



PROMOTION PROCESS

A guidance note

9 APRIL 2024

Background

1. It is in the interests of SIPRI staff and of the institute that there are possibilities for career progression and skills development, including through promotion. The purpose of establishing promotion guidelines and processes and setting them out in this guidance note is to ensure fairness, transparency and consistency.

2. While promotion and skills development are interconnected aspects of career progression, they serve distinct purposes. Promotion entails elevation to higher positions based on demonstrated performance, potential, and organizational needs. In contrast, skills development encompasses a broader spectrum of learning experiences, including training programmes, mentorship initiatives, and professional development opportunities aimed at enhancing employees' capabilities and ensuring their readiness to undertake new challenges.

3. Developing a constructive approach to promotion takes a variety of issues into account so they are in balance with each other. These include individual well-being and opportunity; the well-being of the team and of the institute as a whole; and the balance of responsibilities and capacities among the staff both within each team and in the institute as a whole.

Structure of seniority

a) Research staff

4. As is customary in thinktanks such as SIPRI, the institute has a structure of seniority among researchers, as outlined here:

- Research assistant
- Researcher
- Senior Researcher
- Senior Researcher/Programme Director
- Senior Researcher/Director of Studies

b) Operations and outreach

5. The structure of seniority among operations and outreach staff is roughly comparable but the categories are more diverse and are not completely compatible with each other while the terminological distinctions are less clear-cut. Within teams in operations and outreach, however, there are clear criteria of seniority based on the scale of the responsibilities each position entails.

Possibility of promotion

6. In principle, among all staff, promotion is tied to a combination of the position and the organisational structure on the one hand, and to individual performance, experience and capacity on the other.

7. In practice, promotion of operations and outreach staff is mostly available only if a vacancy arises at a more senior level or in the event of organisational restructuring.

8. For researchers, a senior vacancy or organisational change, such as the establishment of a new programme, can also create an opening for promotion. However, by contrast with the operations and outreach staff, a researcher's promotion is also possible (as at many other research centres and thinktanks) because of outstanding performance, even if nobody more senior has left their position.

9. There are several consequences of this difference between research staff and operations and outreach staff:

- a) Promotion opportunities are more limited among operations and outreach staff than on the research side.
- b) In outreach and operations, promotion is generally based on picking the best candidate for a vacant position, often in competition with external applicants.
- c) By contrast, for many promotions among researchers, the step up is approved if the institute judges the researcher to have the appropriate level of ability.

10. SIPRI has elaborated the seniority structure among researchers and specified criteria that, in general, research staff at each level must fulfil. The structure and criteria are outlined in the guidance on drafting job descriptions that was updated in September 2022; they are summarised in Table 2 at the end of that document. These criteria are essential for assessing the seniority distinctions among research staff and the positions they are filling, and in assessing and deciding promotions.

11. The job description guidance notes for Operations and Outreach staff and for researchers are annexed to this document, including the table on seniority among researchers. Please note that the table (Table 2 of the guidance note on drafting researchers' job descriptions) summarises the nuanced presentation of what constitutes seniority to be found in the body of the document. As a summary, it simplifies key issues and omits others so it is essential to read the full guidance note on drafting job descriptions.

Seniority and promotion

12. Whether the promotion is based on competitive selection for a vacancy or on individual merit regardless of vacancies, it is important to note a difference between the concepts of seniority and promotion. Seniority is understood on the basis of criteria. For researchers, these focus on aspects such as the number of articles expected to be published, conducting research independently (or not), designing research projects, and leadership in raising funds. For operations and outreach staff, they focus on aspects such as the scope of responsibility, the degree of supervision required, or the number of staff being managed. Taking these criteria together, the result is a rounded but static picture of what SIPRI expects from staff at different levels of seniority.

13. Promotion, however, is dynamic, it is about moving not just from one position to another but from one level of expectation and performance to another.

14. On the research side, promotion can be a way of recognising the level at which an individual is already performing – a research assistant who writes as well and works as

independently as any researcher, for example, or a researcher whose capacity to generate new project ideas and resource them matches that of any senior researcher.

15. Promotion can alternatively be a way of recognising potential and attempting to draw it out and fulfil. That is to say, among operations and outreach staff as well as among researchers, people can be promoted to a level that requires higher performance than they have so far displayed, a level of which they seem capable in the judgement of the institute. To fulfil responsibilities in the position to which they will be promoted, they would need to perform at a higher level than they have so far achieved.

16. For this to work, the case for promotion must be based on evidence. A feeling that somebody can do more than is currently asked of them may turn out to be justified but good feelings about people can mislead and are a poor basis for a fair process. Evidence should focus on aspects of performance that show promise.

Promotion process

17. As indicated in paragraph 9 above, promotion possibilities are different for research staff on the one hand and operations and outreach staff on the other. This difference is reflected in some aspects of the promotion process being different in the two broad categories of staff.

18. A staff member can be promoted having requested it, or upon being offered promotion even if they did not request it.

Promotion request

(a) Operations & outreach staff:

19. When a position in Operations or Outreach becomes vacant for any reason, all employees who meet the job requirements are eligible to apply for the position. However, it's important to note that during this recruitment process, internal candidates may compete with external applicants. It is unlikely that a promotion request can be granted if there is no vacancy.

