

Code of Practice and Checklists for the Career Management and Development of Contract Research Staff



HR EXCELLENCE IN RESEARCH

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1 Introduction

Welcome to Goldsmiths! You will be receiving this booklet as part of your contract pack as a means of introducing our *Code of Practice for the Career Management and Development of Contract Research Staff*.

Researchers are vital to the future of a research-intensive university like Goldsmiths and we aim to provide good career development support for all levels of research staff and particularly our upcoming generation of researchers who will build on what has already been achieved. The career trajectory of a researcher can be precarious at times, particularly in the early years post-PhD, and the Code of Practice was designed to support researchers in their careers at Goldsmiths.

In September 2012, we were awarded the EU HR Excellence in Research Award¹ and we have retained this after our internal audit (January 2015). This award demonstrates a commitment to establishing the conditions required to maintain the researcher career as an attractive career path. In the UK, the UK Research Councils developed the Concordat to Support the Career Development of Researchers² and Vitae, who manage the award process in the UK, have agreed with the EU that meeting the requirements of this Concordat and those for research degrees set out in the UK QAA Quality Code³ is equivalent to implementing the principles of the European Charter and Code.

Our Code of Practice for the Career Management and Development of Contract Research Staff

This Code of Practice and the checklists are the key documents in our delivery of the Concordat and these included in this booklet. The code and checklists were developed by members of Goldsmiths' Concordat Implementation Group.

Introducing the Concordat Implementation Group [CIG]

The CIG, which reports to the Research & Enterprise Committee, is responsible for managing the implementation of the Concordat. This group made the successful award application in 2012 and two of its members Vanessa Freeman and Dr Vicky Williamson developed the Code of Practice, with further work on implementation by Amy Fancourt.

The current CIG, made up of representatives of from academic, research, departmental administration, and professional staff groups, is chaired by Professor Janis Jefferies and our action plan for the next 2 years can be viewed at: <http://www.gold.ac.uk/research/researchstaff/>.

¹ The European Union launched the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers in 2005 in recognition of the importance of researchers' contributions to the future of the wealth and wellbeing of countries in the Union and to define and establish the conditions required to maintain this as an attractive career path. The consequent Human Resources Strategy for Researchers (HRS4R) included a 5-step implementation process for institutions to gain the 'HR Excellence in Research' Award. 205 European organisations (91 in the UK) currently hold the Award; success in meeting the standards of the code is assessed both by internal (2 years after the award) and external audit (4 years after the award). Vitae manages the award process in the UK.

² <https://www.vitae.ac.uk/policy/concordat-to-support-the-career-development-of-researchers>

³ <http://www.qaa.ac.uk/publications/information-and-guidance>

2 Code of Practice for the Career Management and Development of Contract Research Staff

(A) TERMINOLOGY

'Research staff' and 'researchers' are terms used here to refer to individuals employed by Goldsmiths on fixed-term contracts with the principal responsibilities of carrying out research projects, often supported by grants from external funding bodies.

They report to and are supervised by their **research manager**, who will typically be the member of academic staff who has been awarded and is responsible for the grant on which the researcher is employed. In cases where the researcher is funded directly (for example if they have been awarded a personal Research Fellowship), the Head of the academic department in which they are based will either be their line manager or will appoint another member of staff to take on this role.

All new research staff will additionally have a designated **mentor**: this is a different member of staff (ie not the research manager) to whom the researcher can turn for general advice and guidance. The mentor may be a permanent member of academic staff or another more experienced researcher.

(B) OVERVIEW AND GUIDING PRINCIPLES

Goldsmiths values the contribution of all research staff to the university and is committed to supporting their professional development. We recognise that while their primary role is to complete a specific research project, they need to be provided with opportunities to develop a range of transferable skills that will not only equip them for their project-related work but also enhance their future employment prospects and career development.

This Code of Practice sets out the university's policies and systems designed to structure and support the way in which research staff are employed and supported in their career development. It offers guidance to such staff and their managers, and draws on recommendations for good practice articulated in the *Concordat on Contract Research Staff Career Management*⁴ and the HM Treasury *Roberts Report (2002)*⁵.

The Code is premised on a number of underpinning beliefs and principles, some already enshrined in other existing Goldsmiths practices.

- Goldsmiths is committed to promoting equality of opportunity and to diversity, and operates a fair and effective selection policy that seeks to recruit the best researcher for every project.⁶
- We have a responsibility to support our research staff in becoming adaptable and proactive within the contemporary global research environment.
- We seek to develop and strengthen an organisational culture in which there is shared responsibility for researcher support and development.
- The ambitions and development needs of research staff are diverse, reflecting differences between disciplines, projects, and individuals. It is therefore essential that whilst support for career development is provided consistently for all research staff, there is sufficient flexibility in processes and systems for it to be appropriately tailored to individual circumstances.
- Full-time research staff are entitled to at least 5 days of training and development per year (or equivalent *pro rata*). This may take varied forms including, for instance, participation in

⁴ <http://www.researchconcordat.ac.uk/>

⁵ http://webarchive.nationalarchives.gov.uk/+http://www.hm-treasury.gov.uk/ent_res_roberts.htm

⁶ <http://www.gold.ac.uk/media/equality-objectives.pdf>

workshops, courses, conferences or seminars run within or outside the university, and training in specific research skills from members of the project team.

