41%</b> <b>14%</b>
Visibility of institutional commitment to the Concordat	Visibility report references to Concordat and implementation on websites (2010)	Institutions publically refers to Concordat on website Published action plan		87% 30%
	RCUK survey regarding impact of Roberts funding (2011)	Specific mention of Concordat Specific mention of monitoring Concordat implementation		69% 19%

Key measures of progress highlighted in bold.

Recruitment and selection		Evidence for extent of progress	2009	2011
A.2 Recruitment and selection procedures should be informative, transparent and open to all qualified applicants regardless of background	CROS Q6 how research staff learnt about current post.  PIRLS Q9 confidence in recruitment and selection	✓ Small but significant increase in the proportion of research staff respondents learning about their current post via websites Small decrease in the proportion that learnt about their current post by word of mouth  Confidence in recruitment and selection	41%  30%  -	46%  28%  72%
A.2 Person and vacancy specifications must clearly identify skills required for post	CROS Q7 availability of job specifications and skills requirements	✓✓✓ Increases in the proportion of research staff receiving: <ul style="list-style-type: none"> <li>• job descriptions</li> <li>• details of specialist research skills required</li> <li>• details of personal /transferable skills required</li> </ul>	68% 57% 32%	72% 62% 39%
<b>A.3 Research posts to be advertised as fixed-term only where recorded and justifiable reason</b>	<b>MEASURE 4</b> <b>CROS Q4 records proportion of research staff currently employed on fixed-term and open-ended contracts</b>  <b>HESA staff record</b>	✓ <b>Decrease in proportion of research staff respondents employed on fixed term contracts</b>  <b>Decrease in proportion of research staff employed on fixed term contracts</b>	<b>82%</b>  <b>(2004) 88%</b>	<b>77%</b>  <b>(2008) 79%</b>
A.4 Recruitment and progression panels should reflect diversity and range of experience/expertise.	CROS Q8 records how research staff were interviewed for current post	✓✓ Increased proportion report application interviews with panels including representatives from: <ul style="list-style-type: none"> <li>• within the department</li> <li>• across the institution</li> </ul> A lower proportion were interviewed only by their PI or research leader	29% 12% 38%	34% 16% 20%
Recognition and value		Evidence for extent of progress	2009	2011
<b>B.1 Employers to afford equal treatment to all researchers regardless of employment status</b>	<b>MEASURE 5</b> <b>CROS Q14 perception of fair treatment with other staff; comparison of responses of those with fixed-term contracts and open-ended contracts</b> [Not directly comparable with 2009 results]	<b>Similar or higher proportion of respondents with fixed term contracts perceive fair treatment as those with open-ended contracts, for all measures for, eg:</b> <ul style="list-style-type: none"> <li>• terms and conditions of employment</li> <li>• requests for flexible working</li> <li>• opportunities for promotion and progression</li> <li>• opportunities to participate in decision making processes</li> <li>• access to training and development opportunities</li> </ul>	- - - - -	<b>63%</b> <b>74%</b> <b>40%</b> <b>51%</b> <b>87%</b>

<p><b>Extent of appraisal</b></p>	<p><b>MEASURE 6</b> CROS Q20 extent of research staff participation in appraisal or staff review CROS Q21 perceived usefulness of appraisal or staff review</p> <p>PIRLS Q11 extent of appraisal/review PIRLS Q12 perceived usefulness of appraisal or staff review PIRLS Q9 confidence in appraisal and probation processes</p>	<p>✓✓ Increase in research staff participating in appraisal <b>Apparently eligible research staff not invited to appraisal</b> Useful or very usefulness of appraisal for eg:</p> <ul style="list-style-type: none"> <li>• overall</li> <li>• In identifying your strengths and achievements</li> <li>• to highlight issues</li> <li>• focus on your career aspirations current role</li> </ul> <p><b>Principal investigators appraised in last two years</b> <b>Useful in setting clear expectations and objectives</b></p> <p><b>Confident in ability to manage promotion and appraisal</b></p>	<p><b>50%</b> <b>23%</b></p> <p><b>45%</b> 47% 48% 38%</p> <p>- -</p> <p>-</p>	<p><b>55%</b> <b>20%</b></p> <p><b>47%</b> 50% 51% 44%</p> <p><b>82%</b> <b>56%</b></p> <p><b>59%</b></p>
<p><b>B.3 Research managers required to participate in active performance management and career guidance.</b> Employers to ensure training opportunities to research managers to understand management responsibilities</p>	<p><b>MEASURE 7</b> PIRLS Q9 confidence in performance management</p> <p>PIRLS Q10 satisfaction with support in undertaking management duties</p>	<p><b>Confident in managing performance</b> <b>Confident in providing career development advice</b></p> <p>Satisfied with activities and support for, eg:</p> <ul style="list-style-type: none"> <li>• conditions of employment</li> <li>• managing performance</li> <li>• probation and appraisal</li> <li>• providing career advice</li> </ul>	<p>- -</p> <p>- - - -</p>	<p><b>51%</b> <b>61%</b></p> <p>56% 58% 62% 58%</p>
<p><b>Degree of recognition of contribution of researchers</b></p> <p><b>Perception of integration of researchers</b></p>	<p><b>MEASURE 8</b> CROS Q15 perceptions of research staff in relation to recognition of different contributions</p> <p>CROS Q16 perceived levels of integration in various communities</p>	<p>✓ <b>Modest increases in the proportion that perceive recognition and value from their HEI for some specific contributions, eg:</b></p> <ul style="list-style-type: none"> <li>• grant applications</li> <li>• publications</li> <li>• knowledge transfer and commercialisation activities</li> <li>• public engagement with research</li> <li>• supervising/managing staff</li> <li>• teaching and lecturing</li> </ul> <p>✓✓✓ <b>Significantly increased integration within:</b></p> <ul style="list-style-type: none"> <li>• departmental research communities</li> </ul>	<p><b>48%</b> <b>69%</b> <b>35%</b> <b>41%</b> <b>28%</b> <b>33%</b></p> <p><b>71%</b></p>	<p><b>50%</b> <b>71%</b> <b>41%</b> <b>47%</b> <b>38%</b> <b>35%</b></p> <p><b>78%</b></p>

