Code of Practice & Guide to the Management and Development of Research Staff

March 2014

ACKNOWLEDGEMENTS

Following the launch of the Concordat to Support the Career Development of Researchers in June 2008, the College's Research Strategy Committee set up a Working Group to establish a framework for the implementation of its seven principles at RVC. This Code of Practice and Guide to the Management and Development of Research Staff is the result of that work, and the Research Strategy Committee is grateful to the Working Group for making tangible the College's commitment both to early career and long-term research staff.

Working Group members:

- Vice-Principal, Research & Innovation (Chair)

- Staff Development Adviser (Secretary)

- President of the Researcher Association

- Up to three other Early Career Researchers

- Head of the Graduate School

- Director of Human Resources

- Assistant Director of HR

- Up to two Principal Investigators experienced in the management of contract researchers

The College is also grateful to the University of Edinburgh for their help and guidance in the development of the Code and Guide.

The Code of Practice is also available on-line at:

http://www.rvc.ac.uk/humanresources

FOREWORD

The RVC is proud of its achievements in research, and we recognise that contract researchers are an integral part of that success. Life-long learning is an underpinning educational philosophy for the College and the development of our post-doctoral workers and other researchers to ensure they achieve their full potential within their chosen career is fundamental to our values as an institution.

Our Corporate Plan for 2013-18 seeks to deliver the College's mission to enhance its global reputation as an outstanding independent veterinary college through seven strategic aims, one of which is 'Excellence in Research'. We must remain attractive and competitive in the global market for world class research talent, and we recognise that to do so, the College needs to have effective leadership, management and development for this key group of staff.

The introduction of this Code of Practice and Guide to the Management and Development of Research Staff demonstrates the RVC's commitment to the provision of timely and effective support for research staff and their chosen career paths. The Code and Guide also encourages research staff themselves to take responsibility for the management of their own careers.

The launch of the Concordat to Support the Career Development of Researchers in 2008 was a significant national event, raising the profile of researcher development across the HE sector. In adapting the Concordat to produce guidelines with a clear fit with the needs and aspirations of our own researchers and the culture of the RVC, we have built on examples of good practice already in existence at the College and around the sector.

In warmly welcoming and commending the Code and Guide to the College's research community, I should like to thank the Working Group that produced it, and to express my hope that it will help improve the career paths of our research staff.

Principal

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PART 1

INTRODUCTION TO THE CODE AND GUIDE

1. PURPOSE AND SCOPE

Researchers are key members of academic staff. They are central to the College's status as the leading centre for veterinary research in England, as well as its global aspirations. Beyond this, the College recognises that researchers make many other important contributions, for example in undertaking valuable research support, teaching and supervision duties, and as vibrant group within the wider RVC community.

The College has high expectations of how researchers are supported, managed and developed. "To deliver relevant useful and economically sustainable research programmes of international significance to the animal health and biomedical sector" is one of the six strategic goals of the 2013-18 Corporate Plan, and effective leadership, management and development of our staff is fundamental to our success in achieving our goals. The College also has high expectations of researchers themselves, not just in terms of their professional approach research activity and integrity, but also in respect of their engagement with the management structures and life of the RVC, and their commitment to actively assuming responsibility for their own career and personal development.

Management of the career and professional development of researchers is vitally important both to the individual and the College, and the fact that research funders are increasingly asking for evidence of this means that such management must be actively pursued and documented. It is arguable however, that responsibility for this has often fallen between two stools: on the one hand, postgraduate students have a sophisticated supervision system; on the other lecturing staff have a clear system of career progression and development.

The Code and Guide aims to fill this gap by setting out the specific responsibilities in the management process that fall to the researcher, to his/her manager (usually the Principal Investigator (PI), or occasionally another designated mentor or advisor), and to the institution (usually the academic department). These responsibilities are not new: much of what is recommended below merely formalises and clarifies good practice as performed informally by many researchers and their managers already.

2. THE RESEARCH CONCORDAT AND ITS SEVEN PRINCIPLES

The Concordat sets standards for the career management and conditions of employment of researchers in Higher Education on fixed-term or similar contracts. It is based on the European Charter for Researchers and the Code of Conduct for Researchers adopted by the European Commission in March 2005.

The Concordat provides a single, unambiguous statement of expectations and responsibilities of researchers, their managers, employers and funders, based on the following 'Seven Principles':-

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

2. Researchers are recognised and valued by their employing organisation as an essential part of its human resources and a key component of its overall strategy to develop and deliver world class research.

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

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

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

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

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

3.   THE EMPLOYMENT FRAMEWORK FOR RESEARCHERS

In developing the Code and Guide, the Working Group considered the employment framework for researchers at RVC and how this reflected the Seven Principles.

