

# University of Sussex

## Guidelines for Deans/Heads of Units and Principal Investigators

This document sets out the University's provisions for the career management of research faculty, which give effect to the recommendations of the Concordat between the CVCP, the Research Councils and the Royal Society. The Concordat is based on several principles that aim to ensure: the active personnel and career management of research faculty; acceptance of the need for appraisal, in-service training and career guidance; rewards that are in line with those for established staff; and understanding between the Research Councils and the universities of their respective roles and responsibilities. A copy of the Concordat is available from the Research Grants and Contracts Office and is also available from the [Research Careers Initiative](#).

The attention of research faculty, Principal Investigators and Deans and Heads of Units is also drawn to the University's [Code of Practice for Dealing with Allegations of Misconduct by Staff in Research](#) and to the [Code of Practice for Research](#).

Responsibility for the career management of research faculty lies with the Dean/Head of Unit. It is delegated to the appropriate Principal Investigator, but responsibility remains with the Dean/Head of Unit in respect of the Principal Investigators themselves. References below to Principal Investigators include reference to the Dean/Head of Unit where appropriate.

### 1. Recruitment

Deans/Heads of Units may recommend appointments as research faculty without advertisement in the following circumstances if the individual has appropriate qualifications and experience. Appointments under ii) and iii) would depend on proven experience:

- i. To provide research training and continuing development for researchers at an early stage of a research career. This would apply to undergraduate or research students of this or another university.
- ii. For the planned career development of existing research faculty. This would apply to the re-appointment of an existing member of the research faculty to the same or a different project.
- iii. To allow the return to research of a former member of the research faculty who has taken time out of his or her university research career.

In other circumstances appointments are made following advertisements, according to the usual procedures.

Appointments of people who are nationals of countries that are not part of the European Economic Area require a work permit, and work permits are only granted if the post has been advertised and there was no suitable applicant of EEA nationality.

### 2. Salaries and Conditions of Service

Appointments of research faculty are on the salary scales and Conditions of Service of Research and Analogous Faculty.

### 3. Supervision of Careers of Research Faculty

It is the responsibility of the Principal Investigator to supervise the careers of their research faculty to ensure that research faculty gain the maximum benefit from the

training and development opportunities provided by the research environment in which they work.

Research Councils will require grant reports to contain information on the training and development benefits which have flowed from the grant, and to give the destination of the research faculty after the grant.

#### **4. Appraisal**

Deans/Heads of Units shall appoint appraisers, who will not normally be the Principal Investigator, and ensure that all research faculty with continuous appointments of more than twelve months are appraised at least once every two years. Research faculty may require an annual meeting. The appraisal provides the opportunity to discuss the application of these career management provisions and to identify training and career development needs. Schools and Units have been advised to designate a portion of their staff development budget for research faculty.

Research faculty should be encouraged to provide the Dean/Head of Unit with a cv, including a list of publications, and to update it annually. The cv is not only needed for the appraisal discussion, but provides the information on which the Dean/Head of Unit monitors the researcher's progress and achievement.

#### **5. In-Service Training**

Research faculty are eligible for support from central staff development funds for specialist or general training and the Staff Development Officer may be consulted about available opportunities. The Principal Investigator should consider the member's staff development needs, and the appraisal meeting is the opportunity for the member of the research faculty to identify personal development needs.

Research faculty should be encouraged to undertake teaching or demonstration, should they wish, wherever such work is available. Research faculty are eligible to attend induction courses organised for part-time tutors.

#### **6. Equal Opportunities**

All actions affecting the appointment and careers of members of the research faculty must conform to the principles of the University's equal opportunities policies, and not unfairly discriminate directly or indirectly on the basis of the member's sex or ethnic origin. Advice on the application of this policy in individual cases may be obtained from the Staffing Services Office.

#### **7. Maternity Leave**

Where a member of the research faculty is taking maternity leave, the Research Councils have agreed to provide additional funding for a substitute appointment or to extend the duration of the grant. While it is for the Principal Investigator in consultation with the Research Grants and Contracts Office to propose the course of action to the Research Council, the member of the research faculty should be consulted first and her wishes taken into account.

#### **8. Promotion**

The possibility of requesting funds for the appointment of an existing member of the research faculty at a higher grade should be considered, if the duties justify such higher grading, whenever an application for an extension of a grant or a new grant is made, or during the period of the grant if such action would be permitted by the

Research Council. Promotions to grade III or IV are only made if the University has obtained references and approval has been given by the Vice-Chancellor in the case of appointments to grade III or the Standing Committee on Career Progress and Titles in the case of grade IV appointments.

#### **9. Bridging Funds**

The Dean/Head of Unit may authorise an extension of appointment, to be funded from School/Unit funds if such funds are available and if further external funds are expected, in the light of the School/Unit's academic needs.

#### **10. Career Guidance**

Career guidance should be given to members of the research faculty as follows:

- i. The Principal Investigator should inform the member at the earliest opportunity of the possibility of an extension of appointment on the same project or on another project known to the Principal Investigator, or where there are no such possibilities, confirm that the appointment will not be extended.
- ii. Career development possibilities and opportunities known to the appraiser should be discussed in the appraisal meeting.
- iii. Information on career development opportunities may be obtained from the Career Development Unit.
- iv. Deans/Heads of Units should ensure that details of research fellowships, vacancies for teaching faculty and research faculty posts and other opportunities that are circulated by administrative offices should be displayed on a notice board in the School/Unit, and that opportunities for redeployment of research faculty whose projects are finishing, to other projects, are thoroughly explored.
- v. The University's Staff Development Office will provide Career Development Workshops for research faculty, and send notification to Deans/Heads of Units of induction sessions appropriate for research faculty.

#### **11. Involvement in School/Unit Activities**

Deans/Heads of Units have been asked to consider ways in which Schools/Units can better integrate members of research faculty into School/Unit life, for example by involving them more systematically in meetings and adding relevant issues to agendas for discussion.

#### **12. Implementation of these Arrangements**

Principal Investigators and Deans/Heads of Units are reminded periodically of their obligations under these Guidelines, and the Guidelines will be reviewed from time to time.