(C) **RESPONSIBILITIES**

Support for the development of research staff at Goldsmiths is inherently collaborative.

Research Staff themselves are responsible for:

- Seeking clarity about their role and responsibilities within the research project, requesting regular feedback from their research manager on their performance, and discussing any problems as early as possible.
- Continuously reflecting on and articulating personal career ambitions, and for seeking appropriate training and developmental opportunities. This includes initiating discussions with their manager about possible future positions either within the university or elsewhere.

Research Managers are responsible for:

- Undertaking appropriate training in management skills and practices. A range of such opportunities is provided through Staff Development, HR and the Research Office.
- Ensuring that whilst the objectives of the research project are met, the time of the research staff is structured to enable them to access appropriate training and development opportunities.
- Meeting with the researcher regularly from the outset, initially to induct them into the project and organisation and subsequently to provide regular feedback, formal appraisal (see “Performance and Development Review” below), and discussion concerning funding issues and future employment options.
- Ensuring that research staff are appropriately acknowledged and credited for their contributions, in accordance with the College’s Policy on Intellectual Property Rights [IPR].⁷

The academic department in which the researcher is based is responsible for:

- Providing a departmental induction programme and for assigning new researchers a mentor.
- Involving research staff in the wider activities of the department, eg through representation on committees, participation in seminars, or membership of working groups.
- Implementing systems and processes to ensure that researchers receive information about relevant development opportunities that are open to them.
- Encouraging research managers to extend their management skills through available training and development opportunities.

The University’s management and professional services teams are responsible for:

- Inviting newly appointed researchers to attend one of the University’s induction sessions which are run 3 times a year.
- Through the Research & Enterprise Committee [REC] and Concordat Implementation Group [CIG], which reports to REC, monitoring the effective provision of career development support to researchers.
- Providing guidance to research staff via the Research Office.
- Providing support for researcher recruitment, training and development, and contractual issues through Human Resources.

⁷ <http://www.gold.ac.uk/governance/generalregulations/intellectualproperty/>

- Ensuring that research staff have access to advice and events offered by the Careers Service and the Careers Information Library.

Implementation of the responsibilities within the Code of Practice is supported by 2 action checklists for research staff and research managers respectively.

(D) EMPLOYMENT OF RESEARCH STAFF

Creating and making appointments to new research posts

- Applications for grants to employ researchers should normally include time and resources to provide training and development activities. As previously noted, researchers should receive a minimum of 5 days per year of appropriate training; this may take a variety of forms.
- Principal Investigators/research managers are expected to undertake training in recruitment and selection procedures, including in relation to equality and diversity issues, available through HR.
- Research staff are entitled to the same conditions of service as other university staff. These will be set out in a formal written contract specifying the main terms and conditions including salary details, duration of appointment, and other standard particulars of employment.⁸
- Contracts are always issued in advance of the employee's start date unless there are exceptional circumstances. They must be signed in order for payment of salary to commence.
- All new staff whose contract is for 12 months' duration or more will be subject to a standard 1-year probation period.⁹
- All new research staff will have access to a health assessment: after they receive and accept an offer of employment they will be invited to complete a confidential questionnaire and return it to the Occupational Health Nurse.

Researcher job roles and career progression

Research staff are appointed and paid at a range of grades which progress in level, reflecting the complexity and demand of the work they are required to undertake. Each grade is associated with a pay "band" within which there are several spine points; in general, the researcher will progress by 1 spine point each year until s/he reaches the uppermost point within their pay band. Progression to the next grade can only occur if there is a change to the post itself (ie the job description becomes more complex).

The table below gives a brief overview of the competencies and responsibilities ('role descriptors') typically associated with each grade, and indicates the associated job title.

When a new research post is created, the job description is compared against these role descriptors and it is assigned the appropriate grade. The grade and contractual title are specified in the letter setting out the job offer. It is important to note that in practice the postholder may, with the agreement of his/her manager, use a title other than those shown in the table below. This may vary depending on factors such as the nature of their funding or the particular types of work they are carrying out.