The College has an established portfolio of statutory and non-statutory Equal Opportunities polices designed both to ensure compliance with legislation and to promote Diversity, Widening Participation and Community Engagement.

The College has also joined the Athena SWAN Charter and is committed to the principles which underpin the Charter. The Charter is a scheme for the recognition of excellence in Science, Engineering or Technology (SET) subjects in women's employment in Higher Education.

The recruitment of researchers is governed by these policies, and to ensure that in addition to complying with the RVC's equality objectives, managers are able to select and retain researchers with the highest potential to achieve excellence in research; training in recruitment skills is available as part of the College's Management Toolkit.

Researchers are eligible to participate in the College's induction and appraisal schemes, which are intended to support appropriately the career development of all groups of staff. Both schemes are underpinned by relevant training.

The remuneration and other benefits of researchers are determined by their contracts of employment, and their contractual status is monitored by Human Resources. When, due to the end of a project grant or for any other reason, the work for which a researcher has been employed ceases to be required, their contract is terminated in accordance with the College's Procedure for the Management of Re-organisation and Change.

The Working Group concluded that this framework accorded with the Seven Principles. In practice however, it also concluded that more could be done make it meaningful to researchers on the ground, particularly in respect of their management, career and personal development. It was therefore determined that the Code and Guide set out below should focus primarily – though not exclusively – on these elements of the Seven Principles.

4.   HR EXCELLENT IN RESEARCH AWARD

In January 2012 The Royal Veterinary College (RVC) received the "HR Excellence in Research" Award from the European Commission highlighting the College's commitment to supporting the career development of researchers.

This is a UK-wide process, overseen by Vitae, enabling UK HEIs to gain the European Commission's 'HR Excellence in Research' badge, which acknowledges their alignment with the principles of the European Charter for Researchers and Code of Conduct for their Recruitment. The UK process incorporates both the' QAA Code of Practice for Research Degree Programmes' and the 'Concordat to Support the Career Development of Researchers' to enable institutions that have published Concordat implementation plans to gain the 'HR Excellence in Research' badge. The UK approach includes ongoing national evaluation and benchmarking.

PART 2

CODE OF PRACTICE FOR THE MANAGEMENT AND DEVELOPMENT OF RESEARCHERS

1. SUMMARY OF RESPONSIBILITIES

1.1 Key responsibilities of the Researcher

The researcher is responsible for planning and managing the development of his/her own career, and for ensuring that he/she is clear about his/her role and responsibilities within the research project(s).

Researchers should take active control of this process, for instance by setting and regularly reviewing long- and short-term goals for career progression, and by seeking out and taking up appropriate development, training and career guidance opportunities. They should seek regular feedback on progress in the project, and raise any problems with their PI (or other designated advisor/mentor in cases where the researcher is an independent researcher).

The College expects all staff undertaking research to recognise that it is their responsibility to carry out their work with rigour and integrity and to the highest possible ethical standards.

Researchers will be aware that not everyone undertaking academic research can secure a long-term career in academia. It is important, therefore, that researchers not only develop those skills which will maximise their chances of progressing within academia, but also develop additional skills that will increase their employability as researchers or give them the flexibility to change career.

1.2 Key responsibilities of the Principal Investigator or Mentor

The PI is responsible not only for the direction and active management of research projects, but also for facilitating and actively supporting the career development of the individual researcher engaged on a project.

PIs must provide an environment in which career development and project productivity are *both* highly valued, and they must encourage individual researchers to spend adequate time on professional development as well as on the project. Furthermore, engagement in skills training and development activities will commonly benefit both the individual researcher and the project itself. PIs themselves should ensure that they are prepared for their role by taking up opportunities for training and development, as appropriate.

PIs must promote an ethos of research integrity and support early career researchers to reflect best practice in relation to ethical, legal and professional requirements and be open to discussion about concerns they may have in terms of research integrity

PIs are responsible for ensuring that the researcher is successfully integrated into the local and wider College community. If mutually agreed, the PI should provide opportunities for the researcher to undertake teaching and/or supervision within his/her area of expertise.

The relationship between PI and researcher is central to the successful completion of the project, the delivery of the research goals, and to the researcher's effective career development. Much of the uncertainty accompanying successive research projects can be reduced by timely good management that includes support for the researcher's career development whichever direction this may take.

1.3   Key responsibilities of the College

The College is responsible for establishing an appropriate framework under which researchers are supported and encouraged in the planning and development of their careers.

It will promote and encourage PI good management practice, including compliance, where operationally sustainable, with equality and diversity and family-friendly policies. It will provide support for PIs in their management role, including training and development where appropriate. Examples of good practice might include the assignment of a senior academic to promote and monitor the management of researchers. In cases where a researcher does not have a PI (for example, if the researcher has an independent fellowship or is a PI in his/her own right), the Institution will ensure the appointment of a mutually agreeable mentor or advisor, who will provide the management and development advice normally associated with the PI role.

