University of Reading

Management and Development Responsibilities of Principal Investigators

Introduction

The aim of this guidance booklet is to provide you with a clear outline of your responsibilities as a PI in the management and development of your research staff, in line with the expectations of the University of Reading and the funders of research including UK Research and Innovation (UKRI). It contains some practical tips to enable you to effectively manage and support the development of your research staff.

The University publically demonstrates its commitment to research staff development through its attainment of the Human Resources Excellence in Research (HRER) Award, the principles of which are shown in Appendix A. It is proud to be one of only ten UK universities to have retained the award since its introduction in 2010, which it does through its commitment to the Concordat to Support the Career Development of Researchers.

The Concordat is an agreement between the funders and employers of research staff in the UK and sets out clear standards that research staff can expect from the university that employs them, as well as their own personal responsibilities as members of the research community. The Concordat places personal and professional development at the heart of the experience of research staff and is key to realising the potential of the research workforce and in achieving the University's research strategy.

Indeed, terms and conditions of Research Council fEC Grants state that "The Research Organisation is expected to adopt the principles, standards and good practice for the management of research staff set out in the 2008 Concordat to Support the Career Development of Researchers, and subsequent amendments".

This guidance therefore draws on good practice from the Concordat and the University's policies relevant to the management and development of research staff. It is structured to match the typical employment cycle of a member of research staff.

This booklet supplements the training that is planned for PIs called 'Delivering Successful Research Projects', covering the key responsibilities and considerations for managing research projects. It will be available to book via Employee Self Service shortly.

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Initial stages

Recruitment and selection

Whilst research staff are often appointed on fixed term contracts of employment (due to the limited nature of the funding for their appointments), their terms and conditions of employment should be no less favourable than those of comparable posts, which may be permanent or of similar nature in the wider organisation.

Recruitment and selection should be conducted in line with the University's Recruitment Procedure policy which can be found on the Human Resources (HR) web page. If you have any questions in relation to the Recruitment Procedure then please contact the relevant HR Advisor for your School in the first instance.

If you want to recruit a member of research staff and therefore Chair a selection panel, you will need to have completed the required training: *Unconscious Bias for Panel Members* and *Recruitment and Selection* in advance of advertising the role.

The Recruitment Procedure outlines the steps of recruitment from identifying that you have a vacancy (raising a Staffing Request Form (SRF): https://hrapprovals.reading.ac.uk), placing an advert, shortlisting candidates, interviews to making an appointment. The University has an online application tracking system called Jobtrain. This enables candidates to apply online, see where their application is at any stage of the process and to receive feedback following shortlisting and an interview in a timely manner.

In advance of advertising a post you must have submitted a Staffing Request Form and this must be approved to confirm there is appropriate funding for the appointment. You must also provide a job description and person specification.

The relevant HR Coordinator for your School can provide you with a template job description and person specification for a Grade 6 or a Grade 7 research staff appointment. You will need to review this to update information such as type of PhD and experience required to fulfil the role which is relevant to the research role you are aiming to fill and project the person will be doing. You will also need to review the duties required for the particular research role to which you are appointing.

You will need to complete an Interview Requirements Form. It asks about the proposed date for interviews, who will be on the interview panel and any special requirements for the interviews. This information helps to avoid delays in the recruitment and selection process. The form also includes identifying whether you would like the role advertised anywhere else in addition to the University's normal advertising channels for research roles i.e. the University website and on Jobs.ac.uk. For example, you may wish to advertise on a specialist website or in a specialist publication. Please note that the cost of advertising in other media other than the standard media will need to be met by you as recruiting manager or your School.

Once the SRF and the Interview Requirements Form have been submitted, confirm which candidates you wish to take through to interview and to update feedback against candidates following shortlisting and interviews. If you have not used Jobtrain before, the relevant HR Coordinator will arrange for you to be set up with access and you will be provided with guidance on how to use the system to undertake shortlisting online. They can also help you complete the New Starter Form within Jobtrain to confirm the salary and start date of the appointment so that a contract of employment can be raised.

It is the practice of the University to advertise all posts at Grade 6 and above for a minimum of 28 days. This ensures it meets the Resident Labour Market Test (RLMT) requirements should the candidate appointed require a Tier 2 Certificate of Sponsorship to work in the UK.