⁸ <https://goldmine.gold.ac.uk/PoliciesForms...written-statement-of-particulars-of-employment.pdf>

⁹ <https://goldmine.gold.ac.uk/PoliciesForms/Documents/Working at Goldsmiths/HR/probation-policy.pdf>

Grade	Pay Band (Spine Points)	Job title specified in contract	Role descriptors
ESR1	4 (18-22)	Early Stage Researcher 1	Undertake basic research. The role does not required any teaching and learning, or line management responsibility.
ESR2	5 (22-27)	Early Stage Researcher 2	Undertake basic research and contribute to the production of research publications. The role may require some supervised contribution to undergraduate teaching and learning, but does not involve any line management responsibility.
RA1B	6 (27-30)	Research Assistant	Undertake basic research and contribute to the production of research publications. Responsibilities may include providing guidance to support staff and students, presenting research progress to steering groups, and contributing to introductory undergraduate courses.
RA1A	7 (32-36)	Senior Research Assistant, or, Research Associate	Develop research objectives and proposals and conduct both individual and collaborative research projects. Responsibilities can include writing research for publication, individual research and administrative management, supervision of student projects, and communications with both internal and external networks.
RA2	8 (38-43)	Research Fellow	Develop research objectives and proposals and conduct both individual and collaborative research projects. Responsibilities can include contributing to teaching and learning programmes, supervising postgraduate research students, coordinating research programmes, and mentoring colleagues.
RA3	9 (45-49)	Senior Research Fellow, or, Professorial Fellow	Contribute to department research strategy and generate new research approaches. Responsibilities can include supervising postgraduate work, acting as a principle investigator, contributing to external assessment and quality control, and chairing international committees.

(E) PERFORMANCE AND DEVELOPMENT REVIEW [PDR]

Goldsmiths procedures for annual PDR will apply in full to all research staff who are employed on contracts lasting for at least 12 months. If staff are on shorter contracts, the types of meeting set out below should nevertheless be conducted at appropriate points.

PDR meetings should be used, among other purposes, to consider career development issues and priorities, and to identify appropriate training opportunities. As noted previously, the researcher has personal responsibility for seeking out and taking up appropriate training and development opportunities. Guidance on good practice for carrying out one-to-one meetings is available through Staff Development and HR. A copy of the current form is in the Appendix.

Some key points:

- PDR will normally be conducted by the research manager, who is the person responsible for the conduct of the project and for ensuring effective work by those employed on it. S/he will also

have the best oversight of the abilities and needs of the researcher, and of how development activities can most appropriately be structured and delivered.¹⁰

- Within the first 3 weeks of a researcher's employment, their research manager should meet with them to discuss career development and training needs, articulating a personal development plan for the first year or the duration of the contract (whichever period is the shorter).
- Given the diversity in the individual training and development needs of research staff, PDR discussions should form the basis for identifying and sourcing appropriate mechanisms for enabling an individual researcher to gain both specific and generic skills.
- Research staff enjoy the same access to university-based training and development resources/facilities as staff on permanent contracts. The Research Office website¹¹ provides links to information on the training and development opportunities offered centrally within Goldsmiths (relating for example to professional and generic skills, health and safety, and career management) as well as to information about funding opportunities and the Concordat.

(F) **APPROACHING THE END OF A CONTRACT**

Fixed term contracts mean that the post will terminate either:

- On a specified date
- On completion of a pre-specified task, or
- When a specified event happens.

Human Resources will notify the researcher when the end of his/her contract is approaching. The researcher should ensure that s/he has discussed with her/his research manager, as part of the PDR process outlined above, the availability of further funding linked to the project and/or other employment opportunities within or outside the College. Researchers seeking redeployment within the university have access to the internal vacancies listings.¹²

¹⁰ In the event that a researcher experiences difficulties in their working relationship with their research manager, or is concerned about their duties they are being required to carry out, s/he should raise these issues with the Head of Department. Alternatively s/he may seek advice from the Head of the Research Office. If the matter cannot be resolved through either of these routes then the researcher should contact Human Resources for further information on how to proceed.

¹¹ Currently: <http://www.gold.ac.uk/research/researchstaff/>; the site will move to the new intranet, GOLDMINE, after October 2015.

¹² <https://jobs.gold.ac.uk/internal/vacancies.html>

3 Checklist for Contract Researchers employed at Goldsmiths

This checklist has been created by the Concordat Implementation Group [CIG] to support your career development whilst you are working at Goldsmiths. It was designed to support the *Code of Practice for the Career Management and Development of Contract Research Staff*.

Below are general guidelines on things you can do during your contract that will help you successfully work in your current post and improve your future employment prospects.

Before you work through the checklist, here are some useful questions to consider:

- ✓ What do I want to get out of this experience at Goldsmiths? What can I do to accomplish this?
- ✓ Do I know where to go or who to talk to in order to learn about training and development opportunities at the university?
- ✓ Where do I see myself in 5-10 years' time? What do I need to do whilst I am here to get there?
- ✓ Do have a clear idea of what is expected of me in relation to my role in the research project?
- ✓ Do I have a clear idea of my responsibilities in my new department? Do I know the members of the administrative and technical support teams within my department?
- ✓ What support is available from Professional Services teams at Goldsmiths – such as the Staff Development team and the Research Office?