(b) Research staff:

20. In the same way, research staff may have a possibility for promotion if a position such as Programme Director becomes vacant, either because the incumbent is leaving or because a new programme is created. In that case, eligible employees may apply for the vacancy, noting that it is possible that the recruitment process will be open to external applicants.

21. In addition, a member of the research staff can request promotion. The request should include a self-assessment highlighting their achievements, skills and readiness for advancement, showing how they meet the relevant seniority criteria. The first step in the process is a discussion with the line manager, normally as part of the Performance Assessment and Development (PAD) process and the Mid-Term Reviews (MTRs); it is also open to the staff member seeking promotion to request a meeting with their line manager to present their request.

22. When promotion is requested outside of an application for a vacant position, the first step in assessing the request is a discussion with the line manager, who decides whether to take the request forward or deny it. If the line manager is not persuaded, that response and the reasons for it should be expressed directly to the staff member. There is no need to do that in writing unless the staff member requests it during the annual PAD. There is also no need for

the line manager to report the request to the SMT member heading their cluster or team. If a staff member feels that their request for promotion has been treated unfairly by their line manager, they may take it up with HR or the manager's manager.

Promotion offered

23. When a line manager thinks that it would be appropriate to promote an individual even though they have not asked for it, the line manager's first step is to talk with their manager, who will ensure the issue goes to SMT.

24. Based on feedback from the first discussion at SMT, the line manager will either drop the idea if the response was largely negative or, if the response is positive, raise the issue with the staff member concerned.

Promotion memo

25. If the line manager is convinced of the case for promotion, regardless of whether it has been requested, the next step is to draft a memo that will go to HR Group and SMT via the SMT member heading their cluster or team (or, if the line manager is a member of SMT, direct to HR Group and SMT). The SMT member adds comments to the memo before forwarding it. The memo goes to the SMT for decision.

26. The memo presents an evidence-based case for promotion. To be noted:

- a) The memo should include a comment on the shape of the team, whether in Outreach, Operations or research. It should show that the manager is thinking not only about the individual and the position they will fill but also about the balance between different levels of seniority within the team after the promotion.
- b) Promotion has financial implications because the salary and associated costs will increase. The promotion memo should include a comment on the budgetary consequences of the promotion and how the increased spending will be covered.
- c) In the case of promotion for a member of the research staff, the line manager should use the categories and, broadly, the criteria in Table 2 of the guidance on drafting job descriptions as a guide. In the case of promotion for a member of the operations or outreach teams, the manager should address the items in the relevant Job Description.
- d) It is a responsibility of all staff to contribute to generating a pleasant and intellectually stimulating working environment; job descriptions include the importance of taking part in the collective life of the institute. It is worth addressing these aspects directly in the promotion memo as well as factors such as productivity and fundraising among researchers, and efficiency and effectiveness among operations and outreach staff.
- e) In the case of researchers, the memo should also address the individual's record of:
 - i) Publications: this may just be a list of works produced but when individuals do most of their writing in collaboration with others, it is necessary for some promotions (such as from researcher to senior researcher) to identify the nature of the contribution to the joint works;
 - ii) Speaking on panels at conferences, seminars etc;

iii) Fundraising: it should make clear the degree of effort, whether the researcher has led a fundraising effort, and how well they work with Project Management Office.

Decision

27. SMT discusses and decides the substantive question of whether an individual should be promoted. Note that the SMT is not bound to approve a recommendation to promote. In general, SMT will discuss promotions twice a year, once in June following the MTRs, and once later in the year in the wake of the annual PADs. The reason for this is so as to be able to take a comparative view and achieve consistency in decisions about promotion. There may, however, be exceptions and SMT will discuss promotions outside the cycle of PADs and MTRs if that is merited.

Salary

28. Promotion normally means an increase in salary. HR Group discusses the issue.

ANNEX 1 :
JOB DESCRIPTIONS FOR OPERATIONS AND OUTREACH STAFF
GUIDANCE NOTE FOR DRAFTING
29 September 2017
UPDATED AUGUST 2022

1. BACKGROUND AND PURPOSE

This guidance note is intended to help with drafting job descriptions for operations and outreach staff. The main aim is to help those drafting job descriptions to find the right balance of a necessary consistency between different positions in SIPRI and an equally necessary degree of specificity.

The purpose of a job description is what it says on the label: to describe the job. Its purpose is not to describe the person who holds the job. Nor to foresee and forestall every possible staffing issue that may arise. Nor to establish year-by-year objectives for staff members.

A job description faces two ways, meeting the needs both of staff members and of the institution. It is not a contract of employment but it does set out what SIPRI expects of the staff member. Institutional expectations should combine consistency with variations for individual positions. Consistency is needed both horizontally and vertically:

- Horizontally, so positions at the same level of seniority have comparably demanding tasks and comparable responsibilities, both within and between functions;
- Vertically, so that there is a clear and reasonable difference between tasks and responsibilities in comparing senior to less senior staff.

To help with this, this guidance note looks at issues of drafting and vocabulary (section 4 below) and at the issues involved in seniority and responsibility (section 5). Illustrative text to show how some parts could be drafted is in italics.

NB: On vocabulary, on grounds of inclusivity, the Senior Management Team has decided to shift from using the formulations s/he and her/his to instead using they and their.

NB: This is a guidance note, not an instruction manual. Managers will need to use judgement to handle the specifics of each task of describing the job. The guidance is summarised in Table 1 at the end of the note.