The responsibilities of the College will typically fall in the first instance to the academic department in which a researcher is based. It will be the relevant Head of Department or Research Group Leader as appropriate, who takes on this responsibility. They may devolve this responsibility to a senior member of academic staff with a specific remit to oversee the researcher affairs.

The College will review is policies and practices on a regular basis with a view to enhancing their effectiveness. In doing this it will encourage contract researchers and PIs to take part in the CROS and PIRLS surveys making use of these surveys to identify areas where there is need for improvement.

2.   CAREER PLANNING AND DEVELOPMENT FOR RESEARCH STAFF

In common with all other members of College staff, researchers are entitled to access the training and development support available from the general staff development programme at 'no cost' to individuals, projects or departments. Financial support is also available from Human Resources, normally part-funded with the appropriate department, for attendance at external training programmes which are relevant to the employee's role.

Principle 4 of the Concordat requires that:

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

The Concordat also states that employers should:

"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."

Within the programme there is a series of courses specifically designed for Postdoctoral researchers which are aimed at enhancing their personal, professional and career skills to a high level. These courses are mapped to the Vitae Researcher Development Framework.

The Vitae Researcher Development Framework which was developed by and for researchers is a major approach to researcher development, which aims to develop world-class researchers.

More information can be found on the Vitae website: http://www.vitae.ac.uk/researchers/428241/Vitae-Researcher-Development-Framework.html

Researchers are eligible to participate in the College's induction, appraisal and other development planning processes. It is the responsibility of the researcher and the PI jointly to ensure that this happens, that the relevant review meetings take place and are conducted appropriately, and that the staff development accessed by the researcher is informed by appraisal discussions and objectives (including career development objectives). Training is available both for appraises and appraisers as part of the College's Management Toolkit.

The Management Toolkit is a staff development programme covering a range of generic management skills which can support the career development of researchers considering career directions outside as well as inside the RVC.

PART 3

GUIDE TO THE MANAGEMENT AND DEVELOPMENT OF RESEARCHERS

1. DEFINITIONS

The diversity of research staff experience and expertise makes the formalisation of appropriate guidance challenging. It is impossible to treat all researchers generically, and researchers and their managers should be prepared to adapt to their specific situation and needs. This Code of Practice focuses on two key groups:

1.1 Definitions of Research Staff

1.1.1 Early-career research staff
Such researchers will probably be in their first or second research post; they may have recently gained an undergraduate or postgraduate degree, and are essentially undergoing research training and skills development (although they are also expected to be "productive", unlike a graduate student perhaps). This training may facilitate many possible career goals. Most early-career research staff will be working on a project as part of a research group led by a PI. The "early-career" stage would typically last up to 5 years. (See page 9 for more detail).

1.1.2 Long-term research staff
These are researchers who have actively chosen a long-term research career within a research group irrespective of how their work is funded.

The needs of these two groups are distinct and a detailed set of guidelines is provided for each on the following pages.

Additionally, overlapping with the above two groups there is a third group of researchers:

1.1.3 Independent researchers
Such researchers will be funded from grants or fellowships that they obtained themselves, and may often be regarded as PIs themselves. They will direct and develop their research largely or completely independently of other academic staff members, and may be directly responsible for the research activities of other staff members and postgraduate students.

No separate guidelines are provided for such researchers - some of their needs will be covered by the tables that follow, while others will be more appropriately addressed in line with the management of other senior academic staff.

Most importantly, each independent researcher should be assigned a mentor or advisor who is an experienced senior staff member. As well as adapting the following guidance to the needs of the independent researcher, the mentor will be available to advise on paper/grant submissions, long term career prospects within and outside the College, and on the financial and administrative responsibilities that come with supervising a research group.

1.2 Definitions of formal progress meetings for research staff

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

Two distinct meetings are recommended since:

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

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

The two meetings recommended are:

- A **Project Review Meeting** that concentrates on progress towards the goals of the **specific research project**, and

- A **Development Review Meeting** which focuses on the wider career and personal development of the researcher **beyond the current project**.

1.2.1 Project Review Meeting

This meeting will involve a discussion between the project manager (normally the PI) and the research staff member about **project progress**, as well as **performance** and training issues directly connected to the research project. It will most likely take the form of a series of regular meetings (weekly, monthly, quarterly) in which the PI and the researcher take time to judge progress measured against agreed milestones (as set by the funded research contract), and their expectations on the likely outcomes of the particular research project. These regular meetings may be informal, although a more formal **annual project review meeting** is recommended.