(A) During your first 3 months

No.	Action	Notes/observations	Date achieved
A1	<p>Attend a local induction session in your department on or near your start date.</p> <p>This should include items such as Health & Safety, IT equipment usage, meeting colleague (not just those on the project team), and your access to the local facilities. It will be helpful to get to know your Departmental administration team.</p>		
A2	<p>Meet the line manager on your research project (Principal Investigator or Research Manager).</p> <p>This meeting is to ensure that you have a clear idea about the requirements of the post. Where possible this should take place within your first 3 weeks in post.</p> <p>Discussion may include some or all of the following topics: access to professional development opportunities, how to participate in the mentoring programme, what is expected of you and what your expectations of the post are, and addressing any/all of your questions that have arisen since the start of your appointment.</p>		

No.	Action	Notes/observations	Date achieved
A3	<p>Attend one of the university induction sessions. The induction programme includes a welcome from members of senior management followed by an informal question and answer session. You will then meet representatives from key College services in our Knowledge Café and continue to network with colleagues over a buffet lunch. It's a great opportunity to feel part of the wider Goldsmiths community and to meet the people who can help you.</p> <p>Dates are published in the Staff Development calendar¹³ and you can use links in the calendar to book your place.</p>		
A4	<p>Visit the Research Office for “The Goldsmiths Researcher” meeting. During the meeting you will find out about the services the Research Office can provide; talk to the team about your research development needs; open a <i>ResearchProfessional</i> account giving you access to an online database of research funding opportunities and research news bulletins tailored to your specific interests.</p> <p>Email Karen Rumsey in the Research Office using k.rumsey@gold.ac.uk to make an appointment.</p>		
A5	<p>Meet your mentor. Your mentor will not be your project line manager. In your meeting you will discuss the type of support you would like and when you will meet and how you will communicate.</p>		
A6	<p>Find out what development opportunities are available by looking at the Learning & Development pages on Goldmine [update link]</p>		

¹³ [add link to Learning & Development pages on Goldmine]

(B) **Throughout the contract**

Review your progress from time-to-time to ensure you are developing your career as you'd hoped and planned. The checklist below will help remind you.

Some useful questions to consider:

- ✓ What have I done that might increase my employment prospects after this contract?
 - Attended any conferences?
 - Written or contributed to any publications?
 - Made any grant applications?
 - Conducted any teaching?
 - Collaborated with others?
 - Expanded my ICT skills?
 - Attended any College training?
 - Developed any transferable skills?

No.	Action	Notes/observations	Date achieved
B1	Probation review meetings with your line manager. Goldsmiths sets a standard 1-year probationary period for employees with contracts of 12 months' duration or more. The policy ¹⁴ requires mid- and end- of probation meetings to be held with your line manager. These meetings are an important part of reviewing your progress.		
B2	Arrange regular feedback meetings with your line manager throughout the project. Use these meetings to review your progress and your professional development. The meetings should be timed to suit your particular project. Where possible 2-3 specific objectives should be agreed and set at one meeting and reviewed at the next.		
B3	Annual Performance and Development Review (PDR) with your line manager. Staff whose contract extends beyond 12 months are entitled to an annual performance review once his/her probation has been completed. You should arrange a time to meet your line manager such that you have time to prepare a pre-PDR statement for your line manager to review prior to your one to one meeting. (Guidance and training will be provided by HR.)		

¹⁴ [add link to Probation Policy now on Goldmine]

No.	Action	Notes/observations	Date achieved
B4	<p>Continue to meet your mentor(s). Mentoring has been shown to be an effective aid to progress and you may need different mentors at different times so do review your mentoring needs regularly to ensure you are getting the most of it/them.</p>		
B5	<p>Take full advantage of any relevant courses and development opportunities on offer. Full-time staff are entitled to 5 days of training and development [CPD] per annum (or equivalent <i>pro rata</i>). This can take varied forms including participation in workshops, courses, conferences and specific technical skills training sessions led by members of the project team.</p> <p>Consider the skills and experience you need now and will need in the future and find ways to gain them. Check the Staff Development website for links to training and development sessions and discuss external training options with your line manager.</p> <p>Staff Development in liaison with the Research Office run an annual Research Professional Development session in October.</p> <p>Delegated tasks from your line manager can provide useful project management experience – discuss options for delegation in your regular meetings.</p>		
B6	<p>Develop your profile and build your reputation. Social networking sites such as LinkedIn¹⁵ and Academia.edu¹⁶ can be useful platforms to develop professional relationships. Create a business card.</p> <p>Join departmental committees to improve your knowledge of departmental management and be a good colleague.</p>		
B7	<p>Check your @gold.ac.uk email to keep in touch with Goldsmiths events. University-wide mailing lists will use your @gold.ac.uk email and keeping an eye on that account, if you use another email address, will keep you abreast of opportunities in the university.</p>		

¹⁵ <https://uk.linkedin.com/>

¹⁶ <http://www.academia.edu/>

(C) Towards the end of the contract

At about the point you enter the final third of the contract, you will need to start to consider your next post and this is a good time for you to review your progress so far and what you still need to achieve.

Some useful questions to consider:

- ✓ What sort of job am I looking for and do I have the required skills for it
- ✓ Do I know of all the relevant places to look for jobs?
- ✓ What advice can my line manager and/or mentor(s) give?
- ✓ Is my CV up-to-date and do I need to get feedback on it?
- ✓ Do I want to stay in the university sector and in this type of role?
- ✓ Are there development courses I can attend to help with my job search?