2. USE OF JOB DESCRIPTIONS

Job descriptions are primarily used as follows:

- The Human Resources office and the hiring manager will use the job description as the basis for drafting the advertisement for a vacancy.
- The job description will be sent to short-listed candidates before interview.
- Job descriptions are the basis for the annual development discussions that assess performance and establish objectives for the coming year.
- If there is a need to revise the job description, this can be done following the annual Performance Assessment and Development discussion between staff member and line manager.

3. DRAFTING THE JOB DESCRIPTION

This section goes through the main issues; it is summarised in Table 1.

3.1 Opening

The Job Description (hereafter, JD) is dated for later reference. It begins with a 5-row grid; in this example, the entries in the second column are intended only as illustrations.

Position	<i>Communications Officer</i>
Department	<i>Outreach and Communications</i>
Responsible to	<i>Head of Outreach and Communication</i>
Managing	<i>Interns occasionally</i>
Contract	<i>Permanent</i>

To note:

1. For “Responsible to”, specify the line manager’s post, not their name;
2. No need to specify numbers of staff to be managed since that may change;
3. If the JD is to be used for recruitment, the contract will be one of fixed term or permanent; if the JD is a revision of a previous version, state whether the contract is fixed term or permanent.

3.2 Job Purpose, Responsibilities and Tasks

It is always important to distinguish these three categories clearly from each other. The flow from purpose to responsibility and then to tasks entails increasing specificity on areas the job covers. This means, for example, that we cannot have tasks covering areas that were not mentioned in the purpose.

- The purpose says what the job is for;
- The responsibilities are how to fulfil the purpose;
- The tasks are how to carry out those responsibilities.

For some positions, it is only possible to fulfil some responsibilities by working with other staff. This should be covered following the delineation of responsibilities (see below).

3.2.1 Job Purpose This section of the JD opens with 1-2 sentences on the background of the department, then has 1-2 sentences on the purpose of the job. For example,

SIPRI’s communications and outreach activities are a fundamental component of the Institute’s overall strategy and work.

The post of Communications Officer (Outreach and Engagement) aims to reinforce the communications department in its ambition to further support and diversify the promotion of SIPRI’s research with additional tools (i.e. film) as well as to increase the engagement with SIPRI’s numerous audiences.

They will also deputise for the Social Media Manager when the current colleague in that job is primarily focusing on SIPRI's major spring conference, the Stockholm Forum on Peace and Development.

The sentence(s) describing the department should be the same for all JDs in that department.

3.2.2 Responsibilities This part of the JD outlines what the post-holder will be responsible for to fulfil the stated purpose of the position and be a good staff member of SIPRI. There should be 5-7 stated responsibilities, expressed in bullet points including:

- *Like everybody at SIPRI, contribute to a pleasant and stimulating intellectual and work environment in the Institute.*

NB: Though this responsibility has often been carelessly omitted in recent years, it is essential that it is included in all JDs.

Where inter-action with other staff members is required to fulfil the responsibilities, this can be outlined in an additional sub-section.

3.2.3 Tasks Here, the JD outlines what the post-holder will do to fulfil the stated responsibilities. The review of JDs in 2017 showed that many JDs contain 15 or more tasks. It is sometimes genuinely difficult to produce a concise list of tasks because the work of operations and outreach staff can be highly varied. Nonetheless, it is recommended to list only up to 12 bullet points. The more generically the tasks can be expressed, the easier it is to keep the list relatively short and, therefore, both comprehensible and useable.

To note:

1. These three sections on purpose, responsibilities and tasks cannot cover every possible eventuality; the emphasis is on the central purpose, main responsibilities and a generic outline of tasks;
2. There is not always a one-to-one relationship between responsibility and task – i.e., one responsibility might be fulfilled through several tasks or several responsibilities might be partly fulfilled by one task;
3. Tasks and even responsibilities that are specific to the moment – i.e., which arise for a while and then are fulfilled and finished with – should be covered in the annual objective-setting exercise between staff member and manager, and should not be included in the JD.

3.3 Travel

If there is likely to be any travel required by the post-holder, an estimate should be made of how much travel the post will entail. It should be made clear that this is an estimate and not a commitment to either a maximum or minimum numbers of days for travelling.

3.4 The individual

While the JD is about the job rather than the person, it is nonetheless important to indicate in broad terms what kind of person might do the job well by outlining the personal qualities, experience, qualifications and, in some cases, skills and knowledge that fit the post.

3.5.1 Qualities for the post The aim is to give a very brief sketch of the sort of person who would do well in this post. The section should express two or three important qualities including what talents they may bring to it. The section should not be more than 40-45 words in length. An acceptable form of wording for some posts could be as follows:

The Director of Communications and Outreach is a top-class, creative and driven communications professional with a sharp, quick and flexible mind, an infallible intuition for opportunities, a problem-solver with an engaging, enthusing attitude and a proven ability to manage people and budgets.

3.5.2 Qualifications If there is a requirement for educational qualifications, it should be expressed in relatively relaxed terms; this is an international institution and qualifications carry different weights in different countries. Making the qualification requirement too firm can both give rise to false expectations and lead some strong candidates to rule themselves out. An acceptable form of wording could be:

A university degree or degrees, in disciplines and topics relevant to this post, at B.A or Master level.

If a professional qualification is required, express clearly whether it is essential in order to be able to do the work or simply desirable.