The primary purpose of the project review meeting is to ensure that both the PI and the researcher are clear about their responsibilities and expectations, and have the opportunity to focus on and deal with any **problems** arising during the project. The need for **project-related training** will be discussed.

Exceptionally, as with any other category of staff, gaps in performance which cannot be addressed through informal counselling or skills training can sometimes be identified at review meetings. In such circumstances the PI may wish to consider using the relevant College policies to address such gaps, in consultation with Human Resources.

1.2.2 Development Review Meeting

Whilst it is tempting to focus exclusively on the current research project, researchers must have an opportunity, at least annually, to consider their **longer term career development**. The role of this meeting is to enable the researcher to pause and consider his/her future, including the specific skills he/she may wish to acquire for his/her future career.

The PI/mentor assists with this review by providing encouragement and the opportunity to discuss the range of career options available, and to discuss opportunities for acquiring the skills and experience that might be appropriate, such as teaching or supervision roles. This must be balanced with a realistic assessment of the usefulness of such experience. It must be formal so that a record is developed, and also to encourage the researcher to think beyond the immediate research project on which he/she is employed. Although project success is a high priority for researcher and PI, it is vital that the PI takes his/her management responsibilities seriously to be able to advise the researcher beyond the project.

The PI, in turn, may wish to consult his or her Head of Department or the HR team for further information and advice to inform their knowledge of issues/topics to cover in the Development Review

Meeting. They may also wish to familiarise themselves with the development resources available to research staff.

2.   EARLY-CAREER RESEARCHERS

This group will include research staff who are in their first or second research positions. Each individual's experiences and development needs are different, but **for most this early career stage will be a period of no more than 5 years**.

Management of researchers begins **prior to the appointment being made**. Recruitment, selection and appointment processes must be in line with College guidelines and the recruiter should seek advice from Human Resources at an early stage regarding the suitability of the contract, the length of likely requirement for such a post, etc.

Early-career researchers are in a transitional phase: they are gaining experience and developing knowledge and skills to move further towards independent research activity. They will often be focussed on short-term project goals, but, crucially, they must also make a personal assessment, preferably with the aid and support of a mentor or other advisor, about what career paths, both inside and outside academia, are open to them. This is vital, since beyond this stage in a career, choices can become more limited.

It is in the best interests of the researcher to take personal responsibility for his/her development and career management, and not to "drift" from project to project through this formative stage. Flexibility and mobility are choices the researcher may need to consider in order to gain appropriate experience. The aim is that by the end of this stage, researchers will have a realistic and clear view of their own abilities, the options open to them, and the career choices they need to make to pursue their chosen direction. Development Review Meetings will assist in this.

For early-career researchers the following major career options may be discussed in the Development Review Meeting:

1.   a move directly to an **independent academic position** (either a College teaching/research position, or an independent research fellowship) if he/she has already built up the appropriate publication record, reputation, experience and research independence; in most cases, the researcher is unlikely to be in this position after his/her first research post;

2.   a move to **another researcher position** within a research group in order to develop further skills, publication record, and experience, with a mid to longer-term view to a further move into an independent academic position, or a research post in the commercial or not-for-profit sectors; frequently this will entail a change of research group and/or institutions;

3.   a move to a research staff **position at a similar level** and with similar responsibilities, with a view, where possible, to continuing in the same type of work in the longer-term;

4.   the identification of **alternative career paths** that make use of the valuable research and transferable skills gained.

The PI/mentor should, where possible, support the researcher in exploring and aspiring to any of these career routes. He/she should advise appropriately on the prospects and requirements for success, and

on the development activities that may help the career goal. They may need to encourage the researcher to seek further information and support from, for example, the Graduate School, wider networks and former colleagues.

3.   RESPONSIBILITIES FOR THE MANAGEMENT OF EARLY-CAREER RESEARCHERS

The tables that follow detail the responsibilities of the researcher, the PI and the College during the course of a research project. This guidance is not meant to be rigid - indeed departments and individual researchers should use it as a framework that can be **adapted to meet local circumstances** and specific needs.

For the researcher and PI, the responsibilities take the form of **questions** to promote clarity in the relationship. Some of these questions will also be useful in helping to set the agenda of the Project Review Meetings and the Development Review Meetings.

To make this more manageable, the project is divided into three phases which are set out over the three double pages that follow:

"Start of Project"
This refers to the period of the project in which the researcher settles into his/her new role and starts the project work. Nevertheless, long term project and career goals must be considered from the outset.

"Mid Stage of Project"
This refers to the central part of the project during which the researcher is established in post and performing the bulk of the necessary project work.

"End of Project"
This refers to the final part of the project when all the necessary steps are taken to complete it on time.