This will be managed by the HR Operations team on receipt of the Interview Requirements Form, job description and person specification. If the selected candidate does require a visa to work in the UK then a full documentation check will need to be completed before they take up their employment with the University. It is a criminal offence for a University to employ a non-EEA national without a work permit or other appropriate specific exemption. The HR Coordinator will ensure these checks are done once you have completed the new starter form on Jobtrain.

If you employ a non-EEA national who is a registered student they are able to work up to 20 hours per week during term-time and up to full-time during the holidays.

It is the practice of the University to ask candidates to identify if any adjustments (on the basis of a disability) may need to be made during the selection process or on appointment. If you are unclear of what to do in this instance, then please contact the HR Coordinator or HR Advisor for your School for advice.

Induction and probation

The Concordat focuses strongly on the early stages of employment for research staff with the University. If research staff have a positive start to their employment then they are more likely to become successful and productive members of staff. As part of the induction process the Concordat strongly recommends that new research staff should be provided with a mentor and that a PI should establish with a new member of research staff a clear understanding of the following:

- the aims and objectives of the project and the responsibilities of the member of research staff and PI within it;
- expectations in relation to publication targets and matters of authorship;
- the School's expectations of the member of research staff with respect to supervision and teaching.

The University Research Staff Mentoring Scheme provides more details of how a mentor can be arranged.

It is vital that new research staff receive a thorough induction into the School and local research community. The *Local Induction Checklist* outlines essential points that should be covered during the initial period of employment. A number of Schools have developed their own local induction processes so you should check with a member of the Executive Support team within your School if there is a specific programme available.

Another important task, as part of the local induction, is for the PI to set probationary objectives for new research staff. The Probationary Procedure provides guidance on how to do this and how often you should be reviewing progress within the probationary period (which is 6 months for research staff).

The purpose of the probationary period is to ensure that new research staff are able to perform effectively in their roles and to provide the opportunity for regular monitoring so that any issues can be identified at an early stage and appropriate support provided as required. The probationary period can be extended for a further 3 months (so up to 9 months in total) if problems are identified. This could be due to performance / capability issues or an inability to assess performance adequately during the probation period because of an extended period of absence, for example.

If you wish to extend a probation period you will need to contact the relevant HR Advisor for your School for advice. Then a formal meeting will need to be arranged, with the researcher having the right to be given due notice of the meeting in writing and to be accompanied at that meeting by a member of a recognised trade union, a member of the Staff Forum or a workplace companion if they wish.

During the probationary period it is not expected that research staff will undertake a Performance Development Review (PDR) but once they have successfully completed their probation they will then join the annual PDR cycle.

You can use the checklist in Appendix C to discuss the above points with new research staff as part of their induction to ensure you have signposted them to relevant information to help them settle into their role as quickly as possible.

On-going Support - Post Probation

Supervision

Following successful completion of probation, the University expects PIs to continue to regularly supervise and oversee the work activities of research staff. It is good practice for PIs to keep written notes of discussions covering progress towards the target tasks and changes in the targets or dates of achievements agreed and noted. This can be done via an email following the discussion with the member of research staff so that things are transparent and there is no ambiguity / misunderstanding of what has been agreed, what actions are to be taken forward by the member of research staff and/or PI and where the project plan has got to at a particular point in time.

There are a number of courses available via People Development in relation to line management and leadership, which PIs may find useful to attend to develop their own skills. For example, having a difficult conversation is not easy but there are well established techniques and approaches which can enable those conversations to be constructive and successful.

Performance and Development Review (PDR)

The PDR is an annual review process (underpinned by on-going dialogue during the year between a line manager and their member of staff) which, done well, can be meaningful and valuable to the member of staff and can impact on their levels of engagement, motivation, morale, productivity and innovation.

The PDR process for research staff should enable there to be a formal discussion to provide clarity on expectations, review and evaluate their contribution, consider their personal, professional and career development plans. A key issue for research staff is that their career development planning can often be compromised by the short-term needs of research projects so an appropriate balance needs to be struck.