No.	Action	Notes/observations	Date achieved
C1	Talk to your line manager about your options. There may be the possibility of another contract on this project or a contract on another research project.		
C2	Apply for grant funding for your own project. The Research & Enterprise Office can offer technical advice and support on applying for funding in your own right. <i>ResearchProfessional</i> is a good source of information about funding opportunities and funding bodies generally have e-newsletters that you can sign up for to hear about their funding schemes and priorities.		
C3	Other posts at Goldsmiths. Jobs at Goldsmiths are advertised at https://jobs.gold.ac.uk/internal/vacancies.html (you need your campus log-in to access the list). There may be redeployment opportunities you can apply for too and these will be advertised on the same site.		
C4	Access online resources such as EURAXESS to find other opportunities in research EURAXESS - http://ec.europa.eu/euraxess/ - is the European Union's pan-European site covering job opportunities, country information, including Researcher Development information, and pensions.		

No.	Action	Notes/observations	Date achieved
C5	<p>Seek Careers advice</p> <p>Goldsmiths Careers Service can provide you with advice in developing your career as a researcher or identifying new career options. You can find out more about the services and how to book an appointment at https://goldmine.gold.ac.uk/AdviceInformation/academic-resources/our-careers-service.</p> <p>Goldsmiths has a subscription to Vitae, part of the Careers Research and Advisory Centre (CRAC), https://www.vitae.ac.uk/, and researchers can use their resources on the website and attend their events.</p>		
C6	<p>Participate in an exit interview</p> <p>An exit interview can give you an opportunity to review your progress in the post and also to pass on your observations to the management about your experience of working at Goldsmiths. Your insights are valuable and help improve the experience of other researchers.</p>		
C7	<p>Retaining links with Goldsmiths</p> <p>Staff are automatically given @alumni.gold.ac.uk email account.</p> <p>Researchers are asked to continue to deposit their work developed from their research at Goldsmiths in Goldsmiths Research Online (GRO), http://research.gold.ac.uk/.</p>		

4 Checklist for Researcher Managers/Supervisors employed at Goldsmiths

This checklist has been created by the Concordat Implementation Group (CIG) to help Principal Investigators and Research Managers to support the career development of research staff while they are working at Goldsmiths. It was designed to support and align with the *Code of Practice for the Career Management and Development of Contract Research Staff* and the associated *Checklist for Contract Researchers employed at Goldsmiths*. Below are the general guidelines on things you can do during the researcher's contract that will help them successfully work in their current post and improve their future employment prospects.

(A) During the first 3 months of the contract

There are some basic questions to consider in addition to items on the checklist below.

- ✓ Has the researcher received and signed his/her contract?
- ✓ Is s/he set up on Payroll?
- ✓ Have I discussed the aims and timeline of the project and set the short- as well as the long-term project objectives/goals?
- ✓ Does the researcher have a clear idea of what is expected of them in relation to his/her role in the research project?
- ✓ Does s/he have a clear idea of her/his responsibilities in the department?
- ✓ Has s/he been introduced to, or knows of, the key staff with the department?
- ✓ Have I encouraged him/her to engage with their own professional development and informed him/her of the resources available support in Staff Development and the Research Office?

No.	Action	Notes/observations	Date achieved
A1	<p>Arrange an initial “welcome” meeting to discuss the requirements of the post.</p> <p>This meeting should take place within the first 3 weeks of the researcher's start date if possible. Discussion could include: access to professional development opportunities, how to participate in the departmental mentoring programme, what is expected of the researcher and their expectations of the post, and addressing any initial questions the researcher has about his/her new role.</p>		
A2	<p>If s/he is new to Goldsmiths, ensure that s/he receives a local departmental induction on or near their start date.</p> <p>This should include items such as Health & Safety, IT equipment usage, meeting colleague (not just those on the project team), and your access to the local facilities. Your Departmental administration team can advise on this.</p>		

No.	Action	Notes/observations	Date achieved
A3	<p>Encourage him/her to attend one of the university induction sessions.</p> <p>The termly Goldsmiths Induction programme includes a welcome from members of senior management followed by an informal question and answer session. You will then meet representatives from key College services in our Knowledge Café and continue to network with colleagues over a buffet lunch. It's a great opportunity to feel part of the wider Goldsmiths community and to meet the people who can help you.</p> <p>Dates are published in the Staff Development calendar¹⁷.</p>		
A4	<p>Visit the Research Office for “The Goldsmiths Researcher” meeting.</p> <p>During the meeting you will find out about the services the Research Office can provide; talk to the team about your research development needs; open a <i>ResearchProfessional</i> account giving you access to an online database of research funding opportunities and research news bulletins tailored to your specific interests.</p> <p>Email Karen Rumsey in the Research Office using k.rumsey@gold.ac.uk to make an appointment.</p>		
A5	<p>Encourage him/her to meet with their departmental mentor.</p> <p>This may involve making the initial introduction between the two of them. The mentor may be a fellow researcher or another academic member of staff.</p>		
A6	<p>Encourage her/him to take responsibility for her/his own professional development.</p> <p>Full-time research staff are entitled to at least 5 days of training and development per year (or equivalent <i>pro rata</i>). This may take varied forms including, for instance, participation in workshops, courses, conferences or seminars run within or outside the university, and training in specific research skills from members of the project team.</p> <p>The Staff Development calendar¹⁸ has details and opportunities for training and development at Goldsmiths.</p>		

¹⁷ <https://goldmine.gold.ac.uk/Working/learning-and-development/at-a-glance-calendar>

¹⁸ <https://goldmine.gold.ac.uk/Working/learning-and-development/at-a-glance-calendar>

(B) **Throughout the contract**

The key requirement is to continue to be aware of the researcher's development needs and whether these are being met in addition to their progress as a participant in your research project.

No.	Action	Notes/observations	Date achieved
B1	<p>Arrange probation review meetings with your researcher. Goldsmiths sets a standard 1-year probationary period for employees with contracts of 12 months' duration or more. The policy¹⁹ requires mid- and end- of probation meetings to be held with your researchers. These meetings are an important part of reviewing his/her progress.</p>		
B2	<p>Arrange regular one-to-one feedback meetings with your researcher throughout the project. Use these meetings to review his/her progress and your professional development. The meetings should be timed to suit your particular project. Where possible 2-3 specific objectives should be agreed and set at one meeting and reviewed at the next.</p> <p>This meeting can also be used to update him/her on the funding situation for current projects and realistic future work prospects as the project progresses.</p>		
B3	<p>Annual Performance and Development Review (PDR) with your line manager. Staff whose contract extends beyond 12 months are entitled to an annual performance review once his/her probation has been completed. You should arrange a time to meet your line manager such that you have time to complete the form and your line manager to review it prior to your meeting.</p>		
B4	<p>Build time for professional development into the project. The Code of Practice sets a minimum of 5 days per year for a full-time researcher (or equivalent <i>pro rata</i>) and your researcher should be encouraged to select and attend appropriate training sessions. This may take varied forms including, for instance, participation in workshops, courses, conferences or seminars run within or outside the university, and training in specific research skills from members of the project team.</p>		

¹⁹ [add link to Probation Policy now on Goldmine]

(C) Towards the end of the contract

At about the point your researcher enters the final third of the contract, you will need to encourage and support your researcher in making their career move. Goldsmiths Careers Service²⁰ can provide career counselling and you may be able to advise on opportunities with other colleagues both in- and out-side of Goldsmiths.

No.	Action	Notes/observations	Date achieved
C1	<p>Talk to your researcher about the potential of another contract.</p> <p>There may be the possibility of another contract on this project or a contract on another research project. If it is unlikely that further funding will be available then make every effort to inform the researcher as soon as possible in order to allow them time to plan for their next career move.</p>		
C2	<p>Encourage and support the researcher to check the staff job pool.</p> <p>Jobs at Goldsmiths are advertised at https://jobs.gold.ac.uk/internal/vacancies.html (you need your campus log-in to access the list). There may be redeployment opportunities too and these will be advertised on the same site.</p>		
C3	<p>Encourage and support her/him to apply for funding in their own right or follow-on grants.</p> <p>Allowing time within the project and assistance in terms of checking applications/CVs and offering to write references would be invaluable as a means of supporting her/him to apply for funding.</p> <p>The Research & Enterprise Office can offer technical advice and support on applying for funding in your own right.</p> <p><i>ResearchProfessional</i> is a good source of information about funding opportunities and funding bodies generally have e-newsletters that you can sign up for to hear about their funding schemes and priorities.</p>		
C4	<p>Complete an exit review meeting.</p> <p>Conducting an exit review meeting with the researcher (and HR if relevant) can be very helpful to understand and learn from their experiences in this post.</p>		

²⁰ <https://goldmine.gold.ac.uk/AdviceInformation/academic-resources/our-careers-service>

5 Appendix: PDR policy (as at Sept 2016)

Please note: the policy and documentation for this are being reviewed currently and updated versions may be available so please check Goldmine for the most current version.

PERFORMANCE AND DEVELOPMENT REVIEW (PDR) POLICY

Equality and Diversity

This Policy will be applied in a non-discriminatory way, irrespective of an employee's age, disability, gender, gender identity, gender reassignment, race, religion or belief or sexual orientation.

Accessibility

If you require any document in an alternative format, for example, in larger print, please contact HR.

Purpose

1. Goldsmiths is committed to achieving high levels of performance in research, teaching and learning, leadership and management and administration and support service delivery, through valuing and developing our staff.
2. To perform at their best, staff need to know how what they do and how they do it aligns with the needs of their department and the College. Within this context, staff should have the opportunity to develop their role according to individual aspirations. To help with this process, all staff are entitled to have an 'appraisal' meeting at least once a year, the purpose of which is to:
 - Look back over and receive feedback on their past year's performance and formally record achievements
 - Flag up any changes in job scope or role
 - Review *key* objectives and agree new ones
 - Put development in place to help improve or maintain performance and to meet their personal and professional aspirations and the needs of the College.
3. Appraisal meetings at Goldsmiths are known as Performance and Development Review (PDR) meetings.

Scope

4. This PDR Policy covers all staff employed by Goldsmiths who have completed a probationary year, whether working full time or part time, or on fixed term or permanent contracts. If the final Probationary Review meeting confirms the appointment of the member

of staff, their first PDR will take place in the next PDR round for the department. [Link to Probation Policy]

Principles

5. The Performance & Development Review is essentially a one to one meeting between the member of staff being reviewed (the Reviewee) and their line manager or another member of staff assigned by the Head of Department to undertake the PDR (the Reviewer). HR provides a standard PDR form for preparatory and final writing up purposes, however the process can be adapted to meet individual needs. Any amendments to the standard PDR form, or process used, must abide by the principles laid out below and should be discussed and agreed in advance with your HR Business Partner. [Link to PDR form and PDR Guidelines]

6. The PDR is driven by the **Reviewee** who is given the opportunity to:
 - Reflect on their work and acknowledge achievements and learning in a constructive way
 - Clarify what is expected of them in their role and discuss any changes
 - Gain an understanding of how their work fits in to the wider departmental and College objectives
 - Discuss and suggest key objectives to be agreed for the year ahead
 - Recap on their learning and development over the past year
 - Focus on their own career development and discuss their aspirations as a step towards receiving guidance and support in achieving these.

7. The PDR process gives an opportunity for the **Reviewer** to:
 - Formally acknowledge achievements and progress made by Reviewee as well as any barriers and obstacles encountered
 - Give constructive feedback on the Reviewee's performance
 - Gain an understanding of an individual's job role
 - Clarify roles and responsibilities within their departmental context
 - Cascade information on departmental and College objectives
 - Establish agreed key objectives for the year ahead
 - Identify development needs and understand the personal and professional aspirations of the Reviewee
 - Link development needs across the department/College.

8. An effective PDR process benefits the **department and the College** by:
 - Demonstrating good practice as an employer
 - Ensuring that all staff know about and are working towards the strategic objectives of their department and the College
 - Developing good lines of communication between those who manage and the staff working to them
 - Giving all staff the opportunity to reflect upon their own professional and personal development needs
 - Allowing departments to link development needs across their staff group and to pick up on any issues before they become problematic.

Procedure

9. The Head of Department (HoD) is responsible for deciding on an appropriate 'PDR round' which suits the needs of their department. To ensure that College and departmental strategic objectives inform the PDR, it is advisable that the most senior members of staff are reviewed first, and the PDRs cascaded throughout the department. HR should be informed of the timing of your intended PDR round.
10. HoDs are also responsible for deciding who reviews whom in their department. In support departments Reviewers are normally the line managers of the members of staff they are reviewing. Academic HoDs are not expected to review all the academic members of staff in their department; responsibility for carrying out PDRs should be shared between members of the departmental management team or other senior academic staff nominated by the HoD. HR should be given the names of all Reviewers in advance so that appropriate development can be offered to ensure quality of the process.
11. It may be advisable to suspend the PDR process if the Reviewee is subject to any investigations relating to conduct or capability issues, or if the Reviewee has raised a grievance against his or her line manager. These serious issues must be addressed as and when they arise and not stored up for a PDR meeting. HR should be consulted if there is any doubt as to whether the PDR should be carried out or not.
12. The PDR process is not a route to pay award, promotion or progression and Reviewers should not use the PDR to recommend any changes to remuneration. However, the evidence of sustained high performance recorded in the annual PDR may be used to support progression. It is therefore expected that members of staff seeking progression ensure they have an up to date PDR. [Link to Progression Policy]

Preparation

13. Once the HoD has decided on the dates of the PDR round and who is to review whom, it is important that both Reviewers and Reviewees begin to prepare for the PDR one to one meeting.
14. **Reviewers** should ensure that they have the necessary skills to carry out the PDR meeting, focussing in particular on 'active listening'. Staff Development HR runs workshops or individual coaching for Reviewers. Reviewers should be familiar with the work of the member of staff they will be reviewing. In cases where the Reviewer is also the line manager, this knowledge will have been gained throughout the year as part of the normal management process (one to ones, regular communication and objective setting). Where the Reviewer is a peer (as is likely to be the case for academic members of staff), it is the responsibility of the Reviewer to gain some prior knowledge of the Reviewee's subject area and responsibilities within the department (aided by the submission in advance of Part A of the PDR form by the Reviewee).
15. The Reviewer is responsible for arranging the date of the PDR with their Reviewee, allowing a reasonable amount of time for the Reviewee to complete Part A of the PDR Form and to return it to the Reviewer at least one week in advance of the meeting. Time should be given to the Reviewee to reflect on the past year and to complete Part A during work time. [Link to PDR Form]

