50th ANNIVERSARY LECTURESHIPS FORM
GATEWAY PERFORMANCE DEVELOPMENT AND REVIEW
PROCESS GUIDANCE

Guidance notes on completing the Gateway PDR Documentation

These guidelines aim to assist 50th Anniversary Lectureship Role-Holders and Reviewers to understand the Performance Development Review (PDR) process for the five year programme.

The 50th Anniversary Lectureship Gateway PDR documentation combines the two year contractual probation, the PDR and, until year 4, the promotion processes.

The purpose of the PDR process is to (1) clarify the expectations of Role-Holders in respect of their performance (research, behaviour and, from year 3 onwards, teaching and administration), (2) to identify and agree the appropriate development objectives to support the achievement of the performance objectives and (3) to review progress against these expectations.

PDR Process

The PDR provides the opportunity for the Role-Holder and Reviewer to enter into a professional conversation and should be seen as an ongoing process that incorporates regular reviews which should be captured in the documentation.

Essentially the process remains the same for the 5 year term, although the expectations of Role-Holders will change from year 3 to incorporate teaching and administration objectives1.

Initial PDR

The PDR process starts when the Role-Holder commences in post when an initial PDR should be conducted in order to:

- Agree objectives, outcomes and timescales for the first year and longer term, as appropriate.
- Set the tone and understanding of the 2Annual PDR Gateway process for the five year period, establishing how it will be managed and expectations of the Lectureship Role-Holder;
- Identify the development or support needed to effectively achieve objectives.

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1 Teaching and Administration objectives will normally be introduced in Year 3, unless the Role-Holder is appointed as a senior-lecturer or agreed otherwise, in which case these objectives will be included from Year 1.

2 For full details of the 50th Anniversary Lectureship Performance Management Framework, please see the Scheme Guidance document.
The initial PDR should be completed within the first month of the lecturer commencing and, once signed, the documentation should be submitted to Annette Robinson in OED (Annette.robinson@lancaster.ac.uk) for ratification. This initial ratification is conducted by the PVC Research to ensure that consistency and parity exists across the cohort’s objectives.

**Six Month Review**

The six month review should:

- Review the agreed performance plan, recording any changes that may be appropriate to reflect changing circumstances;
- Provide an opportunity to take stock, gain perspective on what is happening and clarify any actions to be taken;
- Identify, where appropriate, any additional support required to help achieve the agreed objectives;
- Ensure any development needs identified at the initial or annual review are being implemented.

**Annual Gateway PDR**

The Annual Gateway PDR meeting should take place in preparation for the documentation to be submitted to the Academic Promotions Sub-Committee that takes places annually in July. This then becomes the Annual Gateway PDR timing for the duration of the scheme.

The purpose of the Gateway PDR is to:

- Agree objectives, outcomes and timescales for the coming year;
- Discuss and identify any development or support needed to effectively achieve objectives;
- Review performance in respect of those objectives agreed for the previous year;
- Discuss and agree an overall level of performance for the future year in accordance with required expectations;
- Inform progression through the annual Gateway and incremental salary progression based on meeting the required performance standard, as determined by the scoring system.

The six month interim reviews and the annual Gateway PDRs are repeated for the duration of the five year programme.

**Roles and Responsibilities.**

The Reviewer is responsible for:

- Scheduling and preparing for interim and annual PDR meetings,
- Establishing performance objectives and appropriate development activities that support the achievement of the objectives for the forthcoming year(s) in collaboration with the Role-Holder,
• Providing constructive feedback to the Role-Holder (both positive and developmental) on their performance throughout the period,
• Listening and responding to the Role-Holder’s ideas with regard to their objectives and priorities, their development needs, any issues or concerns that they may raise,
• Scoring the Role-Holder’s performance against each of the objectives sections (i.e. not against each individual objective),
• Ensuring that the final document is signed-off by the Role-Holder and themselves,
• Completing page 1 of Part 2 with the recommendation for progression and submitting Parts 1 and 2 along with the Role-Holder’s CV to HR, for collation for the Academic Promotions Sub-Committee.

The Anniversary Role-Holder is responsible for:

• Preparing for the review meetings by identifying appropriate objectives, including timescales and associated development for the coming year,
• Reflecting and evidencing progress towards objectives (from the first Gateway PDR onwards) and any other matters to be discussed with the Reviewer and by evidencing achievements to date (from the first Gateway PDR onwards),
• Submitting an up to date CV for the annual Gateway PDR,
• Providing reviewee comments, that reflect the discussions, against each of the objective sections and, if appropriate, providing a final summary statement to capture any additional matters discussed,
• Signing off the completed Part 1.