The University practice is that the reviewers for research staff should not be the immediate line managers (i.e. PI), unless members of research staff would prefer this or there is a particular need for the line manager to conduct the PDR. Usually the reviewer is a senior colleague, not closely associated with the project on which the member of staff is primarily employed. If a research member of staff feels that they want their immediate manager to act as their reviewer, they should notify their Head of School.

As a point of good practice, where the PI is not undertaking the PDR it is advised that during the PDR discussion, the reviewer and research member of staff agree what information should be shared

with the PI and the best method of doing this. For example, this could be related to any development needs identified, as the PI may need to support the provision of time and/or resources for this to be facilitated. Other examples could be personal or welfare concerns which may be affecting the member of research staff's ability to effectively perform in their role. In this instance, it is the responsibility of the reviewer to explain that it is important for the PI to be aware of any concerns so that they can work with the member of research staff to find a resolution or to put appropriate support in place. If the member of staff feels that they do not wish to speak to their PI about a particular issue then the reviewer should advise that they should discuss their concerns with their 2nd line manager (normally this would be a Head of Department).

It is also good practice for the reviewer and the member of research staff to agree to follow up on the PDR. This could be a brief formal six month review or an informal quarterly progress check – whatever is agreeable to both parties.

An example of what has worked well in some Schools is that the reviewer comes from the same research group / research division as the member of research staff so they have a good understanding of the issues currently facing them. Also that the reviewer reviews the same research staff year on year which provides for continuity.

As part of the PDR process, the PI can use the Research Staff Development Prompter to highlight activities the research staff can undertake to help them in their personal and career development. Research staff should also be encouraged to complete the Career Planning for Research Staff form to support their future career ambitions.

Rewarding staff

A range of rewards are available to staff employed at the University, including research staff. As a PI, you should be aware of the different ways in which you can reward your staff. The following table gives an overview of the different types of reward and the process of application. For more detail please follow the link to the Reward and Benefits page. These rewards are in addition to the relevant annual incremental payments.

Type of award	Criteria	Nomination	Considered by
Celebrating Success Vouchers (up to the value of £100)	Provides immediate recognition for a job well done, or for demonstration of positive professional behaviours.	Designated people in each School have access to the system to submit nominations. Please contact Claire Eckett, HR Manager (Reward and Benefits) for more information	Head of School
A one-off, lump sum award (normally a minimum of £250)	Rewards those who can demonstrate outstanding achievement or excellence of a short-term nature, which is worthy of particular note and reflecting the University's Values for Working Together and Professional Behaviours.	Anyone can submit a nomination using the on-line form: https://hrforms.reading.ac.uk	Head of School Awards of £1,500 or above also require approval by the Director of HR

Type of award	Criteria	Nomination	Considered by
Additional increment or a contribution point	To reflect excellent performance over and above the normal requirements of the role, sustained over a longer period of time, where there is a reasonable expectation to believe that it will continue to be so	Head of School, self nomination	University Reward Committees
Merit-based personal promotion (research staff Grade 6 - 7)	Sustained excellence and outstanding performance	Head of School	University Reward Committees and Central Panel

Criteria for promotion for research staff – Grade 6 to 7

Promotion proposals for research staff from Grade 6 to Grade 7 should focus on the criteria outlined below. In particular, the proposal should detail the ways in which the member of research staff has demonstrated independence as a researcher.

- Research staff will have demonstrated a degree of independence as a researcher and be expected to make significant contributions to the writing of grant proposals;
- Research staff will be making significant contributions to research outputs of international quality and will contribute to gaining substantial external research funds;
- Research staff who are being put forward for promotion to Grade 7 are normally expected to have demonstrated skills/capability in relation to managing research projects and supervising teams, including other researchers, technicians, clerical staff and research students, providing expert advice and guidance;
- Research staff may be expected to make a significant and sustained contribution to strategic developments in science or other disciplines of national/international importance.

Please see the Rewarding Staff webpage for more details and the application forms.

Grant Terms of Reference - Learning and Development Time

Many grant awarding bodies specify in their terms and conditions that they require the University to allow time for career and personal development. For example, the following is taken from the Terms and Conditions of the Research Councils UK:

"The Research Organisation must assume full responsibility for staff funded from the grant and, in consequence, accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship. The Research Organisation must provide research staff with a statement, at the outset of their employment, setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities."