16. The Reviewer should organise a suitable, confidential room for the PDR meeting to take place. The meeting should be scheduled to last between one and two hours. Both Reviewer and Reviewee should protect this time and ensure that no interruptions or distractions occur during the actual PDR.
17. **Reviewees** will reflect on the progress they have made on their key objectives over the last year or proceeding months. Academic staff will focus on research, learning and teaching, and leadership, management and administration objectives. Support staff will focus on leadership and management, administration and support and service delivery objectives which will have been set locally for their particular department and job role (such as customer service, student experience etc.)
18. Reviewees can download the PDR form from the College's Human Resources website. They should complete Part A 'Preparation Looking Back' and forward an electronic or hard copy version of the completed form to their Reviewer **at least one week in advance** of the PDR meeting. Some members of staff may prefer to have a face to face meeting with their line manager to prepare for the PDR meeting rather than fill out the form in advance. Provided this results in a hard copy, signed document as a record once the PDR is completed, this is acceptable.
19. **Supporting and championing the PDR Process**
An important aspect of the PDR process is to discuss, discover and capture personal and professional development needs. To help staff get the best out of the PDR process, Staff Development will provide support to help prepare for and undertake the PDR meeting. We can also provide follow up support to line managers to help those reporting to them achieve their development objectives. Our central Staff Development programme, open to all staff, will be planned to respond to development needs across the College, so comments made on the PDR form will be invaluable in helping us to design and deliver effective and appropriate events. We can also provide workshops and other development interventions specifically tailored to the needs of departments. Please contact Staff Development directly or via your HR Business Partner. [Link to Staff Development and Business Partner contacts]

PDR meeting

20. The PDR is essentially a one to one meeting between the Reviewee and their line manager, or another member of staff assigned by the Head of Department, as the Reviewer. Most of the talking will be done by the Reviewee. The main role of the Reviewer is to listen, ask open questions and give constructive, factual feedback. The pre-prepared Part A of the PDR form is intended to be used by the Reviewer as an agenda for the discussion. The Reviewer may introduce additional topics for discussion as appropriate, but there should be no surprises with regard to disciplinary or grievance type issues which should be dealt with outside of the PDR process. *Key objectives* – by which we meant those which cover the main and most important aspects of the job – should be discussed and agreed using the SMART model for guidance (Specific, Measurable, Agreed, Realistic and Timebound). Guidance on setting objectives, giving and receiving feedback and holding positive one to one meetings is available through Staff Development.
21. Following the meeting a hard copy document, agreed and signed off by both parties, will be written up by the Reviewer to constitute the formal record of the PDR. It is important that the document is an accurate reflection of what was discussed and agreed. To accomplish this,

the Reviewer will combine their own comments with those of the Reviewee in Part A, and then complete Part B 'Planning Ahead' according to the one to one discussion. An electronic or hard copy version of the completed form is then shown to the Reviewee to check and add comment. (The timescale between the PDR meeting itself and the final signing of the hard copy by both parties should be no longer than one month.)

22. The PDR is not complete until both parties have signed off the hard copy version and each has been given a copy to keep. In the rare instance where no agreement can be reached on the content of the document, and therefore it cannot be signed off, it is not acceptable to leave the situation unresolved. HR can help by providing an informal or formal mediation service, depending on the seriousness of the disagreement.

Follow up action

23. One of the most common criticisms of appraisal systems in organisations is that the completed paperwork is filed away and forgotten for a year until the next appraisal takes place. It is a shared responsibility of Reviewers and Reviewees to ensure that this does not happen at Goldsmiths, and that agreed objectives and development plans are followed up and reviewed regularly. The PDR meeting is not a substitute for regular one to one meetings between members of staff and their line manager, departmental management team, or section heads where day to day objectives and plans are amended in the light of changing circumstances throughout the year.

Confidentiality

24. Completed PDR forms are confidential documents. One copy of the completed and signed PDR form should be filed securely in the department office and a second copy should be kept by the Reviewee and filed in his or her own personal development file.
25. Completed PDR forms are not filed in individuals' personal file held in Human Resources. However HR Business Partners or the Staff Development Advisor may ask to see the development plan contained in the PDR form for the purpose of helping departments to aggregate individual plans into a departmental staff development plan and to inform provision on the central Staff Development programme..
26. In certain circumstances, the PDR document may be required as evidence in formal investigations into capability, disciplinary or grievance issues. [Link to these policies] On these rare occasions, a written request will be made to the Head of Department by the Director of HR or the Deputy Director of HR for the document to be released. Normal data protection and confidentiality guidelines will be upheld.

Review and monitoring of the Policy

This Policy/Procedure will be reviewed from time to time in the light of any developments in employment legislation or good employee relations practice. If necessary, it will be revised in order to ensure its continuing relevance and effectiveness. The Policy will be monitored in line with statutory requirements and the College's equal opportunity action plans.