3.5.3 Experience The bar of experience should be set at a reasonable level.

3.5.4 Knowledge/skills Not all JDs contain a section on knowledge or skills. Some aspects of knowledge can be inferred from the section on experience but not all and there are some posts that demand high specific skills. When needed, an acceptable form of wording could be as follows:

- *A good broad knowledge of a specified area of work*
- *Fluency in one or two relevant specified languages as well as English.*

To note:

1. It is important to avoid the temptation to write up impossibly demanding combinations of qualities, experience and qualifications;
2. Do not mix up experience with knowledge and skills; when a section on knowledge and skills would be useful, include it.

4. MANAGEMENT

SIPRI does its best to provide institutional support for all aspects of management, while those who take up positions with management responsibility are expected to be able to rise to the challenges those positions generate. In general, a manager should not be responsible for more than seven staff members reporting directly to them.

5. DRAFTING RESPONSIBILITY AND SIGN-OFF

The responsibility to draft a JD for a new post belongs in the first instance to the Department Director who seeks to establish the post. The responsibility to revise the JD for an existing post belongs in the first instance to the line manager of that staff member. Sign-off responsibility for both new and revised JDs for outreach and operations staff belongs to the SMT. It is therefore advisable for any staff member in those departments seeking to draft a new JD or revise an existing one to consult with their Department Director at any early stage.

ANNEX 2: GUIDANCE NOTE FOR DRAFTING JOB DESCRIPTIONS FOR RESEARCH STAFF AUGUST 2022

1. BACKGROUND AND PURPOSE

This guidance note is intended to help with drafting job descriptions for research staff. It will also be of help in assessing the case for promotion and salary increases. The main aim is to help those drafting job descriptions to find the right balance of a necessary consistency between different positions in SIPRI and an equally necessary degree of specificity.

The purpose of a job description is what it says on the label: to describe the job. Its purpose is not to describe the person who holds the job. Nor to foresee and forestall every possible staffing issue that may arise. Nor to establish year-by-year objectives for staff members.

A job description faces two ways, meeting the needs both of staff members and of the institution. It is not a contract of employment but it does set out what SIPRI expects of the staff member. Institutional expectations should combine consistency with variations for individual positions. Consistency is needed both horizontally and vertically:

- Horizontally, so positions at the same level of seniority have comparably demanding tasks and comparable responsibilities, both within and between programmes;
- Vertically, so that there is a clear and reasonable difference between tasks and responsibilities in comparing senior to less senior staff.

To help with this, this guidance note looks at issues of drafting and vocabulary (section 4 below) and at the issues involved in seniority and responsibility (section 5). Illustrative text to show how some parts could be drafted is in italics.

NB: On vocabulary, on grounds of inclusivity, the Senior Management Team has decided to shift from using the formulations s/he and her/his to instead using they and their.

NB: This is a guidance note, not an instruction manual. Managers will need to use judgement to handle the specifics of each task of describing the job. The guidance is summarised in two tables at the end of the note: Table 1 has a summary of key points; Table 2 outlines categories of seniority.

2. USE OF JOB DESCRIPTIONS

Job descriptions are primarily used as follows:

- The Human Resources office and the hiring manager will use the job description as the basis for drafting the advertisement for a vacancy.
- The job description will be sent to short-listed candidates before interview.
- Job descriptions are the basis for the annual development discussions that assess performance and establish objectives for the coming year.
- If there is a need to revise the job description, this can be done after the annual Performance Assessment and Development discussion.

3. RESEARCH STAFF CATEGORIES

Formally and through agreement with the trades unions, SIPRI recognises four levels of seniority among the research staff – Research Assistant, Researcher, Senior Researcher and Senior Researcher and Programme Director. Specified functions can be carried out at each level of seniority; in current practice, this results in seven categories on the research side. Among these seven categories there are some aspects of congruence, some of similarity and some specificity. Job descriptions reflect and respect both the unique and the common requirements of each.

The seven categories among research staff for which job descriptions are required are:

1. Research Assistant	2. Research Assistant / Programme Coordinator	
3. Researcher	4. Researcher / Programme Coordinator	
5. Senior Researcher	6. Senior Researcher/ Programme Director	7. Senior Researcher / Director of Studies

NB: In some cases a Research Assistant (or Researcher) and Programme Coordinator is coordinating a cluster. For purely cosmetic reasons, the position is nonetheless named “programme coordinator”; outside SIPRI, that term is reasonably familiar and recognisable, while “cluster coordinator” is a purely internal SIPRI term. The difference in responsibilities between coordinating a programme and a cluster should be recognised in the different terms of the respective job descriptions and in salary.

4. DRAFTING THE JOB DESCRIPTION

This section goes through the main issues except seniority and is summarised in Table 1. Seniority is addressed in Section 5 and is summarised in Table 2.

4.1 Opening

The Job Description (hereafter, JD) is dated for later reference. It begins with a 5-row grid; in this example, the entries in the second column are intended only as illustrations.

Position	<i>Programme Director, Military Expenditure and Arms Production</i>
Research area	<i>Data on military expenditure and arms production – trends, drivers, impact</i>
Responsible to	<i>Director of Studies, Armament and Disarmament</i>
Managing	<i>Senior researchers, researcher, programme coordinator and research assistant</i>
Contract	<i>Fixed: 2 years with possible extension</i>

To note:

4. The position of Senior Researcher and Programme Director can be expressed simply as Programme Director for convenience;
5. The research area should be described in headline terms, as broadly and crisply as possible; do not use a project title for this purpose.
6. For “Responsible to”, specify the line manager’s post, not their name;
7. No need to specify numbers of staff to be managed since that may change;
8. If the JD is to be used for recruitment, the contract will be fixed term; if the JD is a revision of a previous version, state whether the contract is fixed term or permanent.