You should therefore ensure that this provision is built into your project proposal and its funding and that the time is allowed as the project develops.

Ongoing development, training and career development planning

The variety of development and training opportunities for research staff provided by the University is shown in *Appendix B*. The Concordat states that PIs should encourage research staff to participate in training programmes in the areas of career management and development as well as those courses pertinent to the research project they have been employed to work on.

All PIs should enable research staff to spend some time each year on personal and professional development and support them by allocating dedicated time for this purpose within work plans. Any courses attended or development activities may form part of their continuous professional development plan (CPD) if the research staff are part of a professional body.   PIs play a very important role in helping research staff to think how they can embed new knowledge and skills into their daily work through enabling them to practice new skills and providing feedback on their progress.

The Careers Advisory Service also offers a service for research staff where they can discuss their career development plans with a professional advisor who specialises in advising on research careers. Details of this service can be found by following the links from **www.careers.reading.ac.uk/postgrad**

Researcher Development Framework

Vitae is the UK awarding body for the Human Resources Excellence in Research (HRER) Award. They have developed the Research Development Framework (RDF), which describes the knowledge, behaviour and attributes of successful researchers. It is a useful point of reference for developing career and personal development plans.

Representation of Research Staff at the University

There is a Research Staff Committee (RSC) which is chaired and run by research staff. The Chair of this Committee sits on formal monthly meetings of the University Research Committee to represent the views and concerns of research staff from all areas of the University. It is also an opportunity for members of the University Research Committee to share information which is relevant to research staff. PIs should encourage and support research staff who wish to be part of the Committee as it can support their broader career development.

Research Travel Grant

The Research Travel Grant (RTG) Fund was established as part of the Research Endowment Trust Fund (RETF) to support the travel and registration costs associated with the dissemination of research outcomes at international events and conferences.

Every year, the RTG fund assists hundreds of UoR staff and students to present their research around the world, enhancing both their own careers and the reputation of the University. The University's Research Travel Grant Sub-Committee oversees the scheme and meets once a term. Grants are **not** available for field visits; for visiting libraries, museums, laboratories and other centres in the pursuit of research; obtaining copies of research material or special translations; for payment of secretarial or research assistants, or for purposes concerned primarily with teaching activities. Full information can be found on the web page for the **Research Travel Grant Sub-Committee**; you will need to input your University username and password to access this page.

How PIs are supporting research staff

The following examples show how PIs are supporting research staff within the University:

- encourage research staff to present their research at weekly research seminars in Schools with the PI attending
- invite industry practitioners to hear research staff present the findings of their research
- arrange reading clubs for research staff where central texts on the subject are discussed
- arrange seminars on subjects such as career development, how to constructively read a research paper
- organise an annual research day attended by all departmental staff where research staff and PhD students present aspects of their research in symposiums and poster sessions.
- ensure that they provide due credit to their research staff when they publish the results of their research or assess the impact of the research. For example, include research staff as a co-author of research outputs, allow research staff to present a conference paper on the research, represent the research team at meetings and attend meetings with sponsors etc
- allocate some tasks to easily gained, short-term staff for example, UROP students, Masters project students, MSc by Research students and interns, such as coding video records and data entry. This allows research staff to focus on the activities that require their skillset.

HR Policies and Procedures for Managing Research Staff

The HR policies and procedures are applicable to all staff who work at the University, including research staff. The following is a summary of some of the key policies, however, you should read each policy to ensure you are familiar with your responsibilities. You can seek further advice in relation to any of the policies or procedures (or even which one is most appropriate given the matter you need to respond to/deal with) from the HR Partner or HR Advisor for your School.

Disciplinary procedure

This procedure is used for the following situations:

- cases of alleged unsatisfactory conduct at work;
- cases of unsatisfactory behaviour or work performance if it is wilful or caused by carelessness;

If you are considering using the disciplinary procedure, even the informal stages, it is important to distinguish between issues in relation to misconduct, covered by the Disciplinary Procedure and issues in relation to ill health or poor performance. The HR Partner or HR Adviser for your School will support managers to deal with discipline and performance issues, their advice should always be sought at an early stage.