		<ul style="list-style-type: none"> <li>institutional research communities</li> </ul>	53%	59%
<b>Support and career development</b>		<b>Evidence for extent of progress</b>	<b>2009</b>	<b>2011</b>
C.3 Researchers need support to develop communication and other professional skills	<b>MEASURE 9</b> CROS Q23 areas of professional development training	✓ CROS 2011 small increase in the proportion that have undertaken useful training in a range of professional development areas, eg: <ul style="list-style-type: none"> <li>ethics and research governance</li> <li>personal effectiveness</li> <li>career management</li> <li>knowledge transfer and outreach activities</li> <li>leadership and management</li> </ul>	13%	16%
			13%	16%
			10%	14%
			9%	11%
			11%	13%
C.6 Employers should provide planned induction programmes for researchers	CROS Q9 extent of inductions undertaken by research staff when starting their current role  PIRLS Q9 confidence in ability on induction	✓✓✓ Substantial increase in provision and take-up of inductions: <ul style="list-style-type: none"> <li>local induction</li> <li>departmental induction</li> <li>institution-wide induction</li> </ul> Principal investigators confident on induction	65%	72%
			53%	59%
			40%	67%
			-	62%
C.8 Provide career development strategy including availability of mentors	<b>MEASURE 10</b> CROS Q23 proportion who have undertaken career management training  PIRLS Q9 confidence in providing career development advice Visibility of researcher development within HEI strategies survey	✓ increase in proportion that had undertaken career management training  Principal investigators confident in providing career development advice HEIs publically stating that they promote career development and training for all staff (including research staff)	16%	20%
			-	61%
			-	43%
C.9 Managers to encourage research staff to undertake professional development	<b>MEASURE 11</b> CROS Q18 proportion of research staff encouraged to engage in personal and career development	✓✓✓ Substantial increase in proportion of research staff reporting that they have been encouraged to engage in personal and career development	65%	76%
Research staff to	<b>MEASURE 12</b> CROS Q29-32 extent of a range of	Little evidence for greater proportions undertaking range of		

undertake developmental activities	developmental experiences  CROS Q22 number of days of continued professional development	developmental activities, eg: <ul style="list-style-type: none"> <li>• collaborate with industry</li> <li>• placement in another sector</li> <li>• public engagement activities</li> <li>• coaching, mentoring or action learning</li> </ul> Three or more days in the last year spent: <ul style="list-style-type: none"> <li>• overall on professional development</li> <li>• on training activities in institution</li> <li>• on training activities outside institution</li> <li>• in coaching/mentoring activities</li> </ul> [Not directly comparable with 2009 results]	35% 5% 40% 14%	36% 5% 40% 32%  53% 29% 19% 13%
C.12 Provide teaching and demonstrating opportunities	CROS Q32 developmental activities	Undertake demonstrating, teaching or lecturing within their current role [2009: teaching and lecturing only]	50%	57%
C.13 Input to staff meetings and management committees	CROS Q30 developmental activities	Participation in departmental decision-making processes and committees	22%	23%
<b>Researchers' responsibilities</b>		<b>Evidence for extent of progress</b>	<b>2009</b>	<b>2011</b>
Existence of active research staff associations	<b>MEASURE 13</b> Understanding Research Associations and their impact report (2010)	Number of known research staff associations Number of HEIs with research staff associations		(2010) 53 26
Awareness of researcher development related policies	<b>MEASURE 14</b> CROS Q13 knowledge and understanding of Concordat and Vitae	Heard of Concordat Heard of Vitae	58% 28%	57% 50%
Use of professional sources of advice for career and personal development	<b>MEASURE 15</b> CROS Q25/26 sources of advice and support on personal and career development  PIRLS Q9/10 confidence and satisfaction with support available in relation to offering career development advice	Would or have consulted principal investigator about: <ul style="list-style-type: none"> <li>• immediate training and development needs</li> <li>• longer term career planning</li> </ul> Would or have consulted careers adviser about longer term career planning  Principal investigators: <ul style="list-style-type: none"> <li>• confident in giving career development advice</li> <li>• satisfied with support for them in this area</li> </ul>	- 85% -	72% 64% 31%  61% 58%