4.2 Job Purpose, Responsibilities and Tasks

It is sometimes difficult but always important to distinguish these three categories clearly from each other. The flow from purpose to responsibility and then to tasks entails increasing specificity on areas the job covers. This means, for example, that we cannot have tasks covering areas that were not mentioned in the purpose.

- The purpose says what the job is for;
- The responsibilities are how to fulfil the purpose;
- The tasks are how to carry out those responsibilities.

For some positions, it is only possible to fulfil some responsibilities by working with other staff. This should be covered following the delineation of responsibilities (see below).

4.2.1 Job Purpose The section of the JD opens with 1-2 sentences on the cluster or programme or both, depending on what is relevant to understand the job purpose, then has 1-2 sentences on the purpose of the job. For example,

The programme on Climate Change and Risk explores the links between the changing global climate and security issues including social upheaval and political instability. Further, it explores and assesses policies for national and international action to address the links it unearths. The purpose of the post of Senior Researcher on Climate Change and Risk is to identify and explain gender aspects of climate policy choices and to assess current inter-governmental responses and potential policy options.

The sentence(s) describing the cluster or programme should be the same for all JDs in that cluster or programme.

4.2.2 Responsibilities This part of the JD outlines what the post-holder will be responsible for to fulfil the stated purpose and be a good staff member of SIPRI. There should be 5-7 stated responsibilities, expressed in bullet points, covering the following areas (with the kind of language to be used at different levels of seniority in italics):

- Research assistants *assist* in research, in dissemination, in fundraising and other aspects of the research team’s activity (e.g., organising events).
- Research assistants who are programme coordinators may do the above and also *coordinate* their project or programme’s activity under the guidance of their manager.
 - They may also *maintain* lines of communication with management and senior management.

- Researchers *conduct, participate in or lead* research.
 - They *disseminate* their research results in a variety of ways
 - They *lead, contribute to or participate in* fundraising for themselves or a team project.
 - Researchers also *manage and mentor* junior staff.
- Senior Researchers *conduct and lead* research.
 - They *disseminate* research results. They may also *coordinate or participate in* collecting, processing, analysing and disseminating data and analysis.
 - They *raise funds* for themselves and *advise* others on fundraising.
 - They also *manage and mentor* junior staff.
- Senior Researchers who are Programme Directors do the above and *lead fundraising* for their team and *advise* others on fundraising.
- Senior Researchers who are Directors of Studies do the above and *ensure successful fundraising is happening throughout their cluster*.
- Like everybody at SIPRI, *contribute to a pleasant and stimulating intellectual and work environment in the Institute*.

NB: Though the last bullet point has often been carelessly omitted in recent years, it is essential that it is included in all JDs.

Where inter-action with other staff members is required to fulfil the responsibilities, this can be outlined in an additional sub-section. Areas to cover here could include but are not necessarily limited to the following:

- *With research colleagues in the same or other cluster(s) or programme(s);*
- *With the Project Management team on fundraising;*
- *With the Head of Outreach and outreach team on outreach and events (and/or with the Managing Editor and editorial team on publications);*
- *With the Director of Studies on long-term strategy.*

4.2.3 Tasks This section of the JD outlines what the post-holder will do to fulfil the stated responsibilities. It is sometimes genuinely difficult to keep the list of tasks down because the work of research staff can be highly varied. Nonetheless, it is recommended to stay within 12 bullet points. The more generically the tasks can be expressed, the easier it is to keep the list relatively short and, therefore, both comprehensible and useable. An illustration is as follows:

- *Designing, conducting, writing and disseminating their own high quality research;*
- *Preparing well presented, effectively argued and properly budgeted research proposals to secure future funding, both for their own research and for other research carried out within the ----- cluster;*
- *Working with the Director of Studies to ensure delivery of the cluster's activities r;*
- *Collaborating with other researchers in SIPRI;*
- *Working with junior staff as their line managers and advising on research;*
- *Budgeting and financial management for own research and for other research within the ----- cluster;*
- *Taking part in the collective life of the Institute by attending and participating in seminars, Research Staff Collegium meetings and other collective activities.*

To note:

4. These three sections on purpose, responsibilities and tasks cannot cover every possible eventuality; the emphasis is on the central purpose, main responsibilities and a generic outline of tasks;
5. There is not always a one-to-one relationship between responsibility and task – i.e., one responsibility might be fulfilled through several tasks or several responsibilities might be partly fulfilled by one task;
6. Tasks and even responsibilities that are specific to the moment – i.e., which arise for a while and then are fulfilled and finished with – should be covered in the annual objective-setting exercise between staff member and manager and should not be included in the JD..

4.3 Outreach: expected productivity

This outlines what outreach is expected of the post-holder. Outreach is any and all outward communication on the basis of research and expertise, including writing for publication in journals, anthologies, op-eds, blogs, reports and background briefings; presentations at conferences, seminars, courses and in public venues; and interviews. SIPRI's output is publicly available, with a small number of exceptions.