The duration of these phases will vary given the diversity of research areas and typical lengths of projects across the College. A project may entail 2-5 years of research, but some may have a very short timescale (e.g. 3 months).

3.1 START OF PROJECT

At the outset, the research staff member needs to be inducted into his/her role, team/group and the wider College. As the project starts, there are many parameters to be worked out between the researcher and the PI for the conduct of the project.
Even at this early stage, thought should also be given to where the researcher wants to be by the end of the project in terms of development and career objectives, with time set aside to talk about these, as appropriate. The numbered references in the text in the first three columns are given to direct you to the resources listed in the column on the far right.

Departmental Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
The Department in which a researcher is working should appoint a clearly designated **manager** or **advisor**. This will usually be the PI, but for independent researchers another suitable member of the academic staff should be identified and assigned to the researcher. • It will provide an **induction process** that takes into account the needs of research staff, and which links into the existing College-wide Induction activities. • It will ensure a good **working environment** in which the *separate* 'Code of Good Research Practice' and equalities legislation are adhered to consistently. • It will ensure that a system for **Review Meetings** is in place and is adhered to consistently.	**The Research Project** • Have the departmental and College **induction** processes been explained and has time been made available for participation in them? • Have I introduced and explained **this Code of Practice** and the Code of Good Practice in Research? • Have I explained the researcher staff member's **entitlement to appraisals, training and development opportunities, and career guidance support**? • Have I clarified the job description and my expectations of the **researcher's role** within the research project, or research group, and any wider research programme? • Have I clarified the roles within the research team/research laboratory, including the expected **interactions** with the group and the expected collaborations outside the group?	**The Research Project** • Have I actively taken up the opportunities for **induction** available to me? • Have I clarified **my role** within the project and the research team, and the arrangements for completing the project within agreed timescales? • Have I familiarised myself with the **regulations/ requirements/conditions** of the sponsor/funder of the research? • Have I clarified the arrangements for **reporting** on the project? • Have I ascertained the degree of **research freedom** open to me within the project and project team? • Have I participated in **Project Review Meetings**? • Have I completed any **mandatory training** eg Health and Safety procedures?	**College-wide Induction** "Welcome to the RVC"- for all staff http://www.rvc.ac.uk/humanresources **Induction for New Research Staff** http://www.rvc.ac.uk/humanresources **Induction Web Pages for New Research Staff** **Code of Good Research Practice** http://www.rvc.ac.uk **The Concordat to support Research Integrity** http://intranet.rvc.ac.uk/DeptResearch/Docs/TheConcordatToSupportResearchIntegrity.pdf **Staff Development Programme** - programme of generic and career/professional support for all groups of staff including early career research staff at the RVC: http://www.rvc.ac.uk/humanresources **Career Development Reviews** – a confidential interview with a careers adviser available to all Research Staff: http://www.rvc.ac.uk

3.1 START OF PROJECT Cont'd

Departmental Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
- It will ensure that there is a good system for **communicating for communicating opportunities** for researchers throughout the School. - It will monitor the outcomes of processes for obtaining views of researchers and PIs, such as the Careers in Research Online Surveys (CROS) - It will promote the whole **Staff Development Programme** amongst its staff. - It will encourage the delivery of **local transferable skills training** (perhaps organised by Researcher Association, such as career seminars) that will complement the more general training offered at University level. - It will support the '**Researcher Association'** as a forum for researchers to discuss their experiences and needs.	- Have we discussed the **regulations/requirements/condition** of the research sponsor/funder? - Have I discussed **The Concordat to Support Research Integrity** with them? - Have I clarified the arrangements for the **management of the project** and the research staff working on the project, e.g. the expected working practices, timescales, the monitoring of project progress, the frequency of meetings between project members, the arrangements for communication, the dissemination of project outcomes, publications, etc. - Have I made arrangements for regular **Project Review Meetings**? - Does the researcher know what **resources** are available - and, if not, how to find out - in terms of library, computing, facilities and materials, and technical assistance? - Have I explained (or arranged the explanation of) **health and safety procedures** within the department? - Have I arranged any **mandatory training** that may be required? **Development** - Have **I myself** undertaken appropriate training for the researcher management role, including appraisal training?	**Development** Have I sought appropriate access to information on entitlements (i.e. appraisal, review, training courses, etc)? - Am I taking **responsibility for my overall career planning** and considering how each job will help achieve long-term goals? - Am I thinking about '**next steps'** at this early career stage rather than waiting for the end of the current project? - Have I taken up **training opportunities** available to me in the Staff Development Programme, including taking advantage of a Career Development Review, and from other College development providers? - Have I engaged in career management by constructing a **career plan**? - Have I asked for a **Development Review Meeting** if this has not been offered - at the end of the first year in post, and the end of the subsequent years? - Am I **supporting my professional development** by joining appropriate mailing lists, professional associations, RVC researcher association, other	**Career Development Support and Resources for Research Staff** web pages with links to resources available including on-line resources http://www.rvc.ac.uk/humanresources

		networks, etc?	

