A Professional Development Framework for Research Managers and Administrators

An Introduction to the ARMA Professional Development Framework

Introduction

Project Background and Contributors

The ARMA Professional Development Framework (PDF) has been developed as the result of a 12-month project. Well over 100 research managers and administrators (RMAs) participated in Focus Groups to generate information about the activities undertaken and knowledge and skills required by RMAs working in a range of different roles, which was then used to inform the content and structure of the PDF. Many more RMAs gave generously of their time to review and comment on the draft PDF as it developed.

Additionally, the PDF has benefited from input from PraxisUnico, AURIL, AUA, the Co-ordinating Centre for Public Engagement, and the Centre for Research Communication, and ARMA would like to gratefully acknowledge their contributions. In particular ARMA would like to thank the AUA who have kindly allowed the professional behaviours from the AUA's CPD Framework, 2009 to be adapted and applied **for non-commercial use** within the PDF.

What does the PDF look like?

The PDF comprises 21 different functions undertaken by administrators supporting the research agenda. These include developing proposals, managing project finance, knowledge exchange and business development, and supporting postgraduate researchers.

The functions are grouped under seven broader headings: Developing Proposals, Project Lifetime, Translation, Postgraduate Researchers, Policy and Governance, Management Information and Related Functions, and Service Organisation and Delivery. Each function is described from three different perspectives – Operational, Management and Leadership.

The **PDF Overview** shows how the 21 functions are organised under the seven broader headings. The individual cells on the matrix summarise each function from the operational, management and leadership perspectives. Clicking on the individual cell will take you to more detailed pages that outline the relevant activities, indicative skills, underpinning knowledge, and professional behaviour for each of the functions.

How can the PDF be used?

a) To plan my professional development:-

The PDF Overview table can be used to identify the functional areas that you currently work in and at what level – operational, management or leadership. Clicking through from the relevant cells on the table to the detailed descriptions will enable you to see the skills, knowledge and behaviours required for your areas of work and may help you to identify new areas for development. You might also find it useful to look at the next level in the functional areas – management or leadership – to see what activities, knowledge, skills and behaviours you would need to develop for work at this level. This might help you to identify relevant development opportunities within your current role.

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b) To map my career pathway:-

If you wish to broaden your research management and administration experience or move into a totally new area, the PDF can be used to help you explore the sorts of activities, skills, knowledge and behaviours involved. Clicking through from the relevant cell on the PDF, you can see the requirements for different sorts of functional areas and at different levels – operational, management and leadership. Browsing through different functional areas of the PDF you will notice that many of the skills and some of the knowledge cut across multiple areas, for example interpersonal, analytical and communication skills and knowledge of institutional systems, the HE policy environment etc. So, if you make sure that you develop the right skills and knowledge, it might not be as big a step as you think to move your career to the next level or even change its direction!

c) To write job descriptions and person specifications:-

As a manager, you may find the PDF to be a useful tool in the preparation of job descriptions and person specifications. Once you have identified the functional areas and level required for the job in question you can click through from the relevant cells of the PDF Overview table for a full description of the activities, knowledge, skills and behaviours required by an individual working in that area. This can be used simply as an aide-memoire or relevant parts can be `cut and pasted' . Using the PDF in this way can help to improve consistency in job descriptions and person specifications across the institution as well as hopefully making their preparation slightly easier!

d) To plan training and development for research managers and administrators:-

As a manager or institutional staff developer, you can use the PDF to help you plan staff development programmes for research managers and administrators. Mapping existing skills and knowledge against the requirements of the functional areas, for individuals, teams, or the entire research support function, can help you to identify gaps and plan training provision. ARMA may offer relevant training on the technical knowledge required or on skills development in a research management and administration context? Your institution's staff development unit may offer relevant skills training and training on the institutional context? You may consider putting on additional internal training on specific institutional systems e.g. research management systems etc.? Or, if you have sufficient numbers of research managers and administrators you may even want to put on some technical-based training internally? – ARMA may be able to offer one of its national events specifically for your institution or license the training materials to you so that you can deliver it yourself**!**

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	OPERATIONAL	MANAGEMENT	LEADERSHIP
Developing Proposals			
Identifying Funding Sources and Customers	Target UK, European and International funding opportunities and disseminate information to relevant individuals	Build `intelligence' to help target UK, EU and International funding opportunities and optimise the bidding process	Develop strategies to maximise research income and market research to potential UK, European and international funders
Preparing Proposals	Co-ordinate proposal preparation, which could include identifying research team members, preparing the budget and writing and reviewing text	Implement strategies and initiatives to maximise the institution's success in securing research funding	Develop targeted strategies to improve research funding outcomes
Costing, Pricing and Submitting Funding Proposals	Produce realistic project pricings, obtain `sign off' for and submit proposals	Maintain a financial overview of the research portfolio and oversee relevant staff resources, systems and processes to ensure that high-quality proposals are submitted	Develop costing and pricing strategies to maximise the institution's success in securing research funding, aligning to organisational strategic plan and broader funding and policy context.
Project Lifetime			
Drafting, Negotiating and Accepting Contracts	Facilitate agreement and get sign-off of contracts	Monitor and manage regulatory and legal issues arising from the contract	Develop institutional strategies and approaches relating to contracts
Dealing with Project Finance	Monitor project spend and ensure compliance with funder's terms and conditions	Implement project finance systems and processes and monitor their effectiveness	Develop project finance systems and processes
Employing Staff on Research Contracts	Provide administrative support for the recruitment and appointment of research staff	Implement systems and processes relating to the employment of research staff, including policies of Gender and Diversity.	Develop systems and processes relating to the employment of research staff, including policies of Gender and Diversity
Reports for Funders	Collect and collate data and ensure that the report is completed and submitted according to the funder's terms and conditions	Implement systems and processes to facilitate report preparation	Develop systems and processes that enable the institution to meet its reporting requirements
Translation			

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~~Dissemination and Public Engagement~~Pathways to Impact	Collect data relating to research outputs and advise researchers on effective dissemination and public engagement channels. Support researchers to collect evidence of research impact.	Support researchers to comply with funder's requirements and to utilise opportunities for research dissemination and public engagement and to understand how to collect evidence of research impact.	~~Maximise the impact of dissemination and public engagement activities~~ Develop strategies to help the institution to maximise its research impact.
Knowledge Exchange and Business Development	Promote and support knowledge exchange and transfer activities	Develop an operational plan for implementing the knowledge exchange and transfer strategy and ensure that the institution meets legal/regulatory requirements	Develop strategy in relation to knowledge exchange and transfer
Technology Transfer	Provide support for technology transfer activities such as identifying opportunities, brokering relationships, licensing IP, creating 'spin out' companies	Develop systems and processes to support technology transfer and ensure that the institution meets legal/ regulatory requirements	Develop strategy in relation to technology transfer
Supporting CPD Courses	Identify opportunities and provide sound administrative support for CPD course provision	Develop an operational plan, systems and processes to enhance institutional performance in CPD course provision	Develop strategy in relation to CPD course provision
Postgraduate Researchers			
Supporting Postgraduate Researchers	Provide sound administrative support for postgraduate researcher employment, progression, examination and graduation	Maintain oversight of provision and support for postgraduate researchers and monitor in relation to the external policy environment	Provide strategic direction for postgraduate researcher support and provision
Policy and Governance			
Contributing to Research Policy and Strategy	Support the implementation of research policy and strategy and gather intelligence to help develop research policy and strategy, including organisational and funder policies on	Develop operational plans to implement research policy and strategy and ensure that the institution is meeting its legal and quality assurance obligations	Lead institutional research policy and strategy and promote the institutional research agenda and influence political institutions and public officials for the benefit of the organisation.

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	Open Access, Open Research and Open Data		
Contributing to the REF	Collect, collate and check REF data and provide guidance and support for research staff and colleagues involved in the REF submission	Plan and project manage preparation for the REF	Devise strategies to maximise performance in the REF
Supporting Research Ethics and Governance	Provide `up-to-date' information and help research staff and colleagues to comply with research ethics and governance requirements	Maintain oversight of institutional research ethics and governance processes and systems	Develop strategy in relation to research ethics and governance
Management Information and Related Functions			
Working with Information Systems	Collect and collate data and provide accessible reports to support institutional and local decision making	Monitor the effectiveness of institutional management information systems and initiate changes as required	Ensure that institutional decision making is built on sound management information
Supporting Audit	Provide administrative support for institutional audit	Devise systems to collect data for audit	Champion preparation for and participation in the audit and ensure that there is learning from issues identified
Making Statutory Returns	Collect and collate data and ensure that the return is complete and returned by the deadline	Oversee systems and staff to ensure that a high-quality return is produced	Ensure that the institution responds to issues arising from the statutory return process
Service Organisation and Delivery			
Managing a Research Support Service	Co-ordinate and develop staff and resources to provide an effective research support service	Develop systems and processes to implement the research support service strategy, and monitor Key Performance Indicators	Develop the research strategy and promote research support to the institution
Organising and Structuring a Research Support Service	Build a research support service structure that is cost-effective, `joined up' and `fit for purpose'	Achieve consistency in practice across the research support service structure	Maintain an effective, efficient and well-respected service
Mapping and Reviewing Research	Help the institution to provide a research	Map and review research service	Champion the mapping and review process and

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Support Service Functions	support service that is cost-effective, `joined up' and `fit for purpose'	support functions to help identify/address institutional risk factors	initiate required changes

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Developing Proposals

Identifying Funding Sources and Customers

Operational

Aim to:

- Ensure that all relevant individuals receive timely and accurate information on UK, European and International funding opportunities that have a close fit with individuals' and institutional research strengths and mission
- Gather 'intelligence' on trends in research and knowledge exchange UK, European and International funding to inform the institution's decision-making and research strategy, and alert individual researchers to upcoming changes and opportunities
- Build and maintain good working relationships with UK, European and International funders to ensure effective communication and flow of information

By:

- Understanding the institution's priority research and knowledge exchange areas
- Understanding groups' and individuals' priority research and knowledge exchange areas
- Clarifying researchers' objectives for seeking funding
- Disseminating information to researchers – email, newsletter, web pages, etc.
- Performing specific funding searches for researchers
- Assisting researchers to set up funding profiles and queries in web-based information systems
- Advising researchers on long-term funding strategies
- Interacting with funders to source/verify information
- Interpreting and helping researchers to understand funders' schemes
- Developing good relationships with key funders
- Organising information events (including funder visits)
- Identifying external trends in funding and feeding back to institution
- Building good working relationships with researchers on external funding/strategic panels to facilitate sharing of good practice
- Disseminate opportunities for researchers to apply for membership of strategic panels
- Briefing the senior management team on 'intelligence' gained from funders
- Delivering training on types of funding available for researchers at various points in their career

Indicative Skills	**Underpinning Knowledge**
Information Search – identifying funding opportunities **Information Management –** sorting and disseminating **Interpersonal –** advising academics **IT –** web, content management **Training and Development –** including event management **Communication –** keeping clear records, briefing colleagues	Funders' guidelines Individuals' and institution's priority research areas / areas of strength Web-based search packages Academics' funding histories Funding of research in the UK and overseas Recurrent schemes and opportunities Ad-hoc schemes and opportunities Awareness of potential areas for cross-disciplinary work

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Networking – to identify and share good practice **Analytical –** to understand funding policy	Knowledge of funding policy context and legislative processes

Examples of behaviours which underpin effective performance

- Listening, questioning and clarifying in order to understand your customers' needs
- Tailoring communication to meet customers'' needs
- Keeping up to date with what is happening in professional area
- Liaising with external bodies, suppliers and other HE bodies
- Making use of information and resources gained through personal networks

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Developing Proposals

Identifying Funding Sources and Customers Management

Aim to:

- Build an understanding of the institution's areas of research excellence
- Build an understanding of areas where cross-disciplinary or cross-institutional collaboration would be beneficial to the institution
- Build 'intelligence' to ensure that the institution is well-placed to identify and respond to funding opportunities
- Create / maintain a depth of understanding of funding sources, objectives, and policies

By:

- Overseeing institutional relationships with suppliers of funding alerts
- Mapping institutional research priorities, strengths and weaknesses
- Identifying the institution's target research and knowledge exchange areas
- Identifying potential for cross-disciplinary / cross-institutional working and collaboration with industry
- Maintaining good relationships with key funders and partners
- Making recommendations on institutional funding subscriptions
- Collecting data from management information/previous applicants
- Building systems to store and handle information
- Identifying administrative challenges in relation to potential funding opportunities
- Creating mechanisms for communication of funding information
- Developing training on types of funding available for researchers at various points in their career

Indicative Skills	**Underpinning Knowledge**
Analytical – collect and interpret complex information **IT –** contributing to and analysing management information, choosing adequate software for information management **Networking –** to identify good practice and opportunities for cross-disciplinary/ cross-institutional working	Institution's priority research areas/areas of strength Institution's research strategy Preferred partners for collaboration Interpreting management information Funding landscape IT systems Who does what in the institution Funding opportunities

Examples of behaviours which underpin effective performance

- Working across boundaries to develop relationships with other teams
- Developing cross-service collaboration and being willing to share resources
- Aggregating, utilising and interpreting management information
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Suggesting and trying out new approaches

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Developing Proposals

Identifying Funding Sources and Customers

Leadership

Aim to:

- Develop strategies to maximise the institution's success in securing research and knowledge exchange funding e.g. target research areas, talent management, cross-disciplinary research initiatives, preferred collaborators, nurturing funder relationships

By:

- Identifying areas of research strength/weakness and leading decision-making on research and knowledge exchange priorities
- Prioritising key funding opportunities
- Analysing training needs in relation to the identification of relevant funding sources
- Developing strategies to promote research excellence in target areas
- Developing strategies to enable cross-disciplinary working in target areas
- Promoting institutional research and knowledge exchange activities to potential funders – influencing their agendas
- Building and maintaining relationships with funders and partners
- Acting as ambassador for the institution and for the profession
- Monitoring and adapting strategies to maximise research-related income
- Creating and maintaining an internationally balanced funding portfolio in order to secure sustainable research funding
- Encouraging and supporting industry-academia relations and collaboration, aimed at attracting private sector research funding
- Helping the institution/researchers to respond to consultation exercises on future funding models

Indicative Skills	**Underpinning Knowledge**
Analytical – interpret complex information **Communication –** effective presentations **Interpersonal –** relationship building **Networking –** building, maintaining and utilising professional contacts **Decision Making –** research and knowledge exchange priorities **Marketing/PR –** promoting the institution to prospective funders and customers **Strategic Thinking –** creating a sustainable and balanced funding portfolio	Institution's priority research areas/areas of strength Talent management Mission, organisation and operation of UK, EU and international funders Key contacts in priority funding bodies Potential conflicts between funder and the institution Institution's financial model

Examples of behaviours which underpin effective performance

- Breaking down 'silo' thinking and encouraging an organisation-wide perspective
- Standing by considered decisions even if they prove unpopular
- Proposing and negotiating win-win solutions

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- Using understanding of other people's perspectives to help reach agreement
- Developing and maintaining personal networks of contacts

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Developing Proposals

Preparing Proposals

Operational

Aim to:

- Gather together all information and resources required for the proposal
- Ensure the production of a targeted, well-written proposal that meets all funder/partner requirements and is delivered to deadline

By:

- Identifying funding opportunities
- Assessing level of RMA input required, in relation to researcher's funding experience
- Looking at funders' guidance notes and assessing eligibility/ 'fit' with customer needs
- Interpreting and helping researchers to understand funders' schemes
- Delivering training on how to prepare a funding proposal
- Identifying opportunities for cross-disciplinary working/support
- Identifying potential research collaborators internally, nationally and internationally
- Bringing potential applicants together for discussion
- Drafting timetable for submission including responsibility for completion milestones
- Eliciting project requirements from the lead researcher
- Drafting elements of the proposal, as required (e.g. justification of resources, description of HEI facilities)
- Drafting impact statements
- Gathering together all supporting documentation
- Sharing first draft of application and giving feedback to lead researcher
- Encouraging lead researcher to demonstrate awareness of broader networks and policies that might have a bearing on the proposal
- Ensuring that the strategic need for the work is emphasised in the proposal
- Reading draft from the perspective of a lay reader
- Costing and pricing project
- Negotiating project share between partners
- Sending draft costing to lead researcher for feedback
- Finalising proposal text and budget
- Assessing the risk (individual and cumulative), and preparing mitigation / management approaches
- Maintaining partner contacts for future research and knowledge exchange collaboration

Indicative Skills	**Underpinning Knowledge**
Interpersonal - understanding project brief, building rapport with researchers **Information search** - identifying funding opportunities, potential partners **Information management** - maintaining partner contacts **Communication –** preparing / commenting on proposal drafts	Unique funding requirements of each funder Individual's networks and contacts Internal research strengths Previous research links in the area Overview of how researcher interests might fit together Understanding of the research process Technical understanding of subject area

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Analytical - assessing funding eligibility, reviewing drafts **Project Management -** multi-partner working **Administrative -** chairing meetings, note-taking **Constructive Feedback –** on proposal drafts **Influencing -** including negotiation **Networking** - with funders **IT** - including contacts database; familiarity with funding body electronic grant submission portals **Self Management –** working to tight deadlines	Customer Relations Management databases Institution's strategic research strengths and priorities Funding bodies' strategic research priorities

Examples of behaviours which underpin effective performance

- Keeping track of a number of projects running simultaneously
- Maintaining a high standard of work even when under pressure
- Being effective in gaining buy-in without having any direct authority
- Tailoring communication to meet clients' needs
- Setting appropriate boundaries and managing expectations
- Establishing rapport
- Giving constructive feedback

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Developing Proposals

Preparing Proposals

Management

Aim to:

- Establish efficient and effective processes and practice to facilitate proposal preparation
- Implement strategies and initiatives that maximise the institution's chances of success (targeting areas of strength, identifying and nurturing talent, sharing good practice)

By:

- Maintaining 'up to date' knowledge of the institution's match to potential funders and partners
- Developing a bid preparation process and raising staff and colleagues' awareness of it
- Developing templates / exemplar text to encourage consistency in approach (e.g. justification of resources)
- Developing a repository of reference material concerning funding applications and promoting repository to colleagues
- Establishing a shared set of records and summary status information to enable applications to be accessed if staff are absent
- Using management information to monitor success rates with various funders and comparator institutions
- Ensuring that staff and colleagues are aware of relevant applications in progress
- Ensuring that staff are aware of each other's commitments, for workload purposes
- Proposing approach/direction for institutional bids
- Identifying most appropriate colleagues to contribute to institutional bids
- Co-ordinating contribution of internal researchers / external partners
- Devising training interventions to help researchers prepare funding applications
- Providing mentoring for researchers at all career levels, e.g. early career researchers
- Identifying potential talent for leading future bids
- Sharing ideas and good practice internally and externally
- Creating a risk assessment and management framework

Indicative Skills	**Underpinning Knowledge**
Training and development - facilitation, coaching and mentoring, course design etc. **Communication -** report writing, conveying information clearly, presentation **Interpersonal** - liaison with key staff, understand the needs of others **Analysis** – match to funders **Creativity** – developing a bid preparation process	Course design principles What makes a good application Talent management strategies

Examples of behaviours which underpin effective performance

- Sharing good practice with other parts of the organisation

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- Drawing on others' knowledge, skills and experience
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Coaching and mentoring others
- Supporting succession planning by identifying and developing colleagues with high potential
- Working across boundaries to develop relationships with other teams

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Developing Proposals

Preparing Proposals

Leadership

Aim to:

- Monitor institutional success rate for funding proposals
- Develop strategies and initiatives that maximise the institution's chances of success (targeting areas of strength, identifying and nurturing talent, sharing good practice)

By:

- Providing support for large, complex bids including selection of the bid to be put forward
- Developing strategies to improve success rates
- Driving institutional strategy for cross-disciplinary working
- Identifying rising stars in target areas and providing training and development
- Developing a Framework of preferred collaborators, partners and funders
- Agreeing memoranda of understanding with preferred collaboratorss
- Ensuring colleagues are aware of preferred collaborators
- Identifying new opportunities/approaches and taking to senior management team for decision/funding
- Sharing good practice, internally and externally

Indicative Skills	**Underpinning Knowledge**
Analytical - monitoring success rates, developing strategies **Negotiation** – Framework agreements and 'memoranda of understanding' **Communication-** presenting ideas to the senior management team **Interpersonal-** building relationships	Research environment Management Information systems Key players, internally and externally

Examples of behaviours which underpin effective performance

- Scanning the wider environment to seek opportunities to develop the organisation
- Actively seeking new ideas and approaches from outside the organisation
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Spotting an opportunity and taking action to do something about it
- Breaking down 'silo' thinking and encouraging an organisation-wide perspective

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Developing Proposals

Costing, Pricing and Submitting Funding Proposals
Operational

Aim to:

- Produce a realistic price for the proposal, which is within the funder's guidelines, is fully cognisant of the true cost of the proposed research and which takes account of institutional risk
- Submit an accurate, well-written proposal which meets the funder's requirements and deadline

By:

- Checking the funder's guidelines
- Reading the draft proposal to identify potential financial implications
- Meeting with lead researcher to discuss initial resourcing requirements
- Requesting resource / costing information from lead researcher
- Requesting resource / costing information from partner institutions
- Costing project
- Confirming the costing provided by the institutional costing tool
- Sending draft costing to lead researcher for feedback
- Reviewing and approving costs or having costs reviewed and approved by relevant individuals
- Ensuring the entered costs adhere to the funder's guidelines (FEC, overheads, upper/lower limits etc.)
- Obtaining best 'cost recovery' scenario
- Making colleagues aware of risk assessment (e.g. terms, type of funder, cost recovery)
- Converting to appropriate currency
- Obtaining final draft proposal from the lead researcher
- Checking proposal in relation to funder/institutional requirements
- Negotiating with heads regarding 'sign off' / internal budget splits
- Negotiating with institutional leads regarding 'sign off'/ budget splits across institutions
- Proof reading and checking quality
- Submitting proposal to internal peer review
- Ensuring the researcher has considered R&D approval, ethical review, health & safety and insurance issues where appropriate
- Informing lead researcher of the outcome of internal peer review
- Obtaining approval from authorised personnel
- Finalising proposal
- Advising staff on using electronic submission systems
- Mailing/electronically submitting proposal
- Logging application on central database and file until outcome is known

Indicative Skills	**Underpinning Knowledge**
Analytical - funders' guidelines	Internal finance systems Costing principles

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Interpersonal - identifying relevant information, providing constructive feedback **Communication -** requesting information from colleagues, partners etc. **IT -** using costing tool, electronic submission **Creativity -** budget construction **Negotiation** - where research aims/budget constraints don't align **Accuracy** – checking figures and guidelines **Numeracy –** applying costing model **Assertiveness –** negotiating budget splits, giving feedback on peer review **Self management –** to meet deadlines **Networking -** to identify and share good practice	Funders' guidelines Institutional policies - salaries, subsistence, travel FEC rules Key institutional contacts for 'referring on' Risk assessment Ethics NHS R&D Confidentiality / data protection Structure of university research admin (key contacts) Funder submission techniques Funder application forms/formats Institutional approval process

Examples of behaviours which underpin effective performance

- Taking personal responsibility for getting things done
- Keeping track of a number of projects running simultaneously
- Meeting deadlines
- Influencing outcomes when bidding or negotiating for resources
- Considering cost benefit analysis implications of decisions
- Giving constructive feedback

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Developing Proposals

Costing, Pricing and Submitting Funding Proposals

Management

Aim to:

- Co-ordinate staff and activities to ensure that a high-quality proposal is produced, to schedule
- Maintain an overview of and act on the financial implications from individual proposals and from the wider research portfolio
- Implement relevant policies and systems and ensure that staff are well-equipped to use them

By:

- Scheduling and prioritising own and staff workload to meet deadlines
- Building strong relationships between central/local research support services and other professional services
- Ensuring that strongest applications go to most suitable funder
- Confirming that requested resources can be allocated - match funding, facilities, workstations
- Monitoring costing and reporting to ensure financial sustainability
- Implementing policies and systems e.g. internal peer review, costing, risk assessment
- Project managing the development/ implementation of new systems
- Communicating policies and systems
- Devising training and development on costing and pricing and electronic submission systems
- Reviewing and maintaining policies and systems
- Building quality assurance processes to ensure that 'lessons learnt' are acted upon

Indicative Skills	**Underpinning Knowledge**
Negotiation – development of new systems **Interpersonal –** building relationships **Numeracy –** monitoring costs and financial stability **Analytical** – reviewing policies/systems **Communication –** commissioning systems, communicating policies **Project Management** – implementation of new systems **Training and Development –** curriculum design **Self Management –** workload management	Internal finance systems Costing principles Funders' guidelines Peer review Institutional policies e.g buying out researcher time

Examples of behaviours which underpin effective performance

- Distinguishing between important and urgent tasks and prioritising effectively, even from apparently equal demands
- Evaluating the success of projects and disseminating lessons that can be learned

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- Monitoring and reviewing the effectiveness of working relationships
- Proposing and negotiating win-win solutions
- Working across boundaries to develop relationships with other teams
- Engaging positively with quality assurance processes
- Tailoring communication to meet colleagues' needs

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Developing Proposals

Costing, Pricing and Submitting Funding Proposals

Leadership

Aim to:

- Monitor existing policies and systems and develop new ones to ensure that the costing, pricing and submission of proposals is highly effective and efficient
- Co-ordinate and mobilise institutional staff to respond to large, prestigious funding calls where there is a reasonable likelihood of success
- Align strategies to organisational strategic plan and broader funding and policy context.

By:

- Acting as institutional lead for larger funding calls
- Ensuring that appropriate resources are allocated so that research support services can meet workload - systems, IT, staffing
- Establishing costing and pricing frameworks and policies
- Developing financial incentives/research income allocation models
- Developing and implementing new processes to reflect external/internal changes
- Promoting good practice and getting it adopted in the institution
- Sharing good practice with colleagues within and beyond the institution
- Developing the business case for new systems/processes

Indicative Skills	**Underpinning Knowledge**
Strategic Thinking – developing financial incentives **Leadership** – for large funding calls **Change Management** – developing new processes / approaches **Problem Solving –** developing new processes / approaches to maximise effectiveness **Negotiation** – resourcing, pricing **Numeracy –** financial modelling **Horizon Scanning –** identifying external changes early on **Communication –** promoting processes, developing business cases **Influencing** – change in business practices across the Institution **Project Management** – large funding calls	Financial modelling Risk management

Examples of behaviours which underpin effective performance

- Influencing outcomes when bidding or negotiating for resources
- Liaising outside of immediate work area to maximise use of resources within the organisation
- Deploying human resources efficiently, at the right levels and in appropriate ways

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- Identifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole organisation
- Spotting an opportunity and taking action to do something about it
- Championing business cases and plans for ideas submitted by members of the team
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Creating a climate that encourages innovation and receptivity to change
- Embracing new technologies, techniques and working methods
- Communicating change in a positive manner through influencing and persuasion

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Project Lifetime

Drafting, Negotiating and Accepting Contracts

Operational

Aim to:

- Negotiate a contract that is favourable to the institution and in line with statutory obligations
- Ensure that all clauses of the contract can be fulfilled and that any discrepancies are identified and addressed
- Facilitate 'sign off' of the agreed contract

By:

- Drafting a contract (de novo or using templates)
- Reviewing the received contract
- Understanding the contract's purpose and meaning
- Understanding potential conflict areas
- Checking the contract – e.g. payment terms, ability to publish, correct finances, confidentiality, IPR, start/end dates, liabilities/ warranties
- Checking regulatory/governance and ethics issues
- Explaining contract and implications to lead researcher and others
- Discussing budget with researchers, partners and colleagues
- Identifying points for negotiation
- Negotiating with funder to address funding shortfall if appropriate
- Negotiating with funder to distribute cuts if appropriate
- Identifying if there is a need for a Memorandum of Understanding
- Eliciting comments from all parties
- Accepting the contract or re-negotiating the contract with funder
- Eliciting comments from all parties, if re-negotiating
- Receiving 'updated' contract
- Obtaining key signatories once agreed by all parties
- Keeping a copy of agreed contract on file and forwarding to other parties
- Summarising key terms for the researchers
- Producing collaborative agreements
- Producing subcontracts
- Maintaining a risk/liabilities register for non-standard contracts

Indicative Skills	**Underpinning Knowledge**
Administrative - logging and processing the contract **Analytical** -understanding the impact of the contract on the institution **Accuracy** - attention to detail **Interpersonal** - listening and explaining **Problem solving** – reaching a compromise **Communication -** re-drafting the contract	Types of contracts, and their content Typical contract clauses and their meaning Institutions' obligations and status (e.g. charitable status) Insurance and acceptable liabilities Institutional policies - salaries, subsistence, travel Institutional finance systems Key institutional contacts for 'referring on'

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Negotiation – re-negotiating contract or negotiating re. funding shortfall **Networking** - to develop/maintain good relationships with funder/partners **Interpersonal** - understanding/responding to other viewpoint **Assertiveness –** objectively balancing the needs of the funder, institution, researcher and partners	Unique funding requirements of each funder, Research Governance Framework for Health and Social Care, Clinical Trials Directive and Act IP Relevant legislation (e.g. Human Tissues Act, Mental Capacity Act, Freedom of Information Act, Environmental Information Regulations etc.) Costing principles e.g. FEC rules

Examples of behaviours which underpin effective performance

- Using understanding of other people's perspectives to help reach agreement
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues, funders and partners
- Giving constructive feedback
- Having a good grasp of where your responsibility ends and that of others begins
- Getting the best from others through effective communication
- Managing own response when faced with challenging situations

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Project Lifetime

Drafting, Negotiating and Accepting Contracts Management	
Aim to: • Monitor and manage regulatory and legal issues arising from the contract • Ensure that all relevant staff are clear about their contractual requirements	
By: • Liaising with other departments re. contract content - insurance, research governance, staffing, legal issues, finance • Monitoring regulatory/governance and ethics issues arising from the contract • Negotiating Memoranda of Understanding • Producing FAQs for key areas (e.g. IP, ethics, liability, legislation, governance) and making them available to staff	
Indicative Skills **Interpersonal** - listening and explaining, relationship building **Negotiation –** Memoranda of Understanding **Communication** - drafting agreements that are acceptable to all parties, producing FAQs	**Underpinning Knowledge** Types of contracts, including model contracts Typical contract clauses and their meaning Institutions' obligations and status (e.g. charitable status) Insurance and acceptable liabilities Key institutional contacts for 'referring on' Unique funding requirements of each funder FEC rules Research Governance Framework for Health and Social Care, Clinical Trials Directive and Act IP Relevant legislation (e.g. Human Tissues Act, Mental Capacity Act, Freedom of Information Act, Environmental Information Regulations etc.)
Examples of behaviours which underpin effective performance • Surfacing conflicts early so that they may be addressed • Proposing and negotiating win-win solutions • Managing own response when faced with challenging situations • Keeping up to date with what is happening in wider environment	

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Project Lifetime

Drafting, Negotiating and Accepting Contracts

Leadership

Aim to:

- Maintain consistency and reduce institutional risk in drafting, negotiating and accepting contracts
- Ensure that the institution observes statutory obligations (e.g. FOIA, DPA, Charities Act etc.)

By:

- Producing contract templates / standard clauses to set out institutional position
- Creating contractual frameworks and policy environment to meet institutional requirements, culture, etc.
- Acting as a point of escalation and / or mediation, and exercising discretion over the institutional position
- Sharing good practice with colleagues within and beyond the institution

Indicative Skills	**Underpinning Knowledge**
Communication – producing templates/FAQs and ensuring that staff understand them **Analytical** – devising standard templates **Problem solving** – creating policy to meet requirements	Types of contracts Typical contract clauses and their meaning Institutions' obligations and status (e.g. charitable status) Insurance and acceptable liabilities

Examples of behaviours which underpin effective performance

- Identifying the information and knowledge people need and why they need it
- Sharing good practice with other parts of the organisation
- Keeping up to date with what is happening in professional area
- Tailoring communication to meet colleagues' needs
- Delivering consistent service standards

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Project Lifetime

Dealing with Project Finance

Operational

Aim to:

- Provide sound administrative support to ensure that project spend is undertaken according to the funder's terms and conditions and within the project lifetime

By:

- Allocating an appropriate Finance code taking into account internal and external reporting requirements
- Checking the VAT status of the account to ensure that VAT will be correctly accounted for
- Identifying any currency exposure and considering how this will be managed
- Identifying any Capital Expenditure and ensuring costs are correctly allocated and charged
- Identifying any Partners/Sub Contractors and ensuring terms & conditions are agreed and understood
- Briefing lead researcher on financial requirements of the project
- Advising academic staff on procurement processes
- Understanding the frequency and format of claims required by funder / partner institutions
- Drawing up invoicing schedule in line with contract terms
- Approving that funds are available to recruit/extend staff appointments
- Ensuring that the correct staff are charged to the account
- Processing and recording expenditure claims and invoices
- Analysing spend and checking that it is 'in line' with funders' terms and conditions
- Handling any necessary recharges (e.g. for Directly Allocated costs)
- Ensuring that indirect costs/overheads are charged correctly against the project
- Where appropriate ensuring that Facility charges are charged correctly against the project
- Ensuring that VAT rules have been correctly applied within the project
- Monitoring expenditure against the project budget and preparing reconciliations
- Ensuring partner returns are received on a timely basis and preparing a consolidated claim/invoice where appropriate
- Producing the financial claim / invoice, ensuring it is in the correct format for the sponsor
- Creating and maintaining a project statement
- Using early warning systems appropriately for lead researcher / partners
- Ensuring the lead researcher is aware of any potential over/under spends so that action can be taken where appropriate
- Considering any virement or reprofiling of balances
- Clarifying budget spend and forecast
- Forecasting future costs and variances on project
- Checking information prepared with lead researcher / partner institutions
- Ensuring payment of claim / invoice
- Verifying that payments are allocated against correct project claim or invoice
- Checking that all expenditure has been processed
- Closing the project

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Indicative Skills	Underpinning Knowledge
Accuracy – attention to detail **Self Management –**time management planning skills **IT** – experience of relevant systems and software **Numeracy** – confident with basic accounting concepts **Communication** with funders, researchers and partners **Analytical** – ability to interrogate systems and software and identify problems **Assertiveness** – dealing with difficult people **Negotiation** **Problem Solving**	Funder terms and conditions Institutional systems FEC rules Key institutional contacts for 'referring on' Procurement methodologies Contractual processes and regulations VAT rules Audit Legal issues (e.g. sub-contracting, contracts, legislation, governance) Budgeting / accounting procedure

Behaviours which underpin effective behaviours

- Aggregating, utilising and interpreting management information
- Monitoring progress and providing regular updates
- Taking personal responsibility for getting things done
- Managing workload and making effective use of time
- Accepting and demonstrating personal responsibility for compliance areas
- Keeping up to date with what is happening in professional area

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Project Lifetime

Dealing with Project Finance Management	
Aim to: • Ensure that the institution has efficient and effective systems and processes for recording, processing, collating, verifying and reporting project finance • Undertake management accounting responsibilities	
By: • Implementing and monitoring appropriate systems for processing all types of projects (e.g. grants, collaborative / joint grants, contracts, subcontracts, knowledge transfer placements etc.) • Implementing and monitoring systems to initiate, record, report and close project finance files • Implementing and monitoring systems to process, collate and verify project finance • Documenting systems and processes and producing user guidelines / handbooks • Overseeing finance accounting (including forecasting, accruals and variances) across the project portfolio • Implementing and monitoring procedures for raising problems / issues • Assessing special financial project management needs for high-value multi-partner high risk projects • Monitoring funder terms and conditions and ensuring that staff, documentation and systems are kept up-to-date with changing requirements • Ensuring there is appropriate training/communication in place to ensure staff are aware of emerging initiatives and changes • Undertaking year end accounting and management accounting analysis and reporting • Developing performance indicators appropriate to the university	
Indicative Skills **Communication –** documenting systems and processes **IT** – substantial experience of relevant systems and software **Numeracy** – high level of confidence with basic mathematical concepts **Influencing** – ability to influence institutional staff and processes to ensure project finance requirements are met **Problem Solving –** ability to identify problems and recommend solutions **Accountancy**	**Underpinning Knowledge** Funder terms and conditions Institutional systems and requirements FEC rules Procurement methodologies Contractual processes and regulations VAT rules Audit responsibilities Legal issues (e.g. sub-contracting, contracts, legislation, governance) Budgeting / accounting procedure Financial modelling Institutional finance & project roles and responsibilities

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Behaviours which underpin effective performance

- Aggregating, utilising and interpreting management information
- Being mindful of responsibility to organisation and funders in using resources
- Taking time to understand and diagnose problems by considering the whole picture
- Identifying risks and considering consequences of failure in advance
- Keeping up to date with what is happening in professional area

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Project Lifetime

Dealing with Project Finance

Leadership

Aim to:

- Ensure that the institution's financial systems and processes are 'fit for purpose'
- Ensure that financial issues arising from the project portfolio are quickly identified and addressed

By:

- Identifying and communicating institutional finance and project roles, responsibilities and regulations
- Documenting senior management and funder finance requirements
- Reviewing and reporting on finance accounting (including forecasting, accruals and variances) across the project portfolio for the institution
- Developing early warning systems for researchers / partners
- Establishing a procedure for raising problems / issues, aligned with the institutional escalation process
- Responding to financial issues arising from the project portfolio
- Creating appropriate accounting structures and treatments to handle complex, multi-party, multi-product activities
- Responding to funder' consultations
- Monitoring the portfolio of research projects at an appropriate level to identify shifts in funder type and assess risks

Indicative Skills	**Underpinning Knowledge**
Horizon scanning – identify the relevance and impact of potential solutions and good practice from internal and external sources **Numeracy** – proficient in accounting concepts **Communication** –document and describe systems, roles & responsibilities , problems and changing requirements to institutional staff and external parties **Influencing** – to ensure finance requirements are met **Problem solving –**identify problems and implement solutions **Creativity –**develop novel systems that meet institutional or funder requirements	Funder terms and conditions Institutional systems FEC rules Contractual processes and regulations VAT rules Legal issues (e.g. sub-contracting, contracts, legislation, governance) Budgeting / accounting procedure Financial modelling Institutional finance & project roles and responsibilities Current and future trends, internally and externally, in financial systems and processes

Behaviours which underpin effective performance

- Aggregating, utilising and interpreting management information
- Identifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole organisation
- Embracing new technologies, techniques and working methods

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- Modifying departmental/organisational strategy to adapt to changes in the wider environment

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Project Lifetime

Employing Staff on Research Projects

Operational

Aim to:

- Provide sound administrative support to ensure that recruitment and appointment is efficient and effective
- Provide on-going advice on employment issues

By:

- Producing a 'cost forecast' to ensure that funds are available for new post
- Completing recruitment request documentation
- Advising on appropriate grade and salary
- Drafting the job description and person specification or providing support to the lead researcher
- Submitting draft documentation to budget holder/lead researcher, for review
- Preparing costing of appointment (spine point, FTE)
- Submitting the job description and person specification to HR for advertisement
- Organising recruitment and selection interviews
- Checking the candidate's eligibility for contract, including Border Agency compliance
- Issuing a letter of employment
- Advising on UK/EU policy (redundancy, fixed term directive, etc.)
- Advising on HE policies and procedures which may arise during employment (e.g. maternity/sick leave)
- Keeping funders informed of any changes which may affect the duration of the grant
- Advising lead researcher on end of contract/redundancy procedures

Indicative Skills	**Underpinning Knowledge**
IT – spread sheets **Communication -** clear drafting of JD and person specification **Numeracy –** costing post **Interpersonal** - liaison with lead researcher/stakeholder, advising colleagues **Accuracy** - attention to detail **Self Management** - keeping to deadlines to avoid project delay **Analytical** – understanding and applying UK/EU policy and employment law, and specific grant conditions	Funders' guidelines Costing principles and software UK/EU HR policies (Gender and Diversity, redundancy, fixed term directive, equal opportunities etc.) HE HR policies (salary scales, maternity pay, sick leave, notice period etc.) Immigration requirements Tax and NI Key institutional contacts for 'referring on' Institutional systems

Behaviours which underpin effective performance

- Accepting and demonstrating personal responsibility for compliance areas
- Speaking and writing by using clear succinct language

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- Managing workload and making effective use of time
- Working across boundaries to develop relationships with other teams
- Listening, questioning and clarifying in order to understand your clients' needs
- Delivering consistent service standards
- Ensuring systems and processes are kept up to date

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Project Lifetime

Employing Staff on Research Projects	
Management	
Aim to: • Implement systems and processes relating to recruitment and appointment to ensure continuity of support for research projects	
By: • Ensuring that UK/EU/HE policy is followed (notice period, redeployment etc.) • Managing internal systems to avoid project delays • Building strong relationships between central/local research support services and other professional services • Advising academic staff of policy implications and how to deal with them fairly • Understanding how employment law relates to specific scientific careers • Attending meetings with HR professionals and/or union officials to ensure policy reflects needs of researchers as well as administrative staff • Flagging potential issues with funders as well as university HR professionals • Ensuring that the needs of researchers are reflected in the implementation of policy • Ensuring that relevant skills training is available for early career researchers	
Indicative Skills **Influencing** - liaising with research leaders re. policy adherence **Networking** – building relationships **Analytical** – understanding and applying UK/EU policy and employment law, and specific grant conditions	**Underpinning Knowledge** UK/EU HR policies (Gender and Diversity ,redundancy, fixed term directive, equal opportunities etc.) HE HR policies (salary scales, maternity pay, sick leave, notice period etc.) University systems
Behaviours which underpin effective performance • Deploying human resources efficiently, at the right levels and in appropriate ways • Recognising others' contribution to the achievement of objectives • Monitoring and reviewing the effectiveness of working relationships • Using understanding of other people's perspectives to help reach agreement • Working across boundaries to develop relationships with other teams	

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Project Lifetime

Employing Staff on Research Projects	
Leadership	
Aim to: • Develop systems and processes relating to recruitment, appointment and management of research staff, to ensure continuity of support for research projects and adherence to national benchmarks and regulations	
By: • Determining requirements of research recruitment and appointment processes • Developing training sessions on relevant employment legislation and HR policies and processes • Promoting and raising awareness of the Researcher Concordat, EU Fixed Term Directive etc. • Putting systems in place to enable the institution to fulfil the Concordat, EU Fixed Term Directive etc. • Putting systems in place to enable the institution to manage the ending of research contracts for reason of redundancy • Responding to consultations and contributing to local and national policy developments	
Indicative Skills **Analytical –** determining requirements I**nterpersonal -** liaising with UK and international agencies over researchers' needs **Communication** – raising awareness of policies and processes **Training and Development** **Influencing** – in relation to institutional policies **Networking** – building relationships	**Underpinning Knowledge** UK/EU HR policies (Gender and Diversity, redundancy, fixed term directive, equal opportunities etc.) HE HR policies (salary scales, maternity pay, sick leave, notice period etc.) Institutional systems Framework agreements e.g. Concordat
Behaviours which underpin effective performance • Ensuring plans are consistent with the objectives of the organisation • Providing clarity about responsibilities and accountabilities • Being well prepared for meetings and presentations • Speaking and writing by using clear succinct language • Ensuring equal access to development opportunities for all	

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Project Lifetime

Reports for Funders

Operational

Aim to:

- Gather together all of the information and resources required for the report
- Ensure the production of an accurate report that meets all funder's requirements and is delivered to deadline

By:

- Acting as principal point of contact for the institution
- Checking funder's terms and conditions and potential penalties
- Keeping staff informed of new requirements, e.g. impact data collection
- Drafting timetable for report submission
- Communicating with researchers and other colleagues re reporting requirements
- Liaising with research support services staff at local and central level
- Capturing relevant data at central and local level
- Drafting relevant sections of the report, as required
- Checking financial aspects of the report; e.g. checking that reported staffing details correlate with those on the proposal; ensuring `cost recovery' is maximised; verifying reported spend against recorded invoices; checking compliance with funder's terms and conditions (e.g. virement, legitimate costs); getting sign off by lead researcher; obtaining code for any overspend
- Identifying possible IP issues or business development opportunities from the scientific report
- Obtaining approval from authorised personnel
- Finalising report
- Ensuring that the report is 'signed off' at the institutional level
- Mailing / electronically submitting report
- Ensuring that the 'paper trail' is complete for audit

Indicative Skills	**Underpinning Knowledge**
Interpersonal – relationship building **Information management** - keeping `up to date' **Communication** - keeping clear records, briefing colleagues **Project Management** – oversight of report production **Analytical** – producing and checking reports **Numeracy** – checking financial requirements **IT** – capturing and recording data **Self Management** – adhering to deadlines	Key contacts in funding bodies Funders' internal relationships Funders' terms and conditions Who does what in the institution Audit responsibilities

Examples of behaviours which underpin effective performance

- Sharing information and keeping others informed

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- Identifying the information and knowledge people need and why they need it
- Maintaining a high standard of work even when under pressure
- Keeping track of a number of projects running simultaneously
- Monitoring progress and providing regular updates
- Meeting deadlines

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Project Lifetime

Reports for Funders	
Management	
Aim to: • Establish efficient and effective processes and practice to facilitate report preparation	
By: • Scheduling and prioritising own and staff workload to meet deadlines • Employing appropriate strategies to ensure that academic staff and colleagues meet deadlines • Building strong relationships between central / local research support services and other professional services • Developing systems and processes to capture/store data, especially relating to impact • Evaluating systems and processes to capture/store data • Supporting staff in using funders' systems, e.g. impact data collection	
Indicative Skills **Interpersonal –** building relationships **Infuencing–** encouraging colleagues to meet deadlines and use systems/processes **Analytical –** evaluating systems **Communication -** conveying information clearly, presentation **Self Management** – scheduling workload	**Underpinning Knowledge** Who does what in the institution Institutional systems Funders' systems Audit responsibilities
Examples of behaviours which underpin effective performance • Developing cross-service collaboration and being willing to share resources • Monitoring and reviewing the effectiveness of working relationships • Working across boundaries to develop relationships with other teams • Managing workload and making effective use of time • Getting the best from others through effective communication	

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Project Lifetime

Reports for Funders

Leading

Aim to:

- Contribute to the national agenda on reporting (e.g. TRAC, impact)
- Ensure that the institution is well-placed to fulfil funders' reporting requirements
- Act on issues arising from reports to funders

By:

- Ensuring that appropriate resources are allocated so that the research support service can meet workload - systems, IT, staffing
- Acting as a `champion' for TRAC, measuring research impact etc. within the institution
- Contributing to national developments, e.g. impact data collection tools, TRAC consultations
- Sharing ideas and good practice internally and externally
- Ensuring that IP and business development opportunities are pursued

Indicative Skills	**Underpinning Knowledge**
Influencing – contributing to national developments, ensuring adequate resources are provided **Networking –** benchmarking and sharing good practice **Communication** – promoting initiatives, contributing to consultations etc. **Horizon scanning –** monitoring changes in the external environment and evaluating their impact on the institution	IP Institutional systems Financial modelling Impact Audit responsibilities

Examples of behaviours which underpin effective performance

- Making use of information and resources gained through personal networks
- Deploying human resources efficiently, at the right levels and in appropriate ways
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Spotting an opportunity and taking action to do something about it
- Embracing new technologies, techniques and working methods
- Communicating upwards to influence policy formulation

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Translation

~~Dissemination and Public Engagement~~Pathways to Impact
Operational
Aim to: • Help researchers and the institution to engage effectively with audiences throughout the cycle of their research (including to disseminate and promote their research outputs and the implications of their research) in accordance with funder and institutional guidelines • Keep accurate records of all research outputs to enable monitoring of institutional impact and performance
By: • Understanding funders' terms and conditions with respect to dissemination of research outputs (including IP) and public engagement • Understanding the rationale for, and importance of, dissemination of research outputs and engagement both within and out with an academic audience • Helping researchers to engage actively with the public about their research and its broader implications • Helping researchers to demonstrate an awareness of the social and ethical implications of their research and to take account of public attitudes towards those issues • Keeping 'up to date' with new technologies for / approaches to dissemination and engagement • Advising researchers on the best dissemination and engagement channels for academic, user and public audiences • Advising researchers of specific funding available to cover costs of dissemination, public engagement and Open Access • Keeping researchers informed of institutional policies on copyright and Intellectual Property (IP) • Keeping researchers informed of institutional and funder policies on Open Access • Keeping researchers informed of publishers' copyright policies • Ensuring that researchers read and understand the contracts they sign with publishers • Supporting preparation / uploading of research outputs in required format • Ensuring that researchers are aware of data curation / storage requirements • Producing promotional material • Ensuring that all research outputs are recorded in institutional systems • Producing reports on research outputs for internal/external use • Developing case study materials that can be used in the context of REF Impact • Delivering training in relation to dissemination and public engagement

Indicative Skills	**Underpinning Knowledge**
IT - producing graphs, spread sheets, recording outputs, Open Access **Information search** – keeping `up to date' **Communication** – preparing case studies and news articles, briefing colleagues	Funders' terms and conditions Institutional policies – IP, copyright etc. Institutional systems Open access Data curation IP including copyright

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Marketing/PR – publicising the institution's research-related activities **Interpersonal** - gathering and collating information, advising researchers **Analytical –** understanding/ applying funder's guidance	Library and publishers' viewpoints

Examples of behaviours which underpin effective performance

- Embracing new technologies, techniques and working methods
- Adapting approach to respond to changes outside of the organisation
- Consistently giving positive messages about the organisation
- Keeping up to date with what is happening in professional area
- Getting the best from others through effective communication
- Keeping up to date with what is happening in wider HE environment

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Translation

Dissemination and Public Engagement
Management

Aim to:

- Maintain an overview of research outputs and monitor institutional impact and performance
- Ensure that researchers have access to all of the information necessary to enable them to disseminate their research outputs and engage with the public, to best effect
- Monitor and report researchers' compliance with institutional and funder requirements
- Understand how to collect evidence of research impact
- Disseminate relevant changes to institutional or external stakeholder policies to researchers and research office staff members

By:

- Promoting and facilitating effective communication with funders, repository staff, library staff and researchers
- Ensuring that researchers comply with funders' terms and conditions, and with institutional requirements, with respect to dissemination/Open Access/public engagement
- Ensuring that researchers comply with data archiving requirements
- Maintaining an overview of dissemination, public engagement and impact of research outputs
- Developing processes to support the collation and publication of research outputs
- Reporting institutional impact of research outputs to the senior management team
- Working in collaboration with other professional services with a stake in research outputs (e.g. library, planning function)
- Developing training materials in relation to dissemination and public engagement
- Providing mentoring on dissemination/public engagement for researchers at all career stages
- Promoting, and maximising use of, budgets provided for research outputs dissemination and public engagement

Indicative Skills	**Underpinning Knowledge**
Communication - written and spoken **Influencing** – ensuring compliance **Networking** – building relationships **Analytical** - comparing results, league tables **Training and development -** facilitation, coaching and mentoring, course design **Creativity** – developing systems and processes	Who does what in the institution Funders' terms and conditions Institutional policies Institutional systems Open access Data curation Library and publishers' viewpoints Intellectual Property (IP) including copyright Social and ethical implications of research

Examples of behaviours which underpin effective performance

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- Monitoring and reviewing the effectiveness of working relationships
- Using understanding of other people's perspectives to help reach agreement
- Coaching and mentoring others
- Making time to think about the development of colleagues
- Identifying the information and knowledge people need and why they need it
- Drawing on others' knowledge, skills and experience

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Translation

Dissemination and Public Engagement
Leadership

Aim to:

- Contribute to the national agenda on dissemination and public engagement
- Ensure that the institution is well-placed to disseminate its research outputs and engage with the public, to best effect
- Ensure that the impact of dissemination is maximised, e.g. reinforcing dissemination with complementary KE/KT activity

By:

- Contributing to national policy consultations, e.g. dissemination/Open Access/public engagement
- Being a champion for dissemination and public engagement initiatives within the institution
- Developing and maintaining an Open Access policy for the institution
- Developing and maintaining an Open Access publication charge policy, if applicable
- Working with marketing and communications to develop strategies for promoting research outputs
- Selecting and developing institutional systems for storage and reporting of research outputs
- Identifying training needs in relation to dissemination and public engagement
- Sharing good practice, internally and externally

Indicative Skills	**Underpinning Knowledge**
Communication – writing and promoting policy **Interpersona**l – be a `champion', contribute to the national agenda **Influencing –** contributing to national policy developments **Creativity –** developing policy	HE environment Research environment Open Access Institutional systems

Examples of behaviours which underpin effective performance

- Creating and articulating a vision for own area of responsibility
- Creating momentum and enthusiasm about what needs to be done
- Spotting an opportunity and taking action to do something about it
- Viewing change situations as opportunities for improving and developing work
- Adapting approach to respond to changes outside of the organisation

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Translation

Knowledge Exchange and Business Development	
Operational	
Aim to: • Support researchers to develop effective KE/KT strategies in their field • Stimulate and facilitate relationships between researchers and external partners to reach mutually beneficial agreements on KE/KT • Maintain relationships with partners and customers with a view to further collaboration and repeat business	
By: • Working with researchers to develop KE/KT and translational research proposals • Representing the institution at targeted external events • Building, developing, delivering and managing relationships and effective agreements and transactions with potential partners • Brokering relationships between researchers and external partners to effect collaboration • Account managing a portfolio of customers/partners • Applying a professional approach to customer relationship management, including diligent use of appropriate processes and IT systems • Using appropriate language and approaches for different partners e.g. researchers, industry, business • Understanding local and institutional needs and finding commonality with the needs of customers and partners • Using own expertise to help find a solution that addresses all parties' needs • Managing and/or monitoring projects to successful outcomes • Constructing business plans	
Indicative Skills **Marketing/PR –** marketing the institution externally, promoting KE/KT to colleagues **Sales** – promoting research / ideas to potential partners **Analytical** - matching opportunities to KE/KT priorities **Communication** – contract drafting, proposal development and drafting **Networking** - internal and external **Negotiation –** contracts, solutions, structuring deals etc. **Numeracy –** costing and pricing, business plans **Project Management –** designing and delivering, managing external suppliers and advisers **Interpersonal -** listening and questioning,	**Underpinning Knowledge** Institutional strategy Sector knowledge Market awareness Individual's networks and contacts Internal research strengths Previous research links in the area Institutional and partners' remits Potential funders IP Contracts (e.g. due diligence) Legal and tax issues (e.g. sub-contracting, licensing etc.) CRM systems and approaches Commercial developments in relevant field Policy environment

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Information Search - identifying and targeting funding opportunities	

Examples of behaviours which underpin effective performance

- Consistently giving positive messages about the institution
- Listening, questioning and clarifying in order to understand your customers' needs
- Spotting an opportunity and taking action to do something about it
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Influencing outcomes when bidding or negotiating for resources
- Considering cost benefit analysis implications of decisions
- Sharing learning and experience to facilitate others' decision making
- Liaising with external bodies, suppliers and other HE bodies

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Translation

Knowledge Exchange and Business Development Management	
Aim to: • Develop an achievable, measurable and realistic operational plan for implementing the institutional KE/KT policy and strategy • Ensure that the institution adheres to legal and regulatory requirements in relation to its research and knowledge exchange, e.g. clearly delineating research and consultancy activity • Develop systems and procedures to support enhanced institutional performance • Maintain own knowledge of institutional research to underpin successful promotion of business development opportunities	
By: • Understanding and implementing institutional KE/KT Strategy • Managing the KE/KT function, ensuring quality of interactions with partners/customers • Account managing key clients (e.g. partners/customers) • Understanding the relationship between KE/KT and other professional services functions in the institution • Developing institutional and faculty procedures to support business development for KE/KT (e.g. Finance, legal, insurance) • Implementing and developing CRM approaches • Developing a repository of reference material and promoting to colleagues • Contributing to staff induction	
Indicative Skills **People Management** – including matrix management **Interpersonal** – internal, stakeholder & external **Communication –** producing reference material **Networking -** to identify and share best practice **Analytical -** process design and delivery, designing measurement systems	**Underpinning Knowledge** Institutional strategy Institutional systems and procedures KT/KE processes National and international policy dimensions Development and use of CRM systems
Examples of behaviours which underpin effective performance • Sharing good practice with other parts of the organisation • Making use of information and resources gained through personal networks • Listening, questioning and clarifying in order to understand your customers' needs • Ensuring systems and processes are kept up to date • Being up to date with best customer service practice in the sector • Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders	

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Translation

Knowledge Exchange and Business Development

Leadership

Aim to:

- Develop an effective institutional strategy for KE/KT
- Secure institutional commitment to and engagement in KE/KT
- Contribute to the wider agenda on KE/KT, e.g. national and international

By:

- Leading institutional KE/KT policy and strategy
- Contributing to the institution's research and commercialisation strategies (including consultancy)
- Developing the KE/KT office/function and embedding in institutional practice
- Promoting the importance of KE/KT to institutional staff
- Contributing to regional/national KE/KT networks, policies and initiatives
- Sharing good practice with colleagues within and beyond the institution
- Identifying new opportunities/approaches and presenting them to the senior management team
- Acting as ambassador for the institution and for the profession
- Enthusing and influencing internal and external stakeholders
- Leading development of CRM and account management approaches, policies and systems
- Understanding the potential connectivity between KE/KT and research 'Impact'

Indicative Skills	**Underpinning Knowledge**
Interpersonal – internal, stakeholder & external **Communication –**contributing to networks and promoting KE/KT **Marketing/PR -** to colleagues, external stakeholders **Sales**-Promoting the value of KE/KT to colleagues **Influencing -** persuasive writing and presentation **Analytical –** developing systems, identifying opportunities **IT** – CRM systems	Institutional strategy HE context Existing major/strategic relationships and projects Major market trends and drivers Government Policy drivers International environment

Examples of behaviours which underpin effective performance

- Creating momentum and enthusiasm about what needs to be done
- Ensuring plans are consistent with the objectives of the institution
- Taking a creative approach to change which challenges assumptions and is not based purely on enhancing existing practice
- Communicating change in a positive manner through influencing and persuasion
- Actively seeking new ideas and approaches from outside the institution

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• Suggesting and trying out new approaches

Translation

Technology Transfer	
Operational	
Aim to: • Identify, assess, and protect institutional Intellectual Property (IP) to maximise use and uptake of research outputs • Complete the best deal possible, balancing financial returns against broader returns, including impact of research outputs on the economy and society	
By: • Understanding institutional priorities for technology transfer • Seeking technology transfer opportunities that support institutional priorities • Supporting researchers to be effective in technology transfer in their relevant discipline • Identifying research proposals and current research projects that have potential technology transfer outputs • Identifying and assessing useful IP in research outputs • Protecting IP, including instructing and liaising with IP professionals such as patent agents and legal advisors • Identifying need for Proof of Concept or translational project development and seeking funding for this • Identifying and building relationships with potential licensees • Identifying 'routes to market' • Providing commercial rigour added to academic excellence • Marketing and selling IP to licensees • Brokering relationships between researchers and licensees to generate collaboration • Defining, negotiating, and successfully closing license and related agreements • Creating spin-out companies, including business models, business planning, legal, financial and management aspects • Seeking and engaging capable and effective management for spin-out companies • Raising capital for spin-out companies e.g. Venture Capital, translational and development funding • Working and supporting other research and knowledge transfer professionals across the institution • Delivering training in relation to technology transfer	
Indicative Skills **Analytical** - matching opportunities to institutional priorities, identifying need for PoC/development	**Underpinning Knowledge** Institutional strategy Sector knowledge Market awareness Individual's networks and contacts

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Marketing/PR – market analysis, marketing the institution externally **Communication** –use of language in different contexts, reporting and presentation skills etc. **Sales** – promoting technologies to external contacts **Networking** - internal and external **Negotiation –** contracts, solutions, structuring deals, company structures, equity transactions etc. **Numeracy –** costing and pricing, company finances, business plans, complex license stacking, share dilution etc **Interpersonal** – listening and questioning **Influencing** – persuasive writing and presentation **Creativity** – finding solutions	Institutional and partners' remits Potential funders IP Setting up companies and company structures Tax awareness Trading internationally Contracts (e.g. due diligence) Legal issues (e.g. sub-contracting, licensing, setting up a business etc.) Client and partnership management Use of CRM systems Commercial awareness and acumen

Examples of behaviours which underpin effective performance

- Consistently giving positive messages about the organisation
- Listening, questioning and clarifying in order to understand your clients' needs
- Spotting an opportunity and taking action to do something about it
- Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas
- Influencing outcomes when bidding or negotiating for resources
- Considering cost benefit analysis implications of decisions
- Sharing learning and experience to facilitate others' decision making
- Liaising with external bodies, suppliers and other HE bodies

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Translation

Technology Transfer Management
Aim to: • Develop systems and procedures to support enhanced institutional performance in relation to technology transfer • Ensure that the institution adheres to legal and regulatory requirements in relation to technology transfer • Manage the institutions portfolio of IP, balancing costs and risks
By: • Account managing key clients • Maintaining 'up to date' knowledge of potential partners, including funders, investors and potential licensees • Raising researchers awareness of technology transfer • Leading relationships and linkages with other professional services functions • Developing procedures to support technology transfer in all relevant forms e.g. licensing of copyrighted materials • Monitoring legal and regulatory requirements in relation to technology transfer • Implementing and developing CRM approaches • Mentoring and coaching staff involved in technology transfer • Developing training for staff involved in technology transfer • Managing the technology transfer function, ensuring quality of interactions with partners/customers • Acting on behalf of the institution in related entities

Indicative Skills	Underpinning Knowledge
Interpersonal – internal, stakeholder & external **Information Search** – keeping `up to date' with remits of potential partners **Marketing/PR** – promoting the value of technology transfer to colleagues **Training and Development** – including coaching and mentoring **Influencing -** persuasive writing and presentation **Problem Solving** – developing procedures **Networking -** to identify potential partners and share good practice **Analytical -** process design and delivery, designing measurement systems **Negotiation** – acting on behalf of the institution	Institutional strategies Institutional systems and procedures Internal research strengths Individual's networks and contacts Existing relationships and projects Technology transfer processes National and international policy dimensions Invest environment Key competitors Partner remits Use of CRM systems

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Examples of behaviours which underpin effective performance

- Sharing good practice with other parts of the organisation
- Making use of information and resources gained through personal networks
- Listening, questioning and clarifying in order to understand your clients' needs
- Ensuring systems and processes are kept up to date
- Being up to date with best client service practice in the sector
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders

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Translation

Technology Transfer
Leadership
Aim to: • Set the institution's vision for technology transfer and its role in the work of the institution • Develop achievable, measurable and realistic institutional processes and systems to promote and embed technology transfer • Drive a cohesive approach to technology transfer, and secure institutional engagement in the technology transfer strategy
By: • Setting the technology transfer vision for the institution, or supporting and contributing to this vision (institution-dependent) • Developing the technology transfer function and embedding it in institutional practice • Raising the profile of technology transfer within the organisation • Contributing to regional/national technology transfer networks, policies and initiatives • Identifying colleagues' training needs in relation to technology transfer • Sharing good practice with colleagues within and beyond the institution • Contributing to the wider agenda on technology transfer e.g. national and international • Acting as ambassador for the institution and for the profession • Understanding the potential connectivity between technology transfer and 'Impact' • Enthusing and influencing internal and external stakeholders • Leading development of CRM and account management approaches, policies and systems

Indicative Skills	**Underpinning Knowledge**
Interpersonal – internal, stakeholder & external **Communication** – presenting at internal/external meetings, contributing to national consultations **Networking** – representing the institution on regional groups **Marketing/PR -** to staff **Influencing -** persuasive writing and presentation **Analytical –** developing systems, identifying opportunities **IT** – including CRM systems **Horizon Scanning** – monitoring the external environment for changes that might impact on the institution	Institutional strategy HE context Existing major/strategic relationships and projects Major market trends and drivers Government Policy drivers International environment

Examples of behaviours which underpin effective performance

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- Creating momentum and enthusiasm about what needs to be done
- Ensuring plans are consistent with the objectives of the organisation
- Taking a creative approach to change which challenges assumptions and is not based purely on enhancing existing practice
- Communicating change in a positive manner through influencing and persuasion
- Actively seeking new ideas and approaches from outside the organisation
- Suggesting and trying out new approaches

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Translation

Supporting CPD Courses
Operational
Aim to: • Monitor and promote the value of running CPD courses as an additional income stream, at a local and institutional level • Identify new opportunities based on sound market research and in areas of institutional expertise • Provide sound administrative support to ensure that courses are well-organised and meet identified need

By:
• Looking for and proactively targetting external training needs that match institutional priorities
• Identifying opportunities for joint working across the institution and with external partners
• Understanding the needs of the institution and the needs of customers and partners
• Identifying opportunities for courses, based on institutional expertise and market needs
• Researching the market
  ○ Who are the target audience?
  ○ Would there be sufficient numbers to make the programme viable?
  ○ Do other institutions offer similar programmes?
  ○ How much would the programme cost to run?
  ○ How much would participants be prepared to pay?
• Assessing whether the programme could generate income
• Organising the delivery of the course, including:
  ○ Agreeing the format, timing, remit and target audience for required training
  ○ Preparing an agenda/workshop/course
  ○ Discussing context, content and approach with academic colleagues
  ○ Costing and pricing
  ○ Preparing publicity material and marketing the course in relevant media
  ○ Organising speakers/presenters or other format
  ○ Organising venue/catering
  ○ Taking bookings, sending reminders, confirming bookings
  ○ Checking room, introducing speaker
  ○ Accounting for costs and income
  ○ Drafting and negotiating contracts or contractual frameworks for delivery of courses
• Costing and pricing of courses
• Preparing and monitoring budgets
• Providing support for speakers

Indicative Skills	**Underpinning Knowledge**
Analytical - identifying training need, target audience etc.	Institutional strategy Sector knowledge

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Numeracy – costing and pricing possible courses **Information Search –** undertaking market research **Training and Development** - course design **Marketing/PR** - developing publicity materials **Self Management –** establishing and working to deadlines **Information Management** - co-ordinating venue booking, attendees **Communication** - written and spoken **Interpersonal -** to underpin market research, course design, marketing, co-ordination etc. **IT** - Powerpoint, Outlook, Excel	Market awareness Internal teaching strengths Course design principles Budget management Institutional systems, procedures and facilities Contracts (e.g. due diligence) Legal and tax issues (e.g. sub-contracting to third party trainers etc.) Client and partnership management Use of CRM systems Course registration systems Financial payment systems

Examples of behaviours which underpin effective performance

- Taking personal responsibility for getting things done
- Using all situations as potential learning opportunities
- Ensuring equal access to development opportunities for all
- Using resources in ways that are efficient and minimise any adverse impact on the environment
- Identifying the information and knowledge people need and why they need it
- Considering costs as part of the equation when planning a development

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Translation

Supporting CPD Courses

Management

Aim to:

- Develop an achievable, measurable and realistic operational plan to oversee the delivery and administration of courses
- Develop systems and procedures to support enhanced institutional performance, including appropriate responses to quality assurance issues, e.g. professional accreditations, credit-bearing routes

By:

- Assuring programme quality - institutional/Professional Body/other processes
- Developing procedures to support course development.
- Identifying effective marketing/publicity channels
- Implementing and developing CRM approaches - maintaining a contact list of partners, speakers, participants, other suppliers
- Account managing a portfolio of customers/partners
- Monitoring and responding to participant feedback
- Managing relationships and linkages with other professional services functions

Indicative Skills	**Underpinning Knowledge**
Problem Solving – developing procedures, trouble-shooting **Analytical**- managing quality assurance issues **Networking -** to identify potential partners and share good practice **IT** - database, distribution lists, web pages etc. **Communication** - summary of/response to feedback **Interpersonal** – listening, building relationships, giving constructive feedback **Information Search** – keeping `up to date' with remits of potential partners and competitors	Institutional strategy Institutional systems and procedures Internal teaching strengths Questionnaire design Quality assurance, e.g. professional accreditation Existing relationships and projects Individual's networks and contacts National and international policy dimensions Potential funder environment and competitor strengths The development and use of CRM systems

Examples of behaviours which underpin effective performance

- Liaising with external bodies, suppliers and other HE bodies
- Using client feedback to drive improvements
- Delivering consistent service standards
- Engaging positively with quality assessment processes
- Ensuring that working arrangements, resources and processes respond to different needs, abilities, values and ways of working

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Translation

Supporting CPD Courses

Leadership

Aim to:

- Develop an effective institutional strategy for CPD course provision
- Develop effective institutional processes and systems to underpin CPD course provision, including the potential integration into the wider teaching/learning activity of the institution
- Secure institutional commitment to and engagement in CPD course provision
- Contribute to the wider agenda on CPD course provision, e.g. participating in national debate regarding skills training needs

By:

- Leading institutional policy and strategy on CPD course provision
- Developing an appropriate support infrastructure to support CPD course provision
- Leading of the development of new courses, e.g. identifying topics that could be delivered as CPD programmes
- Promoting the importance of CPD course provision to institutional staff
- Identifying new opportunities/approaches and presenting them to the senior management team
- Scanning the external environment for new or changing trends
- Enthusing and influencing internal and external stakeholders
- Leading development of CRM and account management approaches, policies and systems
- Understanding the potential connectivity between CPD courses and other core institutional activity

Indicative Skills	**Underpinning Knowledge**
Interpersonal – internal, stakeholder & external **Communication** – presenting opportunities to thesenior management team **Marketing/PR -** to staff **Sales**-Promoting CPD courses externally **Influencing -** persuasive writing and presentation **Analytical –** developing systems, identifying opportunities **IT** – CRM systems **Horizon Scanning** – identifying trends and new opportunities	Institutional strategy HE context Non-HE context Existing major/strategic relationships and projects Major market trends and drivers (market research techniques) Government Policy drivers International environment

Examples of behaviours which underpin effective performance

- Spotting an opportunity and taking action to do something about it
- Adapting approach to respond to changes outside of the organisation

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- Scanning the wider environment to seek opportunities to develop the organisation
- Considering costs as part of the equation when planning a development
- Using informal systems and channels of communication to inform and support objectives

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Supporting Postgraduate Researchers

Supporting Postgraduate Researchers
Operational
Aim to: • Identify and secure funding for postgraduate researchers • Help the institution to recruit and retain good postgraduate researchers • Provide sound administrative support for the postgraduate researcher progression, examination and graduation systems • Engage in relevant quality assurance activities
By: • Monitoring information sources • Briefing colleagues on requirements for particular funding programmes • Sourcing PGR funding - preparing, approving, submitting applications • Advertising studentships • Fielding enquiries from prospective students • Co-ordinating applications and interviews • Participating in recruitment panels • Providing an admissions service for students • Enrolling and inducting students • Ensuring compliance with immigration / visa requirements • Organising stipend payments and payment of fees • Advising colleagues on PGR regulations (e.g. suspension, withdrawal) • Checking fee status of EU/home staff • Completing reports (e.g. on Jes) • Monitoring supervision arrangements • Overseeing withdrawals, maternity leave, transfers etc. • Organising annual progression processes • Organising PGR examinations • Ensuring examination outcomes are ratified by appropriate committees • Supporting relevant committees at local and institutional level • Co-ordinating thesis submission • Assisting with graduation arrangements • Maintaining student records and database • Reconciling expenditure statements • Feeding information into HESA returns • Co-ordinating involvement in the Postgraduate Researcher Experience Survey, the Contract Research Online Survey and the Principal Investigators and Research Leaders Survey • Responding to the findings of the Postgraduate Researcher Experience Survey, the Contract Research Online Survey and the Principal Investigators and Research Leaders Survey Establishing a Doctoral Training Centre • Providing REF data • Briefing colleagues on PGR-related issues e.g. immigration • Administering Doctoral Training Accounts and similar funds • Compiling researcher training programme

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Indicative Skills	Underpinning Knowledge
Interpersonal - advising students and academics **Accuracy** – keeping student records **Problem Solving** – troubleshooting problems with visas etc. **Numeracy** – reconciling expenditure **IT –** database **Administrative -** committee servicing, organising exams **Assertiveness** – dealing with enquiries from students, prospective students and colleagues **Information Search -** identifying funding alerts **Information Management –** managing students' records **Communication** – briefing colleagues	QAA code of practice Key institutional contacts for `referring on' Contracts, including EU Funders' rules and regulations, including EU (e.g virement) Institutional systems Internal finance systems Institutional policies and procedures (e.g. graduation) UK/EU HR policies (redundancy, fixed term directive, equal opportunities etc.) HE HR policies (salary scales, maternity pay, sick leave, notice period etc.) Immigration requirements

Examples of behaviours which underpin effective performance

- Tailoring communication to meet customer' needs
- Delivering consistent service standards
- Establishing rapport
- Sharing information and keeping others informed
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Identifying the information and knowledge people need and why they need it

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Supporting Postgraduate Researchers

Supporting Postgraduate Researchers	
Management	
Aim to: • Oversee and assure quality of provision and support for postgraduate researchers • Monitor and respond to external changes in postgraduate researcher policy and ensure that colleagues are kept 'up to date'	
By: • Establishing doctoral training grant processes • Ensuring compliance with institutional regulations/QAA guidance • Overseeing annual monitoring process and producing reports for relevant committees • Interpreting and acting on Research Council guidelines relating to Postgraduate Researchers • Co-ordinating enrolment and induction processes • Overseeing research student finance (e.g. bursary payments, training allowances) • Managing large doctoral training awards (financial and student management) • Overseeing preparation of large institutional doctoral training applications	
Indicative Skills **Analytical** – interpreting guidelines **Communication** – producing reports **Administrative** – supporting relevant committees **Networking-** sharing ideas and good practice **Interpersonal**– co-ordinating large institutional bids, induction, enrolment etc.	**Underpinning Knowledge** Course design principles UK/EU HR policies (redundancy, fixed term directive, equal opportunities etc.) Institutional HR policies (salary scales, maternity pay, sick leave, notice period etc.) Immigration requirements
Examples of behaviours which underpin effective performance • Sharing good practice with other parts of the organisation • Keeping up to date with what is happening in professional area • Being well prepared for meetings and presentations • Accepting and demonstrating personal responsibility for compliance areas	

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Supporting Postgraduate Researchers

Supporting Postgraduate Researchers	
Leadership	
Aim to: • Provide leadership with regard to institutional provision for postgraduate researchers • Set targets for postgraduate research provision	
By: • Drafting Postgraduate Researcher policy • Acting as a champion on postgraduate researcher issues, within the institution • Acting as Director of a Doctoral Training Centre • Specifying management information systems to capture research student data • Developing partnerships with other institutions for recruitment and programme delivery • Leading Research Council' bids for block grant, Doctoral Training Centres etc. • Acting as ambassador for the institution and for the profession • Liaising with senior management re the strategic direction of PGR programmes • Sharing ideas and good practice internally and externally	
Indicative Skills **IT –** developing management information systems **Communication** – drafting policy, presenting internally and externally, preparing specifications for new systems **Networking** – building alliances and partnerships **Interpersonal –** relationship building **Influencing** – presenting ideas to the senior management team **Horizon Scanning** – identifying changes that might impact on the institution	**Underpinning Knowledge** Research environment HE environment How to benchmark against other institutions Research Council guidelines
Examples of behaviours which underpin effective performance • Creating and articulating a vision for own area of responsibility • Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas • Sharing learning and experience to facilitate others' decision making • Liaising with external bodies, supplies and other HE bodies	

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Policy and Governance

Contributing to Research Policy and Strategy

Operational

Aim to:

- Monitor the external research policy and funding environment and provide accurate, up-to-date information to key institutional staff to support decision-making
- Maintain own knowledge of research policy (at local or institutional level as appropriate) to underpin interactions with internal and external contacts
- Provide accurate, timely and relevant information to support internal and external processes (e.g. audits, consultations, committees)

By:

- Identifying external trends in funding opportunities (size and nature of opportunities) and feeding back at institutional and local level
- Identifying internal trends in funding (project and PGR) awards won (size and nature of awards) and in outputs, and feeding back at institutional and local level
- Gathering information from funders and other stakeholders in relation to institutional priorities
- Discussing academics' publication strategy with them, in relation to institutional and local incentives, benchmarks and targets
- Providing information in an appropriate format and to the timescales required for internal and external assessments
- Providing qualitative and quantitative input to internal and external consultations, as required
- Providing qualitative and quantative input to the research policy committee, as required
- Co-ordinating the Transparent Approach to Costing (TRAC) process
- Calculating indirect rates, estates rates, staff day rates, research facilities' rates
- Advising researchers on research policy and strategy and research governance issues

Indicative Skills	**Underpinning Knowledge**
Networking – building relationships/liaising with internal staff **Interpersonal** – listening/asking questions **Information Search** – identifying funding trends **Information Management** – sorting and disseminating **Communication** – verbal and written **Administrative –** minute meetings **Numeracy –** calculating charge rates for TRAC **IT** - spreadsheet, database	Institutional and/or local (as appropriate) research strategy External research environment (REF, Pathways to Impact, Concordat for Engaging the Public with Research, Concordat to Support the Career Development of Researchers etc.) HE Environment Key Stakeholders Funder and government priorities Institutional finances Research process TRAC/FEC

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Examples of behaviours which underpin effective performance

- Aggregating, utilising and interpreting management information
- Considering cost benefit analysis implications of decisions
- Making use of information and resources gained through personal networks
- Using informal systems and channels of communication to inform and support objectives
- Liaising with external bodies, suppliers and other HE bodies
- Identifying the information and knowledge people need and why they need it
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Being knowledgeable about key players who will influence the work you do

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Policy and Governance

Contributing to Research Policy and Strategy Management

Aim to:

- Develop an achievable and realistic operational plan and underpinning processes for implementing the local and/or institutional research policy and strategy
- Ensure that the individual researchers and the institution adhere to legal and regulatory requirements in relation to their / its research
- Co-ordinate the preparation of accurate, timely and relevant information to support internal and external processes (e.g. audits, consultations, committees)

By:

- Developing and implementing operational plans to support research policy and strategy
- Assessing the impact of trends in funding and making recommendations to the institution
- Contributing to discussions on research contingency – investment/de-investment in specific areas
- Writing reports and other documents to contribute to the internal policy debate
- Developing policy (review previous policy, consider new guidance/legislation, draft policy, send to stakeholders for review, consider reviewers' comments, gain approval of relevant bodies)
- Providing internal briefing documents on implications of policy developments
- Maintaining oversight of research code of conduct/governance policies etc.
- Co-ordinating preparation for internal and external assessments
- Managing internal and external assessments
- Responding to consultation documents and drafting management responses to audits
- Developing operational plans to implement audit recommendations
- Briefing colleagues on requirements for FEC
- Advising the senior management team on FEC implementation
- Devising systems to collect data required for FEC

Indicative Skills	**Underpinning Knowledge**
Networking – internally/externally with RMAs/other key stakeholders **Analytical** – recommending policy direction **Strategic** –formulating policy direction **Communication –** report writing, conveying information clearly, presentation **Influencing** – persuasive writing and presentation **Problem Solving** – addressing issues raised by audit **Interpersonal** – listening to views and adapting responses	Institutional and/or local (as appropriate) research strategy Institutional systems External research environment (Open Access, Open Research and Open Data, REF, Pathways to Impact, Concordat for Engaging the Public with Research, Concordat to Support the Career Development of Researchers etc.) HE environment Key stakeholders Funder and government priorities Institutional finances and resource allocation model / mechanism Research process

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	TRAC/ FEC

Examples of behaviours which underpin effective performance

- Speaking and writing by using clear succinct language
- Keeping up to date with what is happening in professional area
- Keeping up to date with what is happening in wider HE environment
- Monitoring progress and providing regular updates
- Sharing learning and experience to facilitate others' decision making

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Policy and Governance

Contributing to Research Policy and Strategy

Leadership

Aim to:

- Review and develop institutional/local research policy and strategy in response to changes in the internal and external environment
- Secure colleagues' commitment to internal and external processes including audits, consultations and committees
- Ensure institutional compliance and `buy in' to legal requirements and sector guidelines
- Influence political institutions and public official for the benefit of the organisation

By:

- Assessing the impact of external factors on research policy and strategy and leading institutional response
- Formulating research policy and strategy
- Ensuring 'buy in' to research policies and strategies at all levels
- Developing incentives, benchmarks and initiatives to promote research in 'target' areas
- Raising awareness of the purpose and value of internal and external assessments
- Disseminating and celebrating the results of internal and external assessments
- Acting as ambassador for the institution and for the profession
- Sharing ideas and good practice internally and externally
- Raising awareness of TRAC / FEC and its principles
- Contribute to consultations and national policy developments

Indicative Skills	**Underpinning Knowledge**
Networking -internally/externally with other key leaders **Influencing** - getting 'buy in' to research policy and strategy **Horizon Scanning** – monitoring external developments and assessing their impact on the institution **Creativity** – developing new initiatives **Communication** – drafting policy, contributing to consultations **Interpersonal** – building relationships, listening to colleagues	Institutional research strategy (REF, Pathways to Impact, Concordat for Engaging the Public with Research, Concordat to Support the Career Development of Researchers etc.) External Research Environment HE environment Key stakeholders University priorities HR policies and processes – ordinances Governance Political environment International perspectives

Examples of behaviours which underpin effective performance

- Scanning the wider environment to seek opportunities to develop the organisation
- Modifying departmental/organisational strategy to adapt to changes in the wider environment
- Sharing good practice with other parts of the organisation

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- Being effective in gaining buy-in without having any direct authority
- Evaluating the success of projects and disseminating lessons that can be learned
- Taking time to celebrate successes

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Policy and Governance

Contributing to REF

Operational

Aim to:

- Maintain accurate records that provide data for the REF and that can be used to monitor progress against key performance indicators
- Provide 'up to date' REF information and guidance to staff
- Provide, collect, collate and check data to produce the best possible REF submission

By:

- Maintaining accurate records (research applications, awards, income, PGRS, research outputs, and impact) and records on partners, collaborators and stakeholders
- Providing management information to the senior management team
- Acting as secretary to relevant groups and committees
- Benchmarking the institution and individual Units of Assessment (UoA) against the sector
- Disseminating Funding Council information, guidance and updates
- Acting as a 'point of contact' for various stages of the exercise
- Liaising with researchers and other colleagues to collect and check data
- Cross-checking data and following up missing or inaccurate data
- Providing support to colleagues in preparation of the final submission
- Arranging 'mock' panel reviews

Indicative Skills	**Underpinning Knowledge**
Analytical – identifying gaps in data, providing management information **Interpersonal** – liaising with academic and administrative staff **IT** – data manipulation skills **Accuracy** – data checking and proof reading **Communication** – written and verbal briefing on Funding Council guidance **Networking** – to identify and share good practice **Information Management** - maintaining records	REF guidelines REF priorities and purpose External research environment HE environment Institutional systems Who does what in the institution

Examples of behaviours which underpin effective performance

- Being well prepared for meetings and presentations
- Speaking and writing by using clear succinct language
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Monitoring and reviewing the effectiveness of working relationships
- Meeting deadlines

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- Monitoring progress and providing regular updates

Policy and Governance

Contributing to REF

Management

Aim to:

- Plan and oversee local / institutional preparation for the REF
- Prepare initial UoA submissions for consideration by the senior management team
- Promote REF-related activity both locally and centrally

By:

- Evaluating previous research assessments to identify ways of improving process
- Advising the senior management team on policies, processes and requirements for the REF
- Devising systems to collect data on research outputs, income and impact
- Briefing colleagues and ensuring that they are trained to deal with REF requirements
- Sharing knowledge and expertise from current panel/sub-panel members
- Promoting good practice in publications, grant submissions, impact, etc.
- Managing 'mock' panel review with expert panel members
- Liaising with the Funding Council

Indicative Skills	**Underpinning Knowledge**
Administrative – writing reports, taking minutes **Analytical** – analysing results and identifying improvements **Interpersonal** – liaising with panel members, promoting good practice **Communication** – written reports and verbal briefings **Training and Development** – including event management **Networking** – to identify and share good practice	REF guidelines REF priorities and purpose External research environment Institutional champions HE environment Institutional systems Committee protocols Who does what in the institution