On the differences between expectations of productivity at different levels of seniority, see section 5 below. Note that the specific levels of productivity expected of different researchers may be influenced by them having responsibility for databases or major events, for example, and by what stage they are at with their research.

An example of how to cover productivity (in this illustration, for a Senior Researcher who is not managing a programme) is as follows:

The Senior Researcher is expected to be productive in a variety of ways – by writing regularly, through seminar presentations and panel discussions, and by being available for interviews by the news media and/or for social media distribution by SIPRI and/or other organisations. Written output may be for publication in scholarly and policy-oriented journals, the SIPRI Yearbook, anthologies and conference papers.

The Senior Researcher is expected to write each year

- *some 4-5 well-researched articles, each of about 5,000 words in length, or the equivalent in the form of contributions to the SIPRI Yearbook and/or other publications such as a SIPRI policy or other research report of comparable length and weight;*
- *some shorter policy-relevant pieces such as blogs, op-eds, backgrounders, expert comment or fact sheets.*

It is also an expected form of output that the Senior Researcher collaborates on the agenda and session design, discussion questions and annual report for the Stockholm Forum on Peace and Development;

In establishing annual objectives for productivity, the Senior Researcher and the Director of Studies may vary the details of these expectations and set alternative targets.

The Senior Researcher is also expected to be an effective speaker and lecturer. They are expected to participate in public speaking engagements (panel debates, lectures, workshops) regularly and should be prepared to comment on film for any of SIPRI's video series.

To note:

1. The section should encourage rather than admonish;
2. It should explicitly reference diverse kinds of productivity;
3. It should make explicit mention of the annual process of setting objectives.

4.4 Travel

Most if not all research posts involve travel. Some estimate should be made of how much travel the post will entail. It should be clear that this is an estimate and not a commitment to either a maximum or minimum numbers of days for travelling. To illustrate an acceptable form of wording:

The position of Senior Researcher is based in Stockholm and, as with all research posts at SIPRI, requires willingness and availability to travel for the purposes of, inter alia, field research, fund-raising and presenting and disseminating research findings. This requirement must, of course, be balanced by the need to be present in the institute and taking part in activities there, as well as by the larger need for work-life balance.

An estimate of required travel is 1-3 short trips per month (e.g., 2-3 days within Europe) and 1 longer trip (e.g., one week outside Europe) every three months.

4.5 The individual

While the JD is about the job rather than the person, it is nonetheless important to indicate in broad terms what kind of person might do the job well by outlining the personal qualities, experience, qualifications and, in some cases, skills and knowledge that fit the post.

4.5.1 Qualities for the post The aim is to give a very brief sketch of the sort of person who would do well in this post. The section should express two or three important qualities including what talents they may bring to it. The section should not be more than 40-45 words in length. An acceptable form of wording for some posts could be as follows:

The Director of Studies should be a top-class researcher on an important topic with an international reputation and have a talent for communication, the ability to manage people and budgets, and an entrepreneurial instinct.

4.5.2 Qualifications They tell part of the story about an individual's ability to be an excellent researcher but only part. SIPRI is looking for research staff who, as well as doing excellent research, know how to have policy impact and influence. Not all who are academically

outstanding are equally proficient in communication and policy issues. Further, this is an international institution and qualifications carry different weights in different countries. Thus, the requirement for degree qualifications should be expressed in relatively relaxed terms. Making the qualification requirement too firm can both give rise to false expectations and lead some strong candidates to rule themselves out. An acceptable form of wording could be:

A university degree or degrees, in disciplines and topics relevant to this post, at Master or Doctoral level, or publications to Doctoral degree standard.

4.5.3 Experience The bar of experience should be set at a reasonable level. On how experience influences seniority, see section 5 below. An acceptable wording on experience for a Senior Researcher who is not a Programme Director could be as follows:

- *More than five years' experience as a researcher initiating and carrying out their own research projects;*
- *A record of publications that is commensurate by SIPRI standards with the length of time worked in research;*
- *Research or professional background in conflict analysis and conflict resolution, especially in (a specified region);*
- *Research engagement in the peace, security, conflict and development issues of (the specified region).*

4.5.4 Knowledge/skills Not all JDs contain a section on knowledge or skills. Some aspects of knowledge can be inferred from the section on experience but not all and there are some posts that demand high statistical or linguistic skills. When needed, an acceptable form of wording could be as follows:

- *A good broad knowledge of (a specified region), supplemented by detailed knowledge of at least one country;*
- *Good knowledge of peace, conflict, stability and fragility in (the specified region);*
- *Fluency in written and oral English and (a relevant specified language).*

To note:

3. It is important to avoid the temptation to write up impossibly demanding combinations of qualities, experience and qualifications;
4. Do not mix up experience with knowledge and skills; when a section on knowledge and skills would be useful, include it.

5. SENIORITY

The key issues in defining seniority are independence, productivity and outreach, fundraising and management.

5.1 Independence

Intellectual independence is a feature of research. SIPRI is committed to encouraging it. At the same time SIPRI researchers must also be ready to work on joint projects with colleagues in SIPRI and in other institutions. The system of seniority at SIPRI reflects this:

- A Research Assistant works on a research project or programme somebody else has designed.
- A Researcher can design their own research project, perhaps with some help, and can work independently; they can also both contribute to the design of a project led by someone else and work on a project with others as a co-equal or under supervision.
- A Senior Researcher can design a realistic and feasible project independently, both one that will be implemented individually and one that is more ambitious in scale; they may also contribute to and advise on project design by others and work on team projects.