3.1 START OF PROJECT Cont'd

Departmental Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
	• Have I given the researcher the opportunity to discuss his/her immediate **training needs**? • Have I encouraged the researcher to take **responsibility** for developing his/her own career, in whatever direction that might be? • What opportunities have I offered for the researcher to **explain his/her own needs and aspirations**, and to bring out any skills he/she may have that could contribute to the project, the group or the department? • Have I made arrangements for **Development Review Meetings**? • Have I directed the researcher to the information on local and College-**wide research staff training and support**?	Am I keeping a log, or have I opened a **portfolio,** of my development activities to provide an accurate record for future CV writing?	

3.2 MID-STAGE OF PROJECT

This phase of the work is often extremely busy with data generation, presentation and interpretation consuming the entire working day and beyond. As a consequence, it is tempting to give personal development and career planning a low priority at this time. The researcher should not lose perspective during this stage of the project and should ensure that skills development and career planning are maintained. They should receive the support and encouragement of their PI (or mentor/advisor) in doing this.

Both the researcher and their PI should identify, and build into the project, time for development activities. More detailed advice is provided below. For many researchers, publication will naturally be a decisive career booster, but management should involve more than simply recommending an accumulation of publications. The numbered references in the first three columns are given to direct you to the resources listed in the column on the right

Departmental Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
The College should ensure PI commitment in supporting the career planning and development of research staff and **promote good practice regarding their management and support**. This should be addressed at PIs' own review or appraisal meetings. To aid this process PIs should be offered **support in their management role** through mentoring arrangements and the provision of appropriate training and development support, such as the Management Toolkit. Research staff should be **integrated into the day-to-day working of the College** (e.g. involvement in College meetings/seminars, etc.) and **represented on College committees,** as appropriate.	**The Research Project** • Are our **Project Review Meetings** working or do they need adjusting (e.g. increased frequency, different format)? • Is the **research on target**, or do goals need to be adjusted? Have I adequately discussed this with the researcher? • Has the researcher been given **positive feedback and constructive criticism** during Project Review Meetings? **Development** • Are our **Development Review Meeting** arrangements working or do they need adjusting? Are they allowing time for a discussion (as appropriate) on all the points listed here?	**The Research Project** • Am I **maintaining satisfactory progress** with respect to the programme of work agreed with the PI and have I sought feedback on my progress through Project Review Meetings? • Am I taking the initiative in **raising with the PI any problems** or difficulties arising with the project? **Development** • Have I taken the opportunity of having a **Development Review Meeting** with my PI, or other designated person, and if not, have I asked for one? • Am I maintaining a **career plan**? • Am I actively **considering the next career stage** and considering how this fits with my overall career plan?	**Staff Development Programme** – generic and career/professional support for all groups of staff including early career researchers http://www.rvc.ac.uk/humanresources **Researcher Development Programme** – programme of career and professional support for Research Staff http://www.rvc.ac.uk

Departmental Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
	- Have I encouraged researchers to **take up opportunities for skills training** and career development [1], and where appropriate wider involvement in College activities? - When the research staff member undertakes training activities do I discuss the specific learning objectives beforehand, and then review these with the researcher after the activity? - Have I made sure that research staff have adequate time and support within their current project for **professional development and professional academic activities,** e.g. writing publications, involvement in writing grant applications, attending conferences and other development events, managing budgets, making formal presentations of their research etc? - Have I made sure that research staff have opportunities for engaging in **'on-the-job' training in research-specific skills**, if appropriate (this will be training carried out within the College/department/ discipline/research group/ profession)?	- Am I being proactive in seeking out and **taking up opportunities** for skills development, mentoring, Career Development Review and networking? - Am I **getting involved** in, or considering, writing publications, attending conferences, etc. as appropriate to this stage in the project and in my career? - Have I considered taking on any **supervision and/or teaching duties** if appropriate? - Have I given thought to the appropriate **balance** between **project progress** and **development goals** so that one is not detrimental to the other? - Am I maintaining a log of my development activities and regularly updating my CV? - Do I discuss training activities with my PI, eg the setting of learning objectives before a training activity and the review of these after the event?	

3.2 MID-STAGE OF PROJECT (Cont'd			
Departmental Responsibilities	**PI (or mentor/advisor) Responsibilities**	**Research Staff Responsibilities**	**Pointers to Resources**
	• Have I assisted with, and promoted, **opportunities for networking and collaborations** with colleagues/experts/other professionals in their field? • Have I provided opportunities for researchers to undertake **supervision and/or teaching duties**, if so wished (this could be at undergraduate and/or postgraduate level)?	• Do I have the opportunity to **write or co-write grant/fellowship applications** for securing my future funding, if appropriate?	

3.3 END OF PROJECT

Ideally, this phase will include at least the final 6-12 months of a project. As the individual with most at stake, it is very important for the researcher to be in control of events, as far as is possible, during the completion of the project. This is often complicated by the need to consider factors such as securing future funding, alternatives if the favoured strategy and contingencies do not proceed, as well as the possible need to move house/department/institution/country.

It is essential that the PI or other advisor is aware of the extra pressure experienced by the researcher as a project approaches its conclusion. By the end of a project the PI and researcher should both have a clear idea of the next steps planned by the researcher. The role of the PI towards the end of the project will vary depending upon the intended career path of the researcher.   The numbered references in the text in the first three columns are given to direct you to the resources listed in the column on the far right.

College Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
The College should establish suitable procedures to allow the researcher to be adequately prepared for the end of a funded project. The Department should ensure that appropriate procedures are followed for bringing the contract to an end. The HR Team must be consulted as part of this process[1]. In particular, where it is known or expected that the requirement for specific work to be undertaken will cease or reduce at an identified point in time, the process for redundancy consultation must be followed. As part of that process the Department must ensure that the researcher is **provided with details of how to access careers development support** [2] [4] [5].	**The Research Project** • What are the **prospects for the researcher's continuing employment** on this (or a different) project? What discussions have I had with the researcher about this? • Have I supported the researcher with the **writing of papers** from the project, where appropriate, including coaching in the techniques of paper writing? • Have I **provided the researcher with feedback** on the strengths and weaknesses of his/her contribution to the project? • Have I arranged an **end of project review meeting** with the researcher that allows time to review outcomes and achievements, and possible next steps, as appropriate?	**The Research Project** • Have I ensured all work for the current **project can be finished** by the completion date? • Have I **contributed to planning** the continuation of the project, where appropriate? • Have I **provided all relevant documentation** to the PI/Research Team? • Have I written/co-written any **papers** from this project, where appropriate? **Development and Progression** • Have I **made full use of all the careers resources** available to me (Career Development Review, web pages, CV advice, practice interviews, etc)?	**HR College Contacts** http://www.rvc.ac.uk/humanresources

3.3   END OF PROJECT

College Responsibilities	PI (or mentor/advisor) Responsibilities	Research Staff Responsibilities	Pointers to Resources
The College should explore opportunities for alternative funding and redeployment of researchers coming to the end of a particular project.	**Development and Progression** • What **communication have I had with the College** about other opportunities, e.g. work on other projects, other funding streams? • Have I supported the researcher with his/her career planning and progression, and **reviewed with them what his/her plans are at least six months prior to the end of a project**? • Have I made the researcher aware of College **procedures** relating to the reduction in the requirement for specific work to be undertaken and initiated the process with the HR team?	• Have I discussed with my PI the possibility of **ongoing requirement for work, or redeployment?** • Have I/we **identified and addressed all contingency options** well in advance? • Have I taken advantage of **workshops and other support** available for paper and grant application writing?	**Workshops for Research Staff –** Including writing skills and making funding applications hhtp://www.rvc.ac.uk

4.   LONG-TERM RESEARCH STAFF

In general, the long-term researcher enhances the College's research strength, and often makes an important contribution to its further development. This group includes research staff who have committed to a long-term career as a researcher, often working within a research group.

The researcher has clearly developed skills and knowledge to work with minimal supervision in the delivery of research objectives, normally defined by a PI who has obtained funding for the position. His/her role is normally to support a PI, although this can take a variety of forms. It may be as a PI's long-term research support worker, assisting in overseeing research projects, being delegated major parts of the research work. They may oversee the activities of early-career researchers also working to the PI, or manage specific research facilities if they are part of a large team. Alternatively they may simply be valued as proven highly skilled, experienced, and reliable researchers.

It may be in such situations that the researcher is employed on an open-ended contract, but his/her continued employment will still be subject to the ongoing requirement for that level of specific activity, which may in turn depend on future funding availability.

4.1   Management Objectives for Long-term Research Staff

Many of the recommendations given for early-career researchers can also be adapted for the management of long-term researchers during the course of their employment on a particular project.

The long-term researcher will no longer be in a "training phase". His/her development needs will be different, and the management strategy must take this into account. It is vital that the long-term researcher takes primary responsibility for his/her own development.

However, the PI will need to guide the researcher through issues specifically relating to his/her particular circumstances through regular Project Review and Development Review Meetings. The need for two distinct meetings remains, since there is potential conflict between short-term project goals and long term development aspirations (such as training for a technique not required for the current project).

Some long-term researchers will wish to **continue in a role appropriate for their current grading**, often acting as a highly valued and reliable resource within the group, but not wishing to take on more senior tasks and responsibilities appropriate for a higher grade. If they remain in a similar role over an extended period, some researchers in this category may feel that their presence and contribution are taken for granted. The researcher should take advantage of professional development opportunities to develop skills further and maintain job satisfaction in the longer term.

Other long-term researchers may want to **progress to a more senior researcher role** taking on more responsibilities. In some cases this may involve securing research funding to establish a semi-independent research theme within a larger group. Opportunities for participating in the further development of research should be explored, including the possibility of becoming co-investigators on grant proposals. For such staff there should be a regular consideration in Development Review Meetings of development activities that may assist such a career goal in the current post or a future post.

Prospects for applying for **regrading** within the current post should be considered regularly. Research staff should, however, be aware that regrading is not automatic and does not depend on length of service, but instead depends on whether the nature of the current post changes. A review of grading is indicated when there has been a clear change to the role such that it better matches to a different grade profile from the current match. The change to the role will entail assuming higher level responsibilities, not just a change in duties. To this end, ongoing personal and professional development should better position the individual to be able to take on a higher level of responsibility.

4.1.1 Responsibilities for the Management of

LONG-TERM RESEARCH STAFF

The table that follows sets out the responsibilities of the School, PI and research staff member in the similar format to the earlier guidelines. It can be used in parallel with the earlier guidelines, which should be adapted to meet local circumstances and particular projects.

The numbered references in the text in the first three columns are given to direct you to the resources listed in the column on the far right.

College Responsibilities	PI(orMentor/Adviser) Responsibilities	Research Staff Responsibilities	Pointers to Resources
• The College should **establish a dialogue with PIs** (or mentor/advisor) regarding the development needs of their long-term research staff. • It must ensure that **regular Project and Development Review Meetings** continue to be carried out for long-term researchers. • An effective way of addressing this will be through explicitly monitoring a PI's **management record** during PI appraisal. • It must ensure that any guidance on the **review of grading** is clear and in accordance with College policy [1].	• Am I holding **regular Project and Development Review Meetings** with the researcher? • During these confidential Review Meetings, and more widely in any project team meetings, am I giving appropriate **acknowledgement of the researcher's contributions** to the project/research team/College? • Do I consider the **development needs** of my long-term research staff members as distinct from early-career research staff? • Have I discussed with the research staff member whether they wish to take on more **responsibilities**, or a more senior research role, and what **opportunities** for doing that currently exist within or outside the group?	• Am I **taking primary responsibility** for my own development at the current stage of my career? • Am I making sure that I have **regular Project and Development Review Meetings** with my PI (or equivalent)? • Have I made an **honest personal assessment** of my contribution to the research project/team? • Do I want to **review** my current contribution with my PI with a view to it changing or developing in the future? • Am I taking advantage of professional and career **development opportunities** to further develop my skills and help maintain job satisfaction?	**Hera/Job Evaluation guidance on HR website** **Generic Staff Development Programme and Management Toolkit**

College Responsibilities	PI(orMentor/Adviser) Responsibilities	Research Staff Responsibilities	Pointers to Resources
• The College should review the opportunities available for long-term research staff to **contribute to wider College life**, such as becoming members of committees, taking on teaching, supervision and staff management duties, if sought by the researcher.	• Have I considered opportunities for **expanding** the researcher's role in contributing to research planning, project management, the writing of grant applications, and the supervision/mentoring of junior researchers? • Have I discussed **specific development needs** associated with an expansion of the researcher's role and/or the taking on of extra responsibilities? • Have I discussed the prospects for the **promotion** of the research staff member in the future - both short and longer term, taking into consideration his/her aspirations, and experience, abilities and skills? • Where appropriate, has there been any exploration of the possibilities of the research staff member seeking his/her own **research funding**?	• Am I keeping a **personal record/log/portfolio** of my ongoing skills development and my take-up of development opportunities? (It is easy to forget what has been done and it is a very useful tool for CVs). • Am I keeping my **CV** up to date and have I sought any advice on its structure? • Am I keeping, and developing, useful **networks**, and attending conferences/seminars as appropriate? • Have I considered opportunities for **expanding my role** (e.g. contributing to research planning, project management, writing grant applications, joining committees, teaching duties, assisting with staff management duties and/or the supervision of junior researchers, or acting as a mentor/advisor to research students)? • Have I examined the criteria for **promotion** and considered my prospects and aspirations? • Have I looked at the possibilities of **seeking my own research funding**, if that is appropriate? • Have I considered acting as a **mentor** to early-career research staff?	