Management of performance and / or ill health

There may be times when research staff have difficulty in achieving the performance standards required in their job (more of a "cannot do" rather than "will not do"), in which case it is important to understand why this is. For example, is it as a result of suffering an illness or accident or has the job changed to such an extent that they no longer have the required skills or aptitude for the role. In this instance, it is important to determine at an early stage whether it is more appropriate to manage the individual using the Ill Health Procedure or the Performance Management Procedure to provide the right level of support and/or to encourage improvement.

If there is a combination of poor performance and misconduct (e.g. inappropriate behaviour) then this would normally be dealt with under the disciplinary procedure.

The Performance Management Procedure should not be used during the probationary period – the probationary procedure would apply in that instance.

The HR Partner or HR Adviser for your School will be able to advise and support you in dealing with often complex situations; their advice should always be sought at an early stage.

Paid and unpaid leave entitlements

There are a number of types of leave which may apply to research staff during their employment with the University. Examples are listed below with links for more information on the HR webpages.

Family Leave
- Maternity Leave
- Adoption Leave
- Shared Parental Leave
- Childbirth/adoption support leave (formerly paternity leave)
- Parental Leave

Planned Leave

- Annual Leave
- Study Leave
- Jury Service
- Personal Appointments (attending a planned G.P or specialist appointment)
- Trade Union duties and activities
- Voluntary public duties (e.g. School Governor)
- Volunteer Reserve Service (e.g. Territorial Army)

Unplanned Leave

- Sickness Leave
- Compassionate Leave
- Emergency leave for dependents
- Other domestic emergency
- Personal Appointments (e.g. attending a G.P in an emergency)
- Transport problems

Well-being support

The University has a strong commitment to employee health and wellbeing (read the University's **Employee Health and Wellbeing Policy Statement**).

It is committed to creating a workplace that embraces flexibility and gives you the best opportunities to manage your time and commitments and to ensure that you are healthy and happy at work.

 Colleagues from the HR team work closely with colleagues in Occupational Health, People Development, and Health and Safety Services, to develop appropriate and up-to-date guidance and support for managers and employees to promote and enhance employee health and well-being.

The University has excellent sporting and recreational facilities available to all staff at **Sportspark** to help staff keep fit and healthy.

Employee Assistance Programme (EAP)

The University provides an Employee Assistance Programme (EAP), called Confidential Care, as part of our health and well-being strategy to provide a supportive and healthy environment for staff.

Confidential Care gives staff a place to turn for support any time of day or night, 365 days a year. Support is available for whatever issues staff might be facing, including work stress, depression, marriage and relationship issues, legal concerns, coping with change, parenting issues, financial problems, health issues and much more.
It also offers a comprehensive wellbeing resource "well online", which offers information and advice to help you optimise your health and wellbeing.

Confidential Care is independent, free and completely confidential, providing a comprehensive range of support and advice services to staff including:
- Health and wellbeing advice and information
- Telephone counselling
- Face to face counselling
- Counselling & emotional support
- Everyday matters
- Debt & financial management
- Legal and tax advice
- Family care
- A website with information, self-help guides and factsheets on a broad range of issues.

Research staff can access the service 24/7 by phone on 0800 085 1376.

When staff call the helpline they will be asked to identify their employer. Alternatively, staff can visit the website **www.well-online.co.uk**. The username is: URlogin and the password is: wellbeing.

Experienced, professional counsellors are available to listen to staff concerns, determine appropriate resources, and then help them take the next steps. All counsellors are fully accredited by the British Association for Counselling and Psychotherapy (BACP).

If you have concerns about the health and well-being of your research staff, please contact the **HR Partner/Advisor** for your School to discuss what may be options to consider in supporting them.

Health and safety

PIs have a duty of care for your research staff, are responsible for carrying our risk assessments, managing Health and Safety (H&S) and for ensuring that University policies and Codes of Practices on H&S are followed.

H&S information for University staff

There are other H&S considerations that PIs should be aware of in relation to safe practices for yourself and your research staff. In particular, PIs must follow the guidelines and seek approval of projects involving the use of human or animal tissue, biofluids, biological agents, genetic modification, ionising radiations (including naturally occurring radioactive materials) and some types of lasers. Further information on these areas is available at the H&S Services website. Also the PIs can contact the Biological and Scientific Safety Advisor for advice (safety@reading.ac.uk).
Some useful links:

Welcome to H&S Services

Biological Safety in University Laboratories

[Radiation Safety](#)

[Safety Code of Practice: Genetic Modification](#)

[Safety Code of Practice: User guide to safe use of lasers](#)

[H&S Code of Practice 48: Hazardous Waste](#)

Sustainability

The University's Sustainability vision is to be:
"…a leader in reducing its impacts on the local as well as global environment, by embedding a culture of sustainability throughout its teaching, research and operations."
The University has several challenging environmental targets to be achieved by 2021:
* 45% carbon reduction
* 60% recycling rate
* 83% sustainable travel
* 35% reduction in water use

Research can have a significant role in reducing the University's environmental impact, and the following areas need to be considered from start to end throughout research planning, implementation and conclusion.

Waste and hazardous substance
The production and treatment of waste has a negative environmental impact. You should ensure you and your research staff plan ahead to reduce use of hazardous substances and minimise the production of waste where possible. The University has an internal waste disposal service which all staff should use, in accordance with the [Waste Recharge Policy](#). More information on waste disposal procedures, re-use and recycling can be found on the [Sustainability Services website](#). Please contact waste@reading.ac.uk if you would like advice.

Water and energy
If you are undertaking laboratory research, small actions can result in significant energy reductions such as shutting the sash of fume cupboards or using the full capacity of freezers. Sustainability Services can provide advice on how to minimise the energy and carbon impact of your research. In some cases, they can provide funding to support the purchase of more efficient equipment.

Travel
National and international collaboration and travel is recognised as a critical and necessary part of research. There are ways you can help minimise the environmental impact of travel:
* Reduce the number of trips you make. For each potential trip, consider the need to travel at all or whether alternatives such as videoconferencing suffice. All University staff have access to Skype for Business which offers a wide range of facilities include videoconferencing, telephone conferencing and screen sharing from your desk or other computer.
* When travelling within Europe consider lower carbon alternatives such as the train.
* Take the lowest class of travel – increasing class, e.g. premium, business or first class, can double the associated carbon emissions as it takes more space.
* Follow the guidance in the current Travel and Expenses Policy.
* For national travel please consider public transport or car sharing.
* Ensure expenses claims have the correct account codes and provide sufficient information to enable us to monitor travel on university business separately from records on accommodation whilst on University business.

Sustainable procurement

The University aims to ensure that sustainability is an embedded part of the University's procurement process. Please consider the environmental impact of the products and services you procure, as well as the operational impact of equipment. Although more basic models of equipment may be cheaper to buy, they may cost more to run in the longer term (as well as potentially having a greater environmental impact). The University has a re-use portal (Warp-it) where you can acquire surplus items from elsewhere in the University. Re-use of equipment and supplies helps to lower the environmental impact of the University's operations (more information here), as well as being more cost efficient for budget holders who can acquire items at low or no cost.

Environmental compliance

There is a wide range of environmental legislation which is applicable to the operations of the University, including to research. The University's Environmental Management System supports the University in maintaining legal compliance, however it is important that you are aware of specific environmental legislation that is applicable to your research activities. Examples may include (but are not limited to) the Control of Pesticides Regulations 1986, The Environmental Permitting (England and Wales) Regulations 2016, waste legislation, The Plant Health (England) Order 2015 or The Animal By-Products (Enforcement) (England) Regulations 2013. Environmental legislation updates are available on the Sustainability Services website, however for further assistance please contact sustainability@reading.ac.uk.

Environmental incidents

An environmental incident is an event that may cause harm or potential harm to an environmental receptor e.g. air, water, land, wildlife or local habitat. Examples include air pollution, chemical spills, oil spills, flytipping, black smoke or waste issues. A Health and Safety incident can also have the potential to be an environmental incident as well. They can happen anywhere on or off campus, including inside buildings. On Whiteknights Campus we have to be especially aware of anything which could impact the lake, and at Greenland's Campus of anything which could impact the River Thames.

If you witness an environmental incident (e.g. a fuel leak, chemical spill, dark smoke etc) please call the Estates and Facilities Helpdesk (x7000) during working hours, or Security (x6300) out of hours. If in doubt, contact the Sustainability Office on x6837/x6968.

If you are reporting an incident via the H&S online form, and you think it also presents an environmental risk, please indicate this on the H&S incident form.

Environmental Incidents are investigated by Sustainability Services to ensure that measures are put in place to prevent reoccurrence. Depending on the nature of the incident, the University could face prosecution, fines and reputational damage.

Technical Services

Technical Services provide valuable support to your research project through routine testing and analysis of materials, samples or data and ensuring equipment is functioning. You should ensure that you and your research staff are familiar with and abide by the Technical Services Partnership Agreement.

Research Ethics

All research raises ethical issues. Some research cannot be carried out by members of this University without the approval of the Research Ethics Committee. The following link provides information that all research staff need to aware of in relation to following the correct procedures and complying with data protection requirements.

Research Ethics Guidelines

The University Code of Good Practice in Research

Depositing research outputs

There is a requirement for all academic staff to comply with the University's policy on depositing research outputs in the Institutional Repository, CentAUR. You should ensure that you and you research staff comply with the policy:
http://centaur.reading.ac.uk/55813/2/Publications_policy%5B1%5D_update%20Jan%202016.pdf

A checklist for all new research staff is available on the Library webpage.

End of Research Project / Contract of Employment

There is an expectation that at the end of the project if there is any continuation of the research then the research staff should be involved through the submission of a second grant application and in that application they would be credited as being its 'co-author'. The University has specific legal duties with regard to the termination of fixed term contracts of employment therefore it is recommended that you pay particular attention to complying with your role in the following process:

Four months prior to the expiry date of a fixed term contract HR will write to the Head of School seeking confirmation of the non-renewal or otherwise, of the fixed term appointment.

HR will then write to the individual to confirm the prospective end date of the contract and their right of appeal against the non-renewal of their contract. Any appeal will be to the Director of HR. The letter will also confirm any entitlement to a statutory redundancy payment – this is a legal entitlement for anyone who is employed continuously by the same employer for two years or more where their role comes to an end.

Research staff whose contracts may be coming to an end can register for Jobalerts, which will make them aware of any jobs they may have interest in which are advertised on the University's website. The member of staff can set the parameters of the alerts e.g. grade of role, key words.

Useful contacts

University of Reading

Human Resources
www.reading.ac.uk/humanresources
humanresources@reading.ac.uk
+ 44 (0)118 378 8751

People Development
www.reading.ac.uk/peopledevelopment
peopledevelopment@reading.ac.uk
+ 44 (0) 118 378 6113

Careers Advisory Service
www.reading.ac.uk/careers/staff/researchers.asp
careers@reading.ac.uk
+ 44 (0) 118 378 8359

External contacts

Vitae - Researcher Development Framework
https://www.vitae.ac.uk/

Research Councils
www.rcuk.ac.uk/index.asp

The European Charter for Researchers PDF download
europa.eu.int/eracareers/pdf/am509774CEE_EN_E4.pdf

Universities UK
www.universitiesuk.ac.uk

Research Careers Initiative
www.universitiesuk.ac.uk/activities/rci.asp

The Leadership Foundation
www.lfhe.ac.uk

Association of Researchers in Medicine and Science
www.hope-academic.org.uk/arms/arms.html

Higher Education Funding Council for England
www.hefce.ac.uk/

Universities Superannuation Scheme web site
www.usshq.co.uk/

Appendix A

Principles of the Concordat to Support the Career Development of Researchers

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

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

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

Principle 4: The importance of researchers' personal and career development, and lifelong learning, is clearly recognised and promoted at all stages of their career

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

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

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

Appendix B

Development opportunities for Research Staff

Learning and development can arise from a variety of opportunities; not just attending training courses. Examples of opportunities to develop skills include:

- A new challenge or responsibility
- Acting as a reviewer/ examiner
- Attending and presenting at conferences
- Coaching
- Giving new presentations
- In-house informal discussions/seminars
- Internal and external committee work
- Job/task/role rotation
- Joining or creating a network of contacts
- Lab Demonstration
- Mentoring
- Observation, peer review
- Organising a consultation exercise or gathering systematic feedback
- Organising events
- Planned or guided reading
- Representing the School or University in a wider context
- Review, evaluation or audit activities
- Secondments
- Supervising others
- Team activities
- Temporary membership of a working party
- Time set aside for self-paced learning
- Training or inducting new staff
- Tutoring of or by peers
- Visits

Development courses for Research Staff

- Costing for Research Proposals
- Writing a Data Management Plan
- Research Data Management: an Introduction
- Research Data Management Surgery
- Using Social Media to Communicate and Enhance your Research
- Communicating your Research: Five Simple Ideas
- Overview of Research Funding
- Introduction to Writing Successful Grant Proposals
- Stakeholder Mapping
- Scholarly publishing: requirements and opportunities
- CentAUR, REF & Funders' Open Access Policies for Publication
- CentAUR and Open Access Surgery
- ORCiD Identifiers
- Introduction to Altmetric Explorer
- Introduction to Bibliometrics
- Introduction to SciVal Research Intelligence Tool

- Managing your Digital Researcher Identity
- Research Impact
- How to Write a Policy Brief
- Engaging with Policymakers
- Writing for Non-academic Audiences
- Researchfish
- Presenting Yourself at Interviews
- Moving to a University Lectureship
- Moving towards a career in industry

Appendix C

Checklist to cover with research staff

1. The objectives and important milestones of the project
   Provide a copy of the project proposal containing a complete description of the project, its objectives, proposed methods and timelines

2. Your responsibilities within the project
   Explain their role and what's expected of them during the research project, how this will be reviewed and who by

3. Other people's responsibilities within the project
   Who else is involved in delivering the project, including other research staff and support from PhD students, technical staff and research functions

4. Expectations and targets associated with probation
   Explain their role and what's expected of them during their probationary period, how this will be reviewed and who by. What happens at the end of the probationary period

5. Reviewing my progress and the PDR process
   Explain how their progress against their targets will be reviewed and who by. The Performance and Development Review (PDR) process and who carries it out

6. Arranging a mentor
   Ensure that a mentor is allocated from within the school to provide support and guidance to help them settle into their role as smoothly as possible.

7. Targets for publication and the publication plan
   The process and timescales for publication including which journals and compliance with the University of Reading publication guidelines

8. The procedure for establishing the order of names in the authorship of papers and other publications
   Clarification of how credit is provided towards the research

9. Opportunities for supervision and teaching
   Explanation of any opportunities to supervise and / or teach within the School, for example for PhD students

10. The time available for personal and professional development on a yearly basis
    Explanation of the time allocated within the grant conditions for personal development and how you will support this

11. Research Development Framework from Vitae
    Explanation of the key attributes of a successful researcher, as shown on the Researcher Development Framework, which they can use to formulate a development plan.
    www.vitae.ac.uk

12. Learning and Development opportunities
    Range of research specific and career development opportunities provided by the University.
    Research staff development

13. Career Development Plan
    Explanation of the form to help them plan career development activities

14. Research Staff Committee
    How the interests of research staff are represented by the Research Staff Committee
    [Research Staff Committee](#)

15. Criteria for promotion for research staff from grade 6 to grade 7
    Explanation of the promotion process and criteria

16. Research Travel Grant
    Explanation of funding that can be applied for to support the travel and registration costs associated with the dissemination of research 'outcomes' at international events and conferences.
    [Research Travel Grant Sub-Committee](#); you will need to input your University username and password to access this page

17. HR considerations
    Explanation of the HR policies and guidelines that are relevant for providing a supportive working environment, including the Employee Assistance Programme and the University's commitment to well being

18. Health and Safety considerations
    Explanation of the H&S policies and guidelines that are relevant for providing a safe working environment

19. Sustainability
    Explanation of the University's sustainability vision and the ways in which you can work to contribute to this vision

20. Research Ethics
    Explanation of the role of the Research Ethics Committee and the associated compliance guidelines

21. Research outputs
    Explanation of CentAUR, the Institutional Repository for depositing research outputs

22. End of research project
    Explanation of what you can expect to happen towards the end of the research contract