5.2 Outreach

Some people do not need written requirements or guidelines on how much writing and other kinds of outreach are required but, because some do, all researchers' JDs have them. See section 4.3 above on what is covered under the heading of "outreach".

Expectations rise with seniority.

Research Assistant: In general, the institute does not expect research assistants to produce any of these kinds of output though, if done well, it is welcomed and can be part of the case for promoting an individual to researcher.

Researchers and Senior Researchers: By contrast, the institute's general expectation is that researchers and senior researchers write much and well, based on excellent research that asks important questions, finds interesting ways to answer them and produces solid results. It also expects that researchers and senior researchers are willing and effective panellists, lecturers, public speakers and interviewees when called on, on topics and areas of their expertise.

It is difficult to identify precise, specific quantitative expectations about output across the board for all research staff. Among the factors to consider that might shape the expectations for written output are

- (a) Other responsibilities – e.g., for major databases, or for major SIPRI events, or for management; and
- (b) The phase of research an individual has come to – e.g., if writing a book, or if retooling for a new set of issues, fewer long articles would normally be expected.

Other things being equal, factors under (a), which relate to responsibilities of the post, are addressed in the JD, while factors under (b), which relate to the work of an individual at a particular time, are addressed by the staff member and line manager in the annual development discussion that assesses performance and sets objectives.

Taking this into account, it is nonetheless possible to indicate some quantities for expectations; these should be regarded as norms from which to diverge as necessary and appropriate. They are found in Table 2.

5.3 Fundraising

Raising funds to support research and other activities is both an institutional and an individual responsibility. The responsibility for fundraising rises with seniority.

In broad categories and in general, fundraising responsibilities are as follows:

- Research Assistants are not responsible for fundraising. They are expected to assist in fundraising when called on, as with other tasks assigned to them.
 - For Research Assistants who are also Programme Coordinators, tasks related to assisting with fundraising may require more responsibility, involve more initiative and be less mundane.
- Researchers contribute to fundraising efforts in a variety of ways – with project ideas and plans, by identifying fundraising possibilities, and by drafting parts or all of concept notes, proposals and applications. As with their research, Researchers may fundraise for their own individual work and/or as part of a team effort.
 - Researchers who are Programme Coordinators may have a significant role in fundraising for their programme as well as for their own research.
- Senior Researchers are expected to raise funds for their research, working independently or as part of teams according to opportunity, and are expected to provide advice to colleagues, especially junior ones, on fundraising possibilities and tactics.
 - Senior Researchers who are Programme Directors raise funds for their programmes and staff including their own research.
 - Directors of Studies are responsible for ensuring successful fundraising is happening throughout their clusters and are always willing to provide advice and support to colleagues.

As with outreach, variations in the degree of responsibility arise due to other work responsibilities and/or the phase of a researcher's current work. One-to-one discussions between a staff member and the line manager work through the nuances to arrive at the final expression of expectations.

5.4 Management

Management responsibilities – for planning and implementing activities, budgeting and staff management – also increase with seniority and may vary because of a specific individual's work and role in a team. In broad categories, this gradient is displayed in Table 2, in the two columns on project /programme management and on staff management.

SIPRI does its best to provide institutional support for all aspects of management, while those who take up positions with management responsibility are expected to be able to rise to the challenges those positions generate. Where possible, a manager who is also conducting and managing research should not be responsible for more than five staff members reporting directly to them.

5.5 Experience

Experience is not the only indicator of seniority – it is generally a necessary but not sufficient criterion. It may even be dropped altogether in the case of somebody outstanding. That said, in general

- A Research Assistant can be appointed without any previous experience;

- A Research Assistant who is also a Programme Coordinator probably starts with at least 1-2 years of experience either as a research assistant or in a coordinating role of some kind;
- A Researcher can be appointed without any previous experience as a researcher (e.g., promoted from Research Assistant) but generally has 1-2 years of experience participating in research and writing;
 - A Researcher who is also a Programme Coordinator has, in addition, some coordination experience for 1-2 years;
- A Senior Researcher has more than five years' experience as a researcher conducting independent research and fundraising successfully;
 - A Senior Researcher who is a Programme Director can be appointed without previous programme management experience but has some additional years of experience in research;
 - A Director of Studies should start with 2-4 years of experience in research management, which, of course, includes successful fundraising.

5.6 Overview on seniority

In broad terms, allowing for specifics to be addressed in the JD and development discussions, the graduated expectations for each category of research staff position are as indicated in Table 2.

6. TEMPLATE LANGUAGE

Language across JDs must be consistent; it makes them easier to draft and understand.

- The one who leads a Programme is a Programme Director.
- Research Assistants and Researchers who are also Coordinators are Programme Coordinators, whether they are coordinating a programme, cluster, project or activity.
- SIPRI does not have a category of staff that is formally called project director or project leader (i.e., it is not one of the seven categories though it could be a useful description to have on a business card).
- On inclusive vocabulary, note the use of they and their instead of the previously used s/he and her/his.
- On language for responsibilities, as set out in section 4.2.2 above and repeated here just for convenience:
 - Research assistants *assist* in research, in dissemination, in fundraising and other aspects of the research team's activity (e.g., organising events).
 - Research assistants who are programme coordinators may do the above and also *coordinate* their project or programme's activity under the guidance of their manager.
 - They may also *maintain* lines of communication with management and senior management.
 - Researchers *conduct, participate in* or *lead* research.
 - They *disseminate* their research results in a variety of ways
 - They *lead, contribute to* or *participate in* fundraising for themselves or a team project.