D.2 Researchers develop ability to transfer and exploit knowledge	CROS Q31 developmental activities CROS Q23 areas of training/development	Undertake knowledge transfer activities in current role Would like to do knowledge transfer Would like to undertake knowledge transfer training and development	34% 45% 49%	33% 45% 49%
	PIRLS Q15 perception of importance of knowledge exchange for research staff becoming effective research leaders	Knowledge exchange important or quite important for future research leaders	-	73%
D.3 Researchers should recognise their responsibility for good research conduct	CROS Q23 on areas of training/development	Undertaken training in ethics and research governance Would like to undertake ethics and research governance training and development	17% 29%	21% 31%
	PIRLS Q15 perception of importance of good research conduct for research staff becoming effective research leaders	Good research conduct important or quite important for future research leaders	-	90%
D.5 Researchers should recognise responsibility for career management	<b>MEASURE 16</b> CROS Q18 Ownership of development needs and career development plan	<b>Have a clear career development plan</b> <b>Reflected on development needs</b>	<b>50%</b> <b>88%</b>	<b>53%</b> <b>82%</b>
D.6 Researchers are encouraged to record their own PDP and CPD	<b>MEASURE 17</b> CROS Q18 formal record of professional development	<b>Maintain record of professional development</b> <b>[Not directly comparable with 2009 results]</b>	-	<b>70%</b>

Equality and diversity		Evidence for extent of progress	2009	2011
E.7 employers should aim for a representative balance of gender, disability, ethnicity and age at all levels of staff	<p><b>MEASURE 18</b> CROS Q40 gender CROS Q42 UK nationals and ethnicity CROS Q25 forms of disability CROS Q39 age distribution</p> <p>PIRLS Q23 gender PIRLS Q24 UK nationals and ethnicity PIRLS Q25 forms of disability PIRLS Q22 age</p>	<p><b>Female research staff</b> UK nationals BME UK national research staff <b>Total declaration of any form of disability</b> Research staff between 30-40 years old Research staff over 40 years old</p> <p><b>Female principal investigators</b> UK nationals BME UK national principal investigators <b>Total declaration of any form of disability</b> Principal investigators between 30-40 years old Principal investigators over 40 years old</p>	<p>55% 65% - 5.4% - - - - - -</p>	<p>53% 67% 5.4% 4.9% 46% 26% 32.6% 80.6% 5.7% 4.9% 24.6% 74.3%</p>
Equality for research staff	<p><b>MEASURE 19</b> CROS Q34 proportion believing HEI is committed to equality and diversity</p> <p>CROS Q35-37 perceptions of fair treatment by HEI as employer [2009 and 2011 results not directly comparable]</p> <p>PIRLS Q 18-20 perceptions of fair treatment by HEI and its commitment to equality and diversity</p>	<p><b>Agree HEI committed to equality and diversity</b> Disagree HEI committed to equality and diversity Don't know whether HEI committed to equality and diversity</p> <p><b>Agree that HEI treats all staff fairly irrespective of, eg:</b></p> <ul style="list-style-type: none"> <li>• gender</li> <li>• age</li> <li>• ethnicity</li> </ul> <p><b>Agree HEI committed to equality and diversity</b> Disagree HEI committed to equality and diversity Don't know whether HEI committed to equality and diversity <b>Agree that HEI treats all staff fairly irrespective of, eg:</b></p> <ul style="list-style-type: none"> <li>• gender</li> <li>• age</li> <li>• ethnicity</li> </ul>	<p>91% 10% Not asked  86% 87% 95%</p>	<p>85% 7% 8%  80% 78% 85%  90% 10% 5%  77% 80% 87%</p>
E.10 Employers should consider participation in schemes such as Athena SWAN Charter		<p><b>Institutional signatories to the Athena SWAN Charter principles</b> Institutions holding Athena SWAN Awards Total institutions and departments holding Athena SWAN Awards</p>	<p>44</p>	<p>65 35 87</p>

A full analysis of progress to date will be included in the three-year review of implementation of the Concordat principles (2012). Progress against specific measures will be monitored annually, where appropriate.