

University College Dublin

Human Resources Strategy for
Researchers (HRS4R)



HRS4R

2-Year Review
of Progress

January 2015

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Introduction

2-year review of the HRS4R at UCD

This report provides an update on actions proposed in the first UCD HRS4R Action Plan submitted to the European Commission in July 2012. The report provides an overview of progress against stated actions and comments on areas where progress has not been made to the same level. Where relevant, the report outlines proposed next steps under the headings of the original action areas. The report also outlines actions for implementation during 2015 -2016 under the broad headings of the Charter and Code:

- Ethical and Professional Aspects
- Recruitment
- Working Conditions & Social Security
- Training

As this document seeks to provide a broad overview of the implementation of HRS4R at UCD it also provides a description of actions taken which are fully aligned to the principles of the Charter and Code but were not signalled in the Action Plan in 2012.

Finally, the report provides a case study *good practice* project demonstrating the implementation of HRS4R at UCD: the FP7 Marie Curie Action COFUND Energy21 Postdoctoral Fellowship Programme and outlines activities to embed and promote the HRS4R internally in UCD and externally in the broader European research area.

Overview of University College Dublin (UCD)

UCD is one of Europe's leading research-intensive universities where undergraduate education, postgraduate masters and PhD training, research, innovation and community engagement form a dynamic continuum of activity. The university was established in 1854 by John Henry Newman whose classic work *The Idea of a University* is one of the most enduring texts on the value of higher education and a source of inspiration for UCD's current educational philosophy. Today UCD is Ireland's largest university with almost 25,000 students.

It is the most popular destination for Irish school-leavers and actively promotes university life as a journey of academic and personal discovery through its highly innovative and flexible UCD Horizons undergraduate curriculum. UCD is Ireland's leader in postgraduate education with approximately 7,000 postgraduate students, representing approximately 28% of the UCD student population, and almost 2,000 PhD students.

Over 50% of UCD undergraduates progress to postgraduate studies. UCD is home to over 5,000 international students and, in addition, places great emphasis on the internationalisation of the Irish student experience – preparing all UCD students for future employment and a life that crosses borders, boundaries and cultures.

The role of UCD within Irish higher education is underscored by the fact that UCD alone accounts for over 30% of international students, over 25% of all postgraduate students and almost 28% of all doctoral enrolments across the seven Irish universities.



UCD endorsed the Charter and Code on 13th September, 2006 as part of the Co-operation Accord¹ which states ‘We recognise the value of the European Charter for Researchers and Code of Conduct for their Recruitment and support and endorse the principles set down in them and wish to build on them’.

UCD is well placed to implement the actions under the “HR Excellence in Research Award” following recent developments in its supports for researchers in the university including the UCD Structured PhD programme and the implementation of the UCD Research Careers Framework. The UCD Research Careers Framework establishes a structured and supportive skills and early career development model for Postdoctoral Fellows, as recommended in the sectoral Advisory Science Council (ASC) policy document ‘Towards a Framework for Research Careers’². The UCD Framework represents a joint initiative between UCD Research, Innovation and Impact, and UCD HR. This initiative directly supports UCD researchers in achieving their research and career goals. For postgraduate researchers, the UCD Structured PhD aims to enable UCD PhD students to achieve the best possible experience of graduate research and training.



¹ http://ec.europa.eu/euraxess/data/usgn_orgs/ie_ucd.pdf

² http://www.sciencecouncil.ie/media/asc081009_researcher_careers.pdf



Methodology for the UCD 2-year review

The Taskforce established in 2012 to carry out the original Gap Analysis and Action Plan reconvened with some members remaining and new members added.