PDR Documentation

There are two separate parts to the PDR documentation:

Part 1 incorporates:

- Initial objective setting, for year 1 this should be conducted as the 50th Anniversary Role-Holder starts
- 6 month review
- 12 month gateway PDR

Part 1 should be completed for all three stages outlined above by both the Role-Holder and the Reviewer.

Part 2 incorporates:

- Reviewer’s recommendations, to the Academic Promotions Sub-Committee, for progression
- Academic Promotions Sub-Committee decision making and sign off
Part 2 should be completed by the Reviewer, following completion of all three stages of the 12 month PDR process, including the sign-off of the Part 1 form, by both the Role-Holder and the Reviewer.

Part 1

Objectives Setting

The Objectives Setting sections incorporate the initial objectives that should be agreed by the Reviewer and the Role-Holder when they commence in post; the 6 month review and the 12 month Gateway PDR. The same Part 1 should be completed for all three stages within the year.

Objectives cover the following categories:

- Research Performance Objectives
- Development Objectives
- Behavioural Objectives
- Teaching Objectives (NB. For the first 2 years a direct teaching load will not normally be allocated, unless the Role-Holder has been appointed as a senior lecturer).

A new Part 1 should be started at each annual Gateway PDR to record ongoing and new objectives for the forthcoming year(s).

Research Performance Objectives

Research objectives define what the Role-Holder is expected to achieve in respect of research outputs within a given time period. It is likely that some research objectives will be span more than one year, in which case Reviewers should specify both the long term, overarching objective and shorter term outputs and/or demonstrable progress.

Examples of Research Objectives:

- To submit at least three grants applications of (SPECIFY AMOUNT) as PI within [specify period].
- To obtain SPECIFY NUMBER research grants of minimum (SPECIFY AMOUNT) from a research council by DATE.
- To publish at least [specify number] 3*/4* REF papers annually as first author or major contributor (averaged over a 3 year period) in one of the top two or three journals (specific journals) in the subject field.
- To take primary responsibility for at least one PhD student from Year 1.
- To evidence of activity towards research impact (provide indicative example of impact)
- To evidence international engagement / recognition, e.g. through international workshops, giving keynote presentations, specified citation rates in comparison with peers.
- To seek opportunities to become a member on Committees of relevant research-based national and international bodies over the next (SPECIFY NUMBER) months.
### Social Sciences Examples:

<table>
<thead>
<tr>
<th>Objective</th>
<th>Timescale</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Publications:</strong></td>
<td></td>
</tr>
<tr>
<td>• To publish at least three articles in top ranked journals e.g. [specify names of indicative journals]</td>
<td>2020</td>
</tr>
<tr>
<td>• To publish at least three chapters in major edited volumes [specify topic of chapters and indicative publications]</td>
<td>2020</td>
</tr>
<tr>
<td>• To publish one book: [name of topic]</td>
<td>2020</td>
</tr>
<tr>
<td><strong>Research/Grants:</strong></td>
<td></td>
</tr>
<tr>
<td>To secure funding for, and lead (as PI or Co-PI), two major research projects:</td>
<td></td>
</tr>
<tr>
<td>1. To complete current collaborative research project [detail project]</td>
<td></td>
</tr>
<tr>
<td>2. Prepare funding proposals in preparation for submission to:</td>
<td></td>
</tr>
<tr>
<td>• ESRC Research Grant/Leverhulme Research Project Grant [specify amount]</td>
<td>2016-17</td>
</tr>
<tr>
<td>• ESRC Research Networks: [specify amount] (if run in 2016)</td>
<td>2016-17</td>
</tr>
<tr>
<td>• To recruit, induct and supervise Research Assistant.</td>
<td>2016</td>
</tr>
<tr>
<td>• To take responsibility for three PhD students</td>
<td>2020</td>
</tr>
<tr>
<td><strong>Engagement/Impact</strong></td>
<td></td>
</tr>
<tr>
<td>• To organise and participate in [specify number] high profile conferences and knowledge exchange initiatives.</td>
<td>2016-17</td>
</tr>
<tr>
<td>• To present at two major international conferences.</td>
<td>2018</td>
</tr>
<tr>
<td>• To organise one conference: [name of theme]</td>
<td>2017</td>
</tr>
<tr>
<td>• Chair of Panel: [details of conference / committee]</td>
<td>2017-18</td>
</tr>
<tr>
<td>• To contribute to at least two knowledge exchange events [details of events]</td>
<td>2015-16</td>
</tr>
<tr>
<td>• To engage effectively and collaboratively with non-academic audiences</td>
<td>2016</td>
</tr>
<tr>
<td>• To contribute at least two outputs for a non-scholarly audience</td>
<td>2016-17</td>
</tr>
<tr>
<td>• Publish three articles in The Conversation</td>
<td>2016</td>
</tr>
<tr>
<td>• Publish piece in [name publication].org</td>
<td>ongoing</td>
</tr>
<tr>
<td>• To engage with the media as appropriate</td>
<td>ongoing</td>
</tr>
<tr>
<td>• To demonstrate evidence of impact with practitioner, civil society and policy maker communities</td>
<td></td>
</tr>
</tbody>
</table>

### Science Examples:

<table>
<thead>
<tr>
<th>Objective</th>
<th>Timescale</th>
</tr>
</thead>
<tbody>
<tr>
<td>To submit three grant applications to a total value of at least [specify amount]. At least one of these should be in year one.</td>
<td>Within the 2 year probationary period</td>
</tr>
<tr>
<td>To be awarded at least three grants either as PI or CoI of at least [specify amount]:</td>
<td>Over the 5 year programme period. End 2016</td>
</tr>
<tr>
<td>• Lead and submit two EPSRC research grant proposals [provide details of topics]</td>
<td>Within the 5 years of the programme</td>
</tr>
<tr>
<td>• Lead on advertisement, recruitment and supervision of a three PhD students to augment the team.</td>
<td></td>
</tr>
<tr>
<td>To publish at least one 3/4* paper annually as first author or major contributor</td>
<td>over the 5 years</td>
</tr>
<tr>
<td>Indicative Publications</td>
<td>Timescale</td>
</tr>
<tr>
<td>-------------------------</td>
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</tr>
<tr>
<td>Study on [name of study] to be submitted to xxxxx a top tier conference in this area</td>
<td>June 2016</td>
</tr>
<tr>
<td>Study on [name of study], to be submitted to the International Conference on xxxxx a top tier conference in this area</td>
<td>June 2016</td>
</tr>
<tr>
<td>To produce two edit volumes, at least one of which will be within the probationary period [details of topics]</td>
<td>over the 5 years</td>
</tr>
<tr>
<td>To give evidence of impact activity during year 1 which will develop into a significant contribution to one of the department’s potential impact case studies for REF2020:</td>
<td></td>
</tr>
<tr>
<td>– Organise [name of event], bringing key external stakeholders to Lancaster University.</td>
<td>2016/17</td>
</tr>
<tr>
<td>– To show evidence of participation in the UK or International scientific or policy communities e.g. by serving on committees</td>
<td>Sept 2016</td>
</tr>
</tbody>
</table>

**Development Objectives**

Development objectives specify the development needs of the Role-Holder, that will support them in achieving their performance objectives and the associated learning or development activity that will best meet these needs.

The 50th Anniversary Development Programme has been specifically designed to support the key learning and development needs of cohort throughout the five year programme. The programme has been aligned to the role expectations throughout the five years and supports the research, teaching and leadership components of the role, year on year.

Role-Holders are expected to engage with the majority of the Development Programme and will have an initial discussion with an Organisational and Educational Development (OED) representative to support them in identifying a tailored development plan. This will take place after the initial objective setting PDR and OED will make contact with the Role-Holder to schedule the discussion.

To supplement the programme, Reviewers should discuss with Role-Holders any additional discipline or research specific development needs and agree appropriate development activities to best support these needs. Examples of individual development needs may include developing software skills, equipment techniques, research project specific health and safety training etc.

**Behavioural Objectives**

Behavioural objectives are expectations of the Role-Holder in terms of their conduct and behaviour with their Academic Lead and colleagues, staff and students in line with university values, policies and procedures. These objectives should also be used to help encourage collaboration and peer support of colleagues.
Examples of behavioural objectives, drawn from the University values include:

**Behavioural Objectives Examples:**

Throughout the period of the 50\textsuperscript{th} Anniversary Lectureship programme (2016-2020):

- To engage in debate and enquiry to support and develop research and teaching at Lancaster
- Deliver papers at [named] seminar programme.
- Become a Panel member of [named] seminar programme in Institute xxxx
- To engage with a range of University events including talks, performances & screenings.
- To explore innovative ways of supporting the effective running of the University.
- Complete all necessary induction/health and safety training in good time.
- To actively support the University as it pursues its strategic objectives by:
  - *Research*: Pursuing research funding and publication plan as well as continuing to promote existing research.
  - *Students*: Promoting Lancaster to potential PhD candidates.
  - *Engagement*: Engaging with media, communities, policymakers and practitioners as appropriate to raise the profile of Lancaster and its reputation on relevant issues.
  - *Interdisciplinarity*: Contributing to promoting and developing the Institute for xxx.
- To improve local and global communities by engaging with practitioners, policymakers and citizens.