Examples of behaviours which underpin effective performance

- Using understanding of other people's perspectives to help reach agreement
- Giving constructive feedback
- Keeping track of a number of projects running simultaneously
- Aggregating, utilising and interpreting management information
- Identifying the information and knowledge people need and why they need it
- Liaising with external bodies, suppliers and other HE bodies

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- Sharing good practice with other parts of the organisation

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Policy and Governance

Contributing to REF

Leadership

Aim to:

- Devise strategies that promote research excellence and support data-gathering for the REF
- Plan and oversee institutional preparation for the REF
- Gather and share knowledge, expertise and best practice to help colleagues prepare for the REF

By:

- Leading long-term strategy in relation to research assessment
- Evaluating previous research assessments to identify ways of improving institutional performance
- Ensuring that internal systems, including HR, Estates, Student Admin, support high achievement in the REF
- Forming advisory groups and committees for direction and decision-making
- Promoting the REF internally
- Sharing good practice with colleagues within and beyond the institution
- Contributing to consultations and policy developments

Indicative Skills	**Underpinning Knowledge**
IT – cost/benefit modelling skills **Analytical** – identifying ways of improving performance **Communication** – internally and externally, drafting policy etc. Interpersonal – building relationships **Influencing -** promoting the REF, contributing to consultations	REF guidelines REF priorities and purpose External research environment Who does what in the institution HE environment Institutional systems Dual funding system Institutional policies and procedures (incl. HR) Research process

Examples of behaviours which underpin effective performance

- Creating and articulating a vision for own area of responsibility
- Providing clarity about responsibilities and accountabilities
- Not losing sight of the vision in dealing with day-to-day pressures
- Developing cross-service collaboration and being willing to share resources

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Policy and Governance

Supporting Research Ethics and Governance

Operational

Aim to:

- Monitor internal/external sources and provide accurate and timely information to colleagues to ensure compliance with research ethics and governance requirements
- Support research ethics applications to ensure that due process is followed and communicated at all stages

By:

- Monitoring information sources for policy/guidance changes
- Briefing colleagues on internal and external requirements – procedures, timescales
- Processing research ethics applications, e.g. collect information from lead researcher, create and maintain electronic and/or paper files, assist researchers in completing consent forms and information sheets, collate applications and disseminate for review, disseminate, review and record committee/panel decisions, ensure all relevant paperwork is in place as appropriate
- Servicing internal ethics committee(s)
- Briefing colleagues to keep them 'up to date' with ethics and governance issues
- Operating an audit process
- Supporting research misconduct processes, including maintaining and reporting on relevant records
- Being involved in investigations of research misconduct

Indicative Skills	**Underpinning Knowledge**
Information Management – creating/maintaining records **Interpersonal** – requesting information **Administrative** – servicing ethics committees **IT** – institutional and external systems **Customer Service** – internal and external stakeholders/customers **Communication –** preparing written/verbal briefings, conveying information clearly **Self Management** – meeting deadlines **Networking –** to identify and share good practice	Research Governance Framework for Health and Social Care (or equivalent), Clinical Trials Directive and Act, Animal Procedures Act Relevant legislation (e.g. Human Tissues Act, Mental Capacity Act, Equality Act, etc.) Institutional and external procedures for research ethics and governance European procedures for research ethics and governance Understanding of the research process Course design principles

Examples of behaviours which underpin effective performance

- Being well prepared for meetings and presentations
- Speaking and writing by using clear succinct language

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- Accepting and demonstrating personal responsibility for compliance areas
- Making use of information and resources gained through personal networks
- Liaising with external bodies, suppliers and other HE bodies
- Sharing information and keeping others informed

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Policy and Governance

Supporting Research Ethics and Governance

Management

Aim to:

- Maintain oversight of research ethics and governance processes and systems to ensure their smooth operation

By:

- Assessing the governance and ethics issues within proposals
- Managing institutional procedures to support and monitor research ethics and governance
- Ensuring all internal/external authorisations and approvals are in place
- Ensuring electronic systems to capture/store data are fit for purpose and provide safe storage, and are adequately linked to standard project records
- Establishing an audit process
- Identifying breaches of research governance
- Overseeing responses to funder requested audits of ethical processes
- Developing good practice guides / policy

Indicative Skills	**Underpinning Knowledge**
Analytical – to assess ethics issues **IT –** institutional systems **Interpersonal** – to specify computer systems **Communication** – preparing and delivering written/verbal briefings **Networking** – to identify and share good practice	Research Governance Framework for Health and Social Care, CTA, Animal Procedures Relevant legislation (e.g. Human Tissues Act, Mental Capacity Act, Equality Act, etc.) Institutional procedures for research ethics and governance European procedures for research ethics and governance Understanding of the research process IT systems Specifying requirements

Examples of behaviours which underpin effective performance

- Keeping up to date with what is happening in professional area
- Accepting and demonstrating personal responsibility for compliance areas
- Being open to and applying good practice and fresh ideas from inside and outside the organisation

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Policy and Governance

Supporting Research Ethics and Governance	
Leadership	
Aim to: • Develop effective institutional processes and systems to underpin research ethics and governance and promote good research conduct	
By: • Developing institutional procedures to support and monitor research ethics and governance • Reporting breaches of research governance	
Indicative Skills **Influencing –** to get the best outcome for the institution **Networking -** to identify and share good practice	**Underpinning Knowledge** Research Governance Framework for Health and Social Care, CTA, Animals Relevant legislation (e.g. Human Tissues Act, Mental Capacity Act, etc.) Institutional procedures for research ethics and governance European procedures for research ethics and governance
Behaviours which underpin effective performance • Accepting and demonstrating personal responsibility for compliance areas • Challenging inappropriate practices/behaviour • Getting the best from others through effective communication • Sharing good practice with other parts of the organisation	

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Management Information and Functions

Working with Management Information Systems

Operational

Aim to:

- Collect and collate accurate data to enable the institution to monitor key performance indicators and to make evidence-based decisions about policy and strategy
- Provide accurate and accessible information to enable staff at different levels in the institution to monitor performance and plan for future activities

By:

- Collecting and collating data on research proposals, awards, PGRs, outputs, impacts
- Linking awards to proposals to calculate success rate
- Linking award documentation with proposal to estimate income
- Producing financial models
- Producing reports, as required
- Writing report commentaries - analysis, forecasts etc.
- Collaborating with the senior management team on planning and budget-setting
- Collaborating with colleagues on planning and budget-setting
- Monitoring success rates e.g. by funder, by department, by faculty etc.
- Benchmarking with the sector
- Sharing information e.g. with research bodies, department heads, research committees etc.
- Sharing information with the senior management team
- Liaising with colleagues to help write the narrative for external presentations/reports

Indicative Skills	**Underpinning Knowledge**
IT - collate, hold and retrieve information, modelling (financial, people and other). **Numeracy** – producing financial models **Interpersonal** - seeking and verifying information, managing relationships. **Communication** - external and internal report writing. **Analytical -** identifying key information issues, monitoring performance. **Networking** – benchmarking with the sector.	Institutional research strategy Institutional systems External research environment Internal finance systems Financial modelling Key stakeholders Writing/presentation style required by the institution Budgeting/accounting procedures

Examples of behaviours which underpin effective performance

- Aggregating, utilising and interpreting management information
- Considering cost benefit analysis implications of decisions
- Identifying the information and knowledge people need and why they need it
- Monitoring and reviewing the effectiveness of working relationships
- Using understanding of other people's perspectives to help reach agreement

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- Speaking and writing by using clear succinct language

Management Information and Functions

Working with Management Information Systems

Management

Aim to:

- Ensure that management information systems meets the current and projected requirements of the institution
- Monitor the effectiveness of management information systems and support changes to the system, as required
- Ensure that colleagues have the skills necessary to input, access and utilise data and reports from the management information systems

By:

- Designing new management information system process when needed
- Evaluating current and new management information systems and processes
- Training users on the corporate reporting tool.
- Managing projects to implement management information systems

Indicative Skills	**Underpinning Knowledge**
Interpersonal - listening to suggestions and feedback **Analytical** - areas for improvement **Project management** – implementing new systems **Communication -** writing/communicating clear specifications	Institutional Research Strategy Institutional management systems Internal finance systems Procurement guidelines and policy System design

Examples of behaviours which underpin effective performance

- Speaking and writing by using clear succinct language
- Aggregating, utilising and interpreting management information

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Management Information and Functions

Working with Management Information	
Leadership	
Aim to: • Use the management information system to make sound, evidence-based decisions that feed into effective institutional policy and strategy • Identifying opportunities to select and implement information systems applications that support achieving strategic business goals	
By: • Aligning information systems with institutional strategy • Formulating information systems strategy using suitable approach/method • Feeding back to staff on the efficacy of management information • Ensuring integration with other corporate systems and information • Ensuring understanding of management information needs by all corporate systems owners	
Indicative Skills **Analytical** - areas for improvement **Interpersonal** - providing constructive feedback, ensuring colleagues understand requirements of management information	**Underpinning Knowledge** Different organisational contexts IS strategy models and methodology IT and organisation architecture
Examples of behaviours which underpin effective performance • Making decisions and taking responsibility for them • Taking time to understand and diagnose problems by considering the whole picture • Exercising judgement in line with institutional strategy and priorities • Aggregating, utilising and interpreting management information	

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Management Information and Functions

Supporting Audit

Operational

Aim to:

- Provide sound administrative support to ensure that institutional preparation and the audit visit are efficient and effective

By:

- Understanding the purpose of the audit and who the auditors will need to talk to
- Understanding the audit requirements for all funders, for the institutional financial audit, and for internal audit
- Briefing colleagues on funders' and institution's requirements for audit
- Creating a diary of actions required at various stages
- Putting together a programme of meetings for the audit team
- Scheduling required meetings between staff and auditors
- Arranging the auditors' 'base' room
- Collating data and evidence for audit
- Ensuring that files are 'in order' for the audit
- Completing required pre-audit paperwork, including questionnaires
- Acting as secretary to audit preparation committees
- Acting as the point of contact for auditors and academic staff and colleagues
- Responding to additional information requests during the audit
- Interpreting findings/recommendations of the audit team

Indicative Skills	**Underpinning Knowledge**
Analytical – understanding the requirements of audit and evidence required, interpreting findings **Information management –** storing and organising records and evidence **Project Management** – overseeing the preparation process **Administrative** – scheduling appointments, minuting meetings **Interpersonal** - liaison with key staff, briefing colleagues, point of contact **Self Management** – time management, scheduling	Audit Key institutional contacts Funders' requirements

Examples of behaviours which underpin effective performance

- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Managing workload and making effective use of time
- Being self motivated

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- Using resources in ways that are efficient and minimise any adverse impact on the environment
- Identifying the information people need and why they need it
- Liaising outside of immediate work area to maximise use of resources within the organisation

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Management Information and Functions

Supporting Audit Management	
Aim to: • Co-ordinate preparation for audit • Help the institution to respond to and learn from issues raised by audit	
By: • Devising and implementing systems to collect data for audit • 'Troubleshooting' before audit takes place • Liaising with academic staff and colleagues to address issues and implement recommendations • Monitoring and evaluating the impact of changes	
Indicative Skills **Analytical** – evaluating impact, devising systems **Interpersonal** - liaison with key staff **Communication** - briefing colleagues, producing specifications for new systems **IT** - systems **Problem Solving** – identifying and addressing issues	**Underpinning Knowledge** Audit Systems Funders' guidelines
Examples of behaviours which underpin effective performance • Aggregating, utilising and interpreting management information • Identifying the information people need and why they need it • Sharing good practice with other parts of the organisation • Encouraging others to initiate and embrace change • Articulating the purpose of change and the context within which change is happening • Communicating change in a positive manner through influencing and persuasion • Being open to and applying good practice and fresh ideas from inside and outside the organisation	

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Management Information and Functions

Supporting Audit	
Leadership	
Aim to: • Ensure that the institution and staff fully support and contribute to audit preparation and the audit visit • Ensure institutional learning from the audit findings and process	
By: • Evaluating previous audits to identify ways of improving performance • Raising awareness of the purpose and value of audit • Agreeing the audit brief (for internal audits) • Disseminating and celebrating the results of audit • Sharing good practice, internally and externally • Contributing to consultations and policy developments	
Indicative Skills **Analytical** evaluating previous performance **Interpersonal**- agreeing audit brief **Communication -** conveying information clearly, presentation, drafting consultation responses **Marketing/PR** – raising awareness of audit	**Underpinning Knowledge** Systems Audit
Examples of behaviours which underpin effective performance • Taking time to celebrate successes • Being effective in gaining buy-in without having any direct authority • Evaluating the success of projects and disseminating lessons that can be learned • Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders	

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Management Information and Functions

Making Statutory Returns

Operational

Aim to:

- Provide sound administrative support to ensure that the statutory return is completed and filed to schedule
- Produce accurate and comprehensive data for the return

By:

- Disseminating guidelines (HESA, HEBIS, REF, RAS etc.) to researchers and colleagues
- Drafting a timetable for submission
- Briefing researchers and colleagues on the requirements of the statutory return
- Liaising with research support services, finance, HR, student services staff at local and central level, as required
- Capturing relevant data at local and central level
- Verifying data - what counts and under which heading.
- Cross-checking data and follow up missing or inaccurate data
- Pulling together data for various reporting strands
- Obtaining final approval from authorised personnel
- Mailing / electronically submitting proposal

Indicative Skills	**Underpinning Knowledge**
Interpersonal – liaising with staff re. requirements **Project Management** – overseeing the preparation of the return **Self Management** – working to deadlines **Problem Solving** – dealing with inconsistencies **Information Management** – storing data **Accuracy** – checking data	Research environment Statutory return guidelines Stakeholders Legal requirements

Examples of behaviours which underpin effective performance

- Taking personal responsibility for getting things done
- Meeting deadlines
- Keeping track of a number of projects running simultaneously
- Identifying the information and knowledge people need and why they need it
- Using understanding of other people's perspectives to help reach agreement

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Management Information and Functions

Making Statutory Returns

Management

Aim to:

- Co-ordinate staff to ensure that a high-quality return is produced, to schedule
- Ensure that systems and processes underpinning the production of the statutory return are 'fit for purpose'

By:

- Scheduling and prioritising own and colleagues' workloads to meet deadlines
- Employing appropriate strategies to ensure that researchers and colleagues meet deadlines
- Building strong relationships between central and local research support services and other professional services
- Developing systems and processes to capture/store data and analyse / report on the basis required for the return
- Monitoring systems and processes for accuracy of data
- Feeding management information from the statutory return to the senior management team

Indicative Skills	**Underpinning Knowledge**
Interpersonal – liaising with staff to meet deadlines, building relationships **Influencing** – ensuring that colleagues meet deadlines **IT** - systems **Communication** – presenting information to the senior management team **Analytical** – developing and monitoring systems	Research environment Statutory return guidelines Stakeholders

Behaviours which underpin effective performance

- Aggregating, utilising and interpreting management information
- Co-operating willingly to support the achievement of team goals
- Using understanding of other people's perspectives to help reach agreement
- Distinguishing between important and urgent tasks and prioritising effectively, even from apparently equal demands
- Being knowledgeable about key players who will influence the work you do
- Being effective in gaining buy-in without having any direct authority
- Winning support of key colleagues and other stakeholders

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Management Information and Functions

Making Statutory Returns	
Leadership	
Aim to: • Monitor and ensure the institution responds to new statutory requirements and issues raised through the process of making statutory returns	
By: • Developing new processes to reflect changing external requirements • Making decisions on the basis of management information collected for the return	
Indicative Skills **Analytical**- making evidence-based decisions, developing appropriate systems **Problem Solving** – developing systems to meet changing requirements **Horizon Scanning** – monitoring changes in the external environment	**Underpinning Knowledge** Research environment HE environment
Examples of behaviours which underpin effective performance • Modifying departmental/organisational strategy to adapt to changes in the wider environment • Scanning the wider environment to seek opportunities to develop the organisation • Articulating the purpose of change and the context within which change is happening • Suggesting and trying out new approaches	

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Service Organisation and Delivery

Managing a Research Support Service
Operational
Aim to: • Develop a research support service structure that will maximise the institution's ability to attract researchers and research income, undertake high quality research, and exploit research outcomes • Understand the job roles required for the research support service and secure suitable individuals to undertake these roles • Identify the training needs of research support service staff and provide appropriate training • Deliver training and development that supports institutional staff in attracting research funding, undertaking research and exploiting research outcomes • Administer resources to get the best value for money for the institution • Supervise staff for effective performance
By: • Understanding the personalities/skillsets of research support service staff • Understanding/advising on the requirements of different research support service job roles • Matching skills to roles • Supporting individuals in roles – training, coaching, mentoring etc. • Developing teams • Providing internal or sourcing external training to colleagues on research-related issues e.g. ethics, costing, software, IP, etc. Contributing to induction programmes for research staff on research related issues such as how to write grant proposals, FEC etc • Prioritising use of resources (budget, staff, time, training) • Overseeing staff performance

Indicative Skills	**Underpinning Knowledge**
Analytical – identifying required structures and job roles **Interpersona**l – managing staff **Influencing** – including 'managing upwards', and sideways **Financial** – numeracy, planning/prioritising budgets **Training and Development** – facilitation, coaching and mentoring, course design etc. **Communication** – report writing, conveying information clearly, presentation **Team Building** – building commitment and shared vision	Research support service functions Training needs analysis Course design principles Institutional systems Lean process HR policies and procedures Research environment Process /system design

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People Management – performance management etc.	

Examples of behaviours which underpin effective performance

- Drawing on others' knowledge, skills and experience
- Being mindful of responsibility to organisation and funders in using resources
- Deploying human resources efficiently, at the right levels and in appropriate ways
- Using understanding of other people's perspectives to help reach agreement
- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Coaching and mentoring others
- Identifying the changing needs of the organisation and incorporating these into own and others' development plans
- Making time to think about the development of colleagues

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Service Organisation and Delivery

Managing a Research Support Service

Management

Aim to:

- Implement and monitor institutional and research support service strategies to ensure effective contribution to the institution's research agenda
- Develop and procure new systems, policies and procedures to support enhanced institutional performance

By:

- Devising a research support service 'work plan' that supports realisation of the institutional research strategy
- Providing management information that measures performance against the institutional research strategy
- Developing internal systems to meet external requirements (e.g. of funders)
- Improving internal systems to reflect current usage
- Preparing specifications for new systems
- Project managing the procurement of new systems
- Assuring the quality of research support service provision
- Writing policies and consultation responses
- Building networks of influence
- Reviewing/developing the institution's 'research support' offer

Indicative Skills	**Underpinning Knowledge**
IT - systems **Project Management** – procurement of new systems **Interpersonal** – listening to needs, building relationships **Analytical** – areas for improvement, assuring quality **Communication** – writing/communicating clear specifications, policies and consultation responses	Institutional and local research strategy External research environment (REF, Pathways to Impact, Concordat for Engaging the Public with Research, Concordat to Support the Career Development of Researchers etc.) HE environment Key institutional contacts Institutional policies and procedures Departmental policies and procedures Key Performance Indicators

Examples of behaviours which underpin effective performance

- Being open to and applying good practice and fresh ideas from inside and outside the organisation
- Delivering consistent service standards
- Seeing things from your customer's viewpoint
- Fostering a continuous improvement philosophy

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- Displaying open mindedness to new ideas and proposals
- Articulating the purpose of change and the context within which change is happening
- Adapting approach to respond to changes outside of the organisation
- Embracing new technologies, techniques and working methods

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Service Organisation and Delivery

Managing a Research Support Service

Leadership

Aim to:

- Develop strategies and policies to maximise the institution's research portfolio (outputs, PGRs, income, etc.) and its ability to exploit research outcomes
- Create a culture where staff across the institution respect and value research support service work and staff
- Create a research support service culture in which staff want to work and to which they wish to contribute

By:

- Benchmarking service against that provided by other comparable institutions
- Contributing to and devising well-researched and evidence-based strategies at institution and research support service level
- Promoting the work of the research support service in the context of the institutional strategy
- Reviewing fitness for purpose and leading any necessary changes
- Creating and maintaining a strong research support service culture
- Acting as ambassador for the institution and for the profession
- Integrating the operational with planning and long-term strategies / structures
- Gaining resource for the research support function
- Supporting the governance of the institution
- Developing strategies for training research support service/institutional staff

Indicative Skills	**Underpinning Knowledge**
Analytical – benchmarking, devising strategy **Influencing –** securing resources, promoting the service **Interpersonal –** building relationships, building culture **Networking** – to identify and share best practice	Institutional research strategy (including KE/KT/TT) External research environment (REF,HEIF, RCUK, TSB) Government policy Legal, governance HE environment

Examples of behaviours which underpin effective performance

- Creating and articulating a vision for own area of responsibility
- Creating momentum and enthusiasm for what needs to be done
- Actively seeking new ideas and approaches from outside the organisation
- **I**dentifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole organisation

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Service Organisation and Delivery

Organising and Structuring a Research Support Service

Operational

Aim to:

- Realise a research support service that is cost-effective and that fits with the current and projected needs of the institution
- Recruit and support the best possible staff into RMA roles
- Ensure that the research support service is `joined up' across centralised/devolved locations

By:

- Mapping out potential structures (centralised, devolved, combined) for the institution
- Reviewing potential structures in relation to internal and external drivers
- Reviewing and modelling potential structures in relation to efficiency and cost-effectiveness
- Benchmarking against other institutions
- Gathering feedback from staff and colleagues
- Mapping out skills and knowledge required for centralised/devolved RMA roles
- Supporting recruitment of RMAs in centralised/devolved roles
- Establishing formal communication channels between central/devolved staff
- Setting up an RMA network to facilitate sharing of expertise

Indicative Skills	**Underpinning Knowledge**
Analytical – evaluating potential structures, establishing systems **Interpersonal –** listening to views of colleagues **Creativity** – developing potential models and systems **IT –** planning systems, modelling **Networking** – benchmarking, sharing of expertise	HE environment HR policies and processes Financial modelling Services structures Research process

Examples of behaviours which underpin effective performance

- Recognising others' contribution to the achievement of objectives
- Developing cross-service collaboration and being willing to share resources
- Drawing on others' knowledge, skills and experience
- Using informal systems and channels of communication to inform and support objectives
- Sharing good practice with other parts of the organisation
- Making use of information and resources gained through personal networks
- Sharing information and keeping others informed
- Working across boundaries to develop relationships with other teams

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Service Organisation and Delivery

Organising and Structuring a Research Support Service
Management
Aim to: • Achieve consistency in delivery across the research support service
By: • Seeking to standardise recruitment (grade, JD etc.) for centralised/devolved roles • Standardising IT and associated processes • Developing systems and processes to gather management information from devolved staff • Providing regular training and development to keep centralised/devolved staff updated • Establishing RMA secondments to devolved/centralised offices • Identifying and sharing best practice by encouraging regular communication between RMAs in devolved/centralised offices. • Influencing staff outside of direct reporting lines

Indicative Skills	**Underpinning Knowledge**
Training and development – methods and approaches **Analytical** – standardising systems and processes **IT** - systems	HR policies and processes Training needs analysis Systems Research process Institutional culture

Examples of behaviours which underpin effective performance

- Supporting others to undertake alternative duties, short-term secondments etc
- Ensuring equal access to development opportunities for all
- Sharing good practice with other parts of the organisation
- Delivering consistent service standards
- Identifying the information and knowledge people need and why they need it

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Service Organisation and Delivery

Organising and Structuring a Research Support Service

Leadership

Aim to:

- Maintain an effective, efficient and well-respected research support service

By:

- Sharing a vision of effective research support
- Raising awareness of the research support service structure and rationale, and the roles / responsibilities of all involved
- Monitoring and evaluating the research support service structure for efficiency and cost-effectiveness
- Ensuring changes in the external environment and in institutional and local plans / targets are reflected in the research support service structure as required
- Benchmarking against comparable institutions
- Sharing good practice, internally and externally

Indicative Skills	**Underpinning Knowledge**
Communication – to share vision, promoting the service **Analytical** – monitoring cost-effectiveness, impact of internal/external changes **Networking –** sharing good practice **Horizon Scanning** – monitoring external environment and changes required	HE environment Financial modelling Measurement systems Research process

Examples of behaviours which underpin effective performance

- Creating and articulating a vision for own area of responsibility
- Considering cost benefit analysis implications of decisions
- Scanning the wider environment to seek opportunities to develop the organisation
- Modifying departmental/organisational strategy to adapt to changes in the wider environment

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Service Organisation and Delivery

Mapping and Reviewing Research Support Service Functions

Operational

Aim to:

- Ensure that the research support service function continues to be 'fit for purpose' and cost-effective
- Document processes to ensure consistency and continuity of service across the institution
- Review research service functions in the light of internal and external policy changes

By:

- Learning about how other institutions organise their research support processes
- Defining each required function and how they relate to each other
- Identifying and agreeing institutional processes and policies
- Understanding why these processes are important and to whom
- Agreeing who is responsible for each part of each institutional process and why
- Documenting each process
- Producing training materials describing how each process should be carried out
- Agreeing a review date for each process

Indicative Skills	**Underpinning Knowledge**
Networking – benchmarking against other institutions **Analytical –** identifying processes, good practice, modelling **Interpersonal –** working with colleagues **Communication –** drafting process documents **Influencing** – gaining agreement on responsibilities **Training and development –** producing training materials	Institutional systems Who does what in the institution Functions required Research process

Examples of behaviours which underpin effective performance

- Monitoring progress and providing regular updates
- Using informal systems and channels of communication to inform and support objectives
- Making use of information and resources gained through personal networks
- Liaising with external bodies, suppliers and other HE bodies
- Actively seeking new ideas and approaches from outside the organisation
- Being open to and applying good practice and fresh ideas from inside and outside the organisation

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Service Organisation and Delivery

Mapping and Reviewing Research Support Service Functions

Management

Aim to:

- Facilitate the mapping and reviewing of research support service functions
- Ensure that information arising from the mapping and reviewing process feeds into business planning

By:

- Understanding internal and external audit requirements and relating them to processes
- Developing example process maps to initiate discussion
- Ensuring that recommendations arising from process mapping are understood by colleagues
- Supporting colleagues to implement changes as a result of process mapping
- Recognising inefficiencies where they occur and seeking to change behaviour or practice
- Using process maps to help business contingency planning
- Identifying and learning from good practice and relating this to own institution's processes

Indicative Skills	**Underpinning Knowledge**
Interpersonal – managing relationships with consultant, colleagues **Communication** – drafting maps, communicating project outcomes **Analytical** – relating good practice to practical systems **Influencing** – supporting colleagues to make changes	Institutional systems Research environment Management tools Research process

Examples of behaviours which underpin effective performance

- Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders
- Monitoring and reviewing the effectiveness of working relationships
- Identifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole organisation
- Aggregating, utilising and interpreting management information
- Being effective in gaining buy-in without having any direct authority
- Evaluating the success of projects and disseminating lessons that can be learned

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Service Organisation and Delivery

Mapping and Reviewing Research Support Service Functions

Leadership

Aim to:

- Lead the process of mapping and reviewing research support service functions
- Ensure that processes support effective delivery of research support services functions

By:

- Designing and gaining agreement for project approach
- Maintaining an overview of the project process
- Explaining the purpose and place for mapping processes to colleagues
- Recognising where existing processes are not good practice and initiating change
- Sharing good practice, internally and externally

Indicative Skills	**Underpinning Knowledge**
Interpersonal – managing relationships with colleagues **Communication** – explaining mapping processes to colleagues **Analytical** – reviewing existing processes, planning mapping project **Influencing** – supporting colleagues to make changes **Negotiation** – ensuring effective processes are embedded in institutional practice **Project Management** - overseeing the project process	Institutional systems Research environment Research process

Examples of behaviours which underpin effective performance

- Being effective in gaining buy-in without having any direct authority
- Winning support of key colleagues and other stakeholders
- Making links between individual, team, department and organisational objectives clear for others
- Co-operating willingly to support the achievement of team goals

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