Title:	2 YEAR REVIEW OF PROGRESS AND REVISED ACTIONS UNDER THE ‘HR EXCELLENCE IN RESEARCH’ HUMAN RESOURCE STRATEGY FOR RESEARCHERS (HRS4R)
Duration:	SEPT 2014 – JAN 2015
Purpose:	<p>The review seeks to:</p> <ul style="list-style-type: none"> • Assess progress of stated Actions contained within the UCD HRS4R Action Plan 2012 • Document activities in UCD which are aligned to the Charter and Code but not specified as Actions in the UCD HRS4R Action Plan 2012 • Outline new Actions proposed for the period 2015-2016 • To describe best practice in implementing the Principles of the Charter and Code • To document activities taken to embed HRS4R in the governance structures and research support units • To document activities taken to publicise HRS4R internally and externally
Structure of the Task Force:	<pre> graph TD RIIG[Research, Impact and Innovation Group (RIIG). Chaired by Professor Orla Feely, Vice-President for Research, Innovation & Impact] RIIG --- RIIG_SC[RIIG Sub-Committee on Research Careers. Chaired by Professor Catherine Godson] RIIG_SC --- HRS4R_TF[HRS4R Taskforce. Chair Professor Dolores Cahill] HRS4R_TF --- Members[PIs, Post Docs, PhDs, Research Staff Association, Graduate Studies, Ethics, HR, UCD Research & Innovation, Career Development Centre] </pre>
Membership:	The Task Force is comprised of a wide range of researchers and university staff including postgraduate and postdoctoral researchers, members of the UCD Research Staff Association, Principal Investigators, and representatives from administrative units including UCD Research Ethics Office, Career Development Centre, Graduate Studies, Access Centre, Human Resources, Research and Innovation, Business Development, etc.
Relationship with existing Groups:	The HRS4R Task Force operated working group of the Research Careers Sub-Committee and informed this Sub-Committee of its findings.



Identifying gaps in researcher support and development against the Charter and Code, implementing actions, and monitoring progress are integral steps in the HRS4R. Since the original UCD Action Plan in 2012, UCD has also sought to embed the HRS4R in governance structures of the university, across a number of management units and amongst researchers. This has been enhanced by two recent developments:

1. The Terms of Reference for the RIIG Sub Committee on Research Careers includes responsibility for the implementation of the HRS4R. In addition, the four thematic areas of the Charter and Code (Ethical and Professional aspects, Recruitment, Working Conditions & Social Security, Training) act as a framework for the Sub-Committee to progress its work. As such HRS4R and the Charter and Code are firmly embedded in the appropriate structure in UCD.
2. A new HRS4R Working Group comprised of researchers and research management and support staff has been formed. The need for this group arose due to the recognition that a more coherent approach to researcher career development and support would benefit the diverse range of management units in UCD, and consequently researchers themselves. The group, comprised of staff from Research and Innovation, HR, the Career Development Centre, Graduate Studies, the Office of Research Ethics, and the Research Staff Association and other researchers, will meet every 2 months to discuss the implementation of actions contained in this review and discuss best practice, opportunities and challenges related to researcher support.



UCD HRS4R Actions and progress

The main themes emerging from the 2012 Gap Analysis of the Charter and Code and UCD policies and practices, which led to the proposed Actions, were the following:

Thematic area of the Charter and Code	Thematic area of UCD Action Plan 2012
○ Ethical and Professional aspects	○ Research integrity and ethical considerations
○ Recruitment	○ Recruitment of early-stage (postgraduate) researchers
○ Working Conditions & Social Security	○ Mobility, attracting researchers and the portability of grants
○ Training	○ Enhancing skills and career development

1. Ethical and Professional aspects: Original Actions

- UCD will continue to contribute to the discussion on National Protocols and facilitate the implementation of the National Protocols for Research Integrity as published by the Royal Irish Academy and the Irish Universities Association.
- UCD Research will facilitate the establishment of a Working Group on Research Integrity and Research Ethics including researchers at all levels of the research career path, staff representatives from UCD Office of Research Ethics Committee, UCD Corporate and legal, UCD Graduate Studies Office, UCD Teaching and Learning, UCD Library, UCD Research & Innovation.
- The Working Group will develop mechanisms for embedding good research practice into the culture of all scholarship and promote awareness of research integrity and research ethics issues, including supports to promote good research practice to undergraduates, graduates and staff engaged in research. Specifically, it is suggested that a common module, workshop or staff programme on research integrity principles and ethical practices be developed and applied as part of undergraduate, postgraduate and researcher training³.
- The Task Force discussed several specific actions which the Working Group may consider in order to ensure that appropriate research practices are embedding into the culture of UCD and researchers at all stages of their career including, for example:
 - Develop workshops on research integrity and research ethics
 - Best practice in data management and storage
 - Establishment of Research Ethics Officer at School level
 - Establishment of Research Integrity Officer as Institutional level
 - Raise awareness of research integrity and research ethics across campus
 - Design and dissemination of handbook on research integrity and research ethics for new researchers in UCD