**Teaching Objectives**

Unless the Role-Holder has been appointed as a senior lecturer or agreed otherwise, teaching objectives will normally be set at the beginning of Year 3 after the Role-Holder has successfully completed their contractual probation.

Examples of teaching objectives include:

- To assume responsibility for the SUBJECT lecture course by DATE.
- To take on the role of Degree Programme Director by DATE.
- To play a major role in Subject review, commencing DATE.
- To develop innovative methods of teaching and learning and/or assessment in relation to two teaching modules by DATE.
- To take an active part in the development of a new module on SUBJECT by DATE (relating to a specific area of research).

**Timescales**

Timescales for completion of objectives and progression towards them should be completed in the ‘Timescales’ column. For some objectives (particularly research projects) the timescales for overall completion may be long term, i.e. over 1 year, in which case timescales for interim progression should also be recorded.
6 Month Review

A review meeting should be conducted after 6 months to establish progress towards the agreed objectives and provide an opportunity for any additional discussion points to be raised by the Role-Holder and the Reviewer.

Assuming that the Role-Holders is progressing in accordance with expectations and no changes have been made to their objectives, the Reviewer should update the form by entering the date of the review meeting and checking the ‘No’ box.

If, however, changes are agreed to the objectives these should be recorded by checking the ‘Yes’ box, summarising the changes in the free text section and amending the objectives and timescales, as applicable.

12 Month Gateway PDR

The Reviewer and Role-Holder should review progress towards the objectives and provide feedback. In most cases this aspect of the Gateway PDR simply ensures that objectives are being met and the Role-Holder is engaging with the agreed development activities. It also enables either party to raise any other matters.

In exceptional cases, where a Role-Holder has under-performed against objectives, a performance improvement plan may be initiated.

Both parties should provide comments to summarise the progression against the objectives sections (i.e. Research Performance, Development etc). Comments should specific, as far as possible, what the Role-Holder has done and the benefits derived, in order to assist the Academic Promotions Sub-Committee in making a final decision with regard to progression through the scheme.

Role-Holders should also provide an up to date CV to support the discussion.

The Reviewer should score the Role-Holder against each of the objectives sections. The score should reflect the objectives overall in these sections, rather than individual objectives. Reviewers should ensure that their comments substantiate the score given.

Objective Setting for the Forthcoming Year

The annual Gateway PDR should also include the setting of ongoing and/or new objectives. It is anticipated that many of the Research Performance objectives will span more than one year, in which case interim outputs and progress indicators should also be included.

Ongoing objectives should be recorded on a separate Part 1 which initiates the process for the following year. All forms can be accessed on the 50th Anniversary webpages.
Summary and Sign Off

The Summary and Sign Off section provides the opportunity for Role-Holders to note any additional discussion points or concerns raised during the PDR and to summarise what was agreed in response to them. In addition, any reflective comments in respect of the previous year overall can be included.

Reviewers should also add any summary comments in respect of performance and progress overall and any additional points for the reviewee to consider.

Once all parts of Part 1 have been completed and agreed by the Role-Holder and the reviewee, both parties should sign and date the form.

Part 2

Once Part 1 has been completed and signed off by both parties the Reviewer should complete the first page of Part 2.

The individual performance scores set for each of the objective sections in Part 1 should be copied into the Performance Scores table in Part 2. The Reviewer should then make a recommendation as to whether the Role-Holder should progress to the next year of the programme by checking the appropriate box in the table.

If the Role-Holder has scored 3 or above for all sections of the objectives it would be expected that the recommendation would be that the Role-Holder should Pass and continue to the next year of the programme.

In exceptional circumstances when a Role-Holder scores 2 in one or more of the objective sections, the Reviewer would make the recommendation to either Defer or Fail.

In all cases it is critical that the comments throughout Part 1 substantiate the scoring and final recommendation, as this is the only information that the Academic Promotions Sub-Committee have to inform their final decision.

Parts 1 and 2, the Role-Holder’s CV and Part 1 for the forthcoming year, detailing the ongoing objectives, should be forwarded to Nick Thoume in HR (promotions@lancaster.ac.uk, Ext: 5-10614) for collation for the Academic Promotions Sub-Committee in July. A communication will be sent to all role-holders and Academic Leads in the Spring confirming the deadlines for submission.

Final decisions made by the Academic Promotions Sub-Committee regarding progression will be communicated to the Role-Holder and Reviewer by HR by an agreed date.