- Researchers also *manage and mentor* junior staff.
- Senior Researchers *conduct* and *lead* research.
 - They *disseminate* research results. They may also *coordinate* or *participate* in collecting, processing, analysing and disseminating data and analysis.
 - They *raise funds* for themselves and *advise* others on fundraising.
 - They also *manage and mentor* junior staff.
- Senior Researchers who are Programme Directors do the above and *lead fundraising* for their team and *advise* others on fundraising.
- Senior Researchers who are Directors of Studies do the above and *ensure successful fundraising is happening throughout their cluster*.
- Everybody *contributes to a pleasant and stimulating intellectual and work environment in the Institute*.
- Check background sentences on cluster and on programme for consistency between relevant JDs.

7. DRAFTING RESPONSIBILITY AND SIGN-OFF

The responsibility to draft a JD for a new post belongs in the first instance to the Researcher or Senior Researcher who seeks to establish the post.

The responsibility to revise the JD for an existing post belongs in the first instance to the line manager of that staff member.

Sign-off responsibility for both new and revised JDs for research staff belongs to the SMT. It is therefore advisable for any Researcher or Senior Researcher seeking to draft a new JD or revise an existing one to consult with their Director of Studies at any early stage.

TABLE 1
DRAFTING JOB DESCRIPTIONS – SUMMARY

Where	The issue
1. Opening box	NB: no summary before the box
	Cover: Position, Research area, Responsible to (the line manager), Staff to manage (no need for exact numbers), contract status if fixed term Compared to some earlier JDs: Delete mention of associates and of Department/Programme
2. Job Purpose	The purpose section should contain: 1-2 sentences on background of cluster and/or programme or topic of research and 1-2 sentences on the purpose of the post – i.e., why SIPRI has decided to have the post. <u>NB: use consistent language to describe cluster and/or programme background.</u>
3. Responsibilities	Distinguish areas of responsibility and degrees of responsibility by reference to sections 4.2.2 and 5 of this Guidance Note as well as Table 2. Ensure responsibilities fit the purpose.
	For responsibilities that can be fulfilled only by working with other staff members, include a sub-section covering that – see section 4.2.2
4. Tasks	Avoid proliferation of tasks – maximum 12; emphasise generic outline of tasks that continue for the duration of the post – shorter-term objectives are dealt with in annual objective-setting exercise
	Ensure productivity and tasks are distinct categories
5. Productivity	Pay close attention to Table 2 of this Guidance Note and to the specifics of the post
6. The individual	Qualities: crisp, 40-45 words, include talents that are valuable for outstanding performance. Avoid setting bar too high on experience and qualifications; ensure skills and knowledge are not mixed up with experience

SENIORITY AMONG RESEARCH STAFF

This table should **ONLY** be used as a handy summary of the nuanced presentation of what constitutes seniority to be found in the guidance on drafting Job Descriptions. As a summary, it simplifies key issues and omits others. Note in particular:

- 1) These are the minimum criteria (so the position may be defined more demandingly if desired but not less so);
- 2) Assessment of what constitutes a “solid article” or an “equivalent” are judgements to be made case by case.

	Research	Productivity and Outreach	Fundraising	Project/programme management	Staff management	Research Experience
Research Assistant	Assists by carrying out assigned tasks	No expectation. Welcome if done.	Fulfils assigned tasks	Fulfils assigned tasks	None	None needed but it is always desirable
Researcher	Conducts research, independent or guided	2-4 solid articles p.a. (or equivalent); >2 op-eds/blogs/notes or >2 panels & lectures and some interviews	Generates ideas, can raise funds for self or in team	Knows how to be responsible for a project budget	Up to 3 people – assistants and/or interns	At least 2 years of participation in research and writing*
Senior Researcher	Conducts independent research and advises/mentors others	3-5 solid articles p.a. (or equivalent); >4 op-eds/blogs/notes or >4 panels & lectures and some interviews	Generates project ideas, writes proposals, raises funds individually and/or in team	Has led individual or team projects with full budget responsibility	For up to 5 people – researchers, research assistants and/or interns	>5 years of independent research and fundraising
Senior Researcher / Programme Director	Conducts independent research and advises/mentors others	2-4 solid articles p.a. (or equivalent); >4 op-eds/blogs/notes or >4 panels & lectures and some interviews	Leads in generating ideas, writing proposals and raising funds	Has led (or is leading) a multi-staff / multi-project programme	For up to 5 senior researchers, researchers, research assistants and/or interns	>7-8 years of independent research and fundraising
Senior Researcher / Director of Studies	Conducts independent research and advises/mentors others	2-4 solid articles p.a. (or equivalent); >4 op-eds/blogs/notes or >4 panels & lectures and some interviews	Ensures adequate fundraising throughout cluster	Responsible for smooth functioning of all programmes in cluster	For up to 5 Programme Directors and/or senior researchers	Same as for senior researcher plus 2-4 years of research management

* NB If all articles are co-authored, a way must be found to verify the individual's level as an independent researcher and as a writer