³ As proposed in the Discussion Document 'Ensuring Integrity in Irish Research'
<http://www.ria.ie/getmedia/28404e5c-4839-4408-9d40-e2a3770c775a/ensuring-integrity-in-irish-research.pdf.aspx>



Ethical and Professional aspects: Progress to date

In June 2014, the Irish Minister of State for Research and Innovation published the National Policy Statement on Ensuring Research Integrity in Ireland 2014⁴. UCD staff members contributed to this process and document. On foot of the National Policy Statement, UCD committed to complete an up-to-date policy on Research Integrity in the university. In November 2014, the *Research Policy Working Group*, chaired by the Vice-President for Research, Innovation & Impact was established to propose policy and process for research integrity, conflict of interest, data management and research ethics. The HRS4R Project Manager is also a member of the Research Policy Working Group.

Despite the delay in establishing the working group, work has progressed under this action. The Office of Research Ethics has held a number of stakeholder meetings with UCD Library, UCD HR, UCD Graduate Studies, UCD Teaching & Learning and UCD Research, with a view to synergising communications with researchers and providing an interconnected approach to research ethics and research integrity.

Office of Research Ethics meetings with:

- UCD Library: library were providing a new Research Data Management website which required input from the Office of Research Ethics
- UCD Graduate Studies: to discuss how and when to incorporate seminars on research ethics into the postgraduate transferable skills modules
- UCD HR: discussing how and when to provide seminars for post-doctoral researchers

Research Ethics Website

In 2014 the Office of Research Ethics created a detailed webpage for general guidance on Horizon 2020 and included a self-assessment tool which has been widely consulted by the research community. Details here: <http://www.ucd.ie/researchethics/news/maintext,200783,en.html>

Epigeum: online tool for Research Integrity

UCD is one of the Group Development Members that have contributed to the development of this online tool for research integrity. Epigeum is available for all researchers in UCD and a link has been provided on the Research Ethics website (see section below). The Research Ethics Committee agreed that a series of Epigeum workshops would be a useful method of targeting structured PhDs, graduates in general and committee members. There are 5 faculty versions on research integrity with 5 hours of online training and 23 – 32 hours of offline training per version to avail of. The Office of Research Ethics provides UCD academic staff with access to the course programmes.

⁴ <http://www.iua.ie/wp-content/uploads/2014/06/National-Policy-Statement-on-Ensuring-Research-Integrity-in-Ireland-2014.pdf>



Promotion of Research Ethics

The Office of Research Ethics has provided a range of workshops and seminars and submission supports. In addition to the yearly series of workshops *Introduction to Research Ethics* and *Research Ethics for Supervisors*, the following workshops/seminars were provided:

a) For UCD Graduates:

- School of Public Health, Physiotherapy & Population Science [December 2012]
- College of Human Sciences, *Graduate Workshop on Research Ethics* [Feb 2013]
- School of Archaeology: *Seminar on Ethics* [Feb 2013]
- School of Public Health, Physiotherapy & Population Science: *Research Ethics* [Feb 2013]
- Conway Institute: *Research Integrity issues for graduate students*. Core Research Skills Module [Oct 2013]
- College of Human Sciences: *Graduate Workshop on Research Ethics* [Nov 2013]
- Conway Institute: *Animal Research Ethics in UCD* [Oct 2013]
- School of Veterinary Medicine: Three level 5 (Doctoral stage) modules for transferable skills for early stage researchers with a significant Research Ethics component (online)
- Workshops on Research Ethics to Two of the Molecular Medicines Ireland (MMI) PhD programmes (<http://www.molecularmedicineireland.ie/csfp>)

b) For UCD Academic Staff:

Annual Workshop on *Data Management & Protection* [January 2012]

Annual Workshop on *Research with Children and Young People* [March 2013]

c) AREC Workshop: (1) Introduction to Ethics in Animal Research; (2) Classification of Severity of Procedures In EU Directive 2010/63/EU [June 2013]

Research Ethics Management System (REMS)

In early 2013 the Office of Research Ethics provided a new Research Ethics Management System to facilitate the Animal Research Ethics Committee and Human Research Ethics Committee submissions process for full ethical review. This is an application management system accessed through the UCD IT systems which assists the researcher in managing their multiple submissions and allows the Office of the Research Ethics to process, co-ordinate and manage all submissions. In addition, it provides a useful record keeping system. The REMS was piloted for the HREC from April – June 2013. The system was fully operational for both HRECs and the AREC in September 2013 for the start of the new academic year.

Ethical and Professional aspects: New actions proposed

Action to implement: Develop and propose policy to the RIIG on research integrity, conflict of interest, data management and research ethics.

Unit responsible: The newly formed (November 2014) Sub-Group of the UCD Research Innovation and Impact Group, the Research Policy Sub-Committee, chaired by the Vice-President for Research, Innovation & Impact.

Metrics for success: Development and implementation of UCD Research Integrity Policy.



2. Recruitment: Original actions

- Alterations to the UCD Recruitment website will be made to include details on working conditions for all research positions. Currently this information is not as easily found as it might be on this part of the UCD website. This action will provide more clarity for applicants to all research positions.
- For the recruitment of early-stage (postgraduate) researchers, UCD will maintain a variety of recruitment mechanisms at local level but will publish guidelines on best practice aspects of recruitment processes specifically for early-stage researchers. For example, all recruitment of early-stage researchers should include:
 - A broad description of knowledge and competencies required, building on the existing job descriptions
 - A description of the working conditions and entitlements, including career development prospects
 - Adequate and standardised time between the advertisement of the vacancy or the call for applications and the deadline for reply

Recruitment: Progress to date

Awareness Raising: The focus of effort around the recruitment of early-stage (postgraduate) researchers has been on awareness raising and simplifying the process of application through the UCD Graduate Studies website.

During 2014 a campaign was run to entice students to Graduate Taught programmes by highlighting research conducted by a number of UCD academics. This created an awareness of Graduate Research at UCD. Also in 2014, the Graduate Prospectus contained a large section profiling Graduate Research and this was also included in the International Graduate Brochure. More details are found here (See page 12/13):

<http://view.pagetiger.com/ucd-graduate-prospectus/ucd-graduate-prospectus>

A common query for early-stage researchers who wish to join UCD regards seeking clarity on the requirements and process of application. To respond to this, the Graduate Studies Office revamped the Structured PhD leaflet and included details of the process also. Please find the leaflet here: http://www.ucd.ie/t4cms/Structured_PhD_Flyer2014-05-21.pdf This is being distributed at events in both Ireland and markets outside Ireland.

Training Supervisors for recruitment: UCD Graduate Studies runs the Research Supervisor Support and Development Programme (RSSDP) targeted at new and inexperienced research supervisors, although all supervisors are welcome to attend. The RSSDP offers workshops which are specifically targeted at assisting supervisors in determining whether they are sufficiently expert in supervising research, and have the time, knowledge, experience, expertise and commitment to be able to offer



the research trainee appropriate support. They also help supervisors provide for the necessary progress and review procedures, as well as feedback mechanisms.

The programme, currently offered over a 6 month period, offers 7 workshops in key areas of best practice in research supervision (primarily of doctoral students but the programme is also relevant to supervisors of Masters by Research students). These workshops are run collaboratively with Trinity College Dublin (TCD). This offers an opportunity for mixed disciplinary and institutional staff to share experiences and develop practice. Engagement of core workshops will lead to recognition on the supervisor’s HR training records of their participation.

One of the modules delivered as part of the RSSDP programme highlights the HRS4R process from the European Commission’s perspective and how it is being implementing in UCD. The purpose of including this topic at the supervisor development programme is to underline the necessity for supervisors to be aware of the range of considerations under the Charter and Code and not just the content of the research project, when supporting postgraduate researchers.

Recruitment of Early-stage researchers: New actions proposed

Awareness Raising: UCD Graduate Studies will create more information around the Graduate Research programmes on the relevant section of the UCD website. Currently this is more focussed on Graduate Taught programmes. The RSSDP programme will be developed and enhanced during 2015 -2016. The content of the 2015 programme which, by design, will be offered to discrete mixed disciplinary groups, is highlighted below.

January 22 nd	2-5pm	Visiting expert – Hugh Kearns (Flinders University, Adelaide) (UCD)
February 27 th	2-5pm	Optimising Quality Applicant Attraction (UCD)
March 13 th	2-5pm	Supervisory Styles, Roles and Responsibilities (UCD)
April 16 th	2-5pm	Reflecting on Research Supervision & the Pedagogies that Guide it (TCD)
April 24 th	2-5pm	MAEV (Monitoring, Assessment, Examiners, Viva) (UCD)
May 22 rd	2-5pm	Avoiding Common Pitfalls & Promoting the Research Student’s Skills Base (UCD)
June 11 th	2-5pm	Becoming an Examiner: the Research Degree Examination Process (TCD)

The RSSDP is comprised of a series of interactive workshops, which, in the context of best practices and policy in the research supervisory field, facilitate practice-sharing with experienced supervisors, professional staff and students in an open forum.

Key Learning Outcomes upon completion of the programme. Participants will be able to:

- Approach student recruitment in a manner which maximises the likelihood of best candidate selection
- Navigate institutional policies and procedures
- Identify their own role as supervisor and frame the doctoral supervision process



- Advise and assist students on structuring and managing their work
- Be capable of carrying out a training needs analysis
- Appreciate the challenges, problems and pitfalls of the supervision process and identify approaches to overcome these
- Provide guidance to students on thesis and *viva* preparation
- Handle conflict and understand mechanisms through which to seek resolution
- Gain an understanding of the international norms associated with being an external examiner of research theses
- Approach research supervision from a pedagogical perspective and examine reflective practice as a tool for practice development.

Development of the RSSDP: UCD forms part of a national collaboration funded under NAIRTL on research supervisor support and played a key role in the development of the practical online guide for Developing an Institutional Framework for Supporting Supervisors of Research Students. Details here: http://www.nairtl.ie/workgroupDocs/SupervisorSupport_Guide.pdf

The 2015 RSSD Programme will be a unique collaborative offering where UCD will partner with Trinity College Dublin in the development and delivery of workshops. This novel initiative will see the sharing of resources as well as participants between institutions. Supervisors will also be offered access to national Master Classes provided by NAIRTL on research supervisor support and development. Future plans anticipate formal accreditation for the RSSDP which will be counted towards CPD for research supervisory staff. UCD Graduate Studies Office is responsible for this area

National and International Collaboration on Research Supervisor Support: In 2014 UCD Graduate studies also embarked on a Universitas21 project involving the identification and adaptation (as appropriate) of practices in U21 universities who lead in the area of supervisor development. One of the outcomes of this project is the International Research Supervisor Support and Development Workshop being held in Shanghai Jiao Tong University on March 25th/26th 2015. Deans and Directors of Graduate Studies across the Universitas21 network will be participating and discussing practices in research supervision support. Details here:

<http://www.universitas21.com/event/details/211/research-supervisor-support-and-development-workshop>

3. Working Conditions & Social Security: Original actions

- UCD will establish a Working Group to determine researcher and institutional requirements in terms of mobility and the portability of research grants, including mechanisms such as entry and exit point templates, policy for portability of grants both nationally and in the case of EU grants, internationally, data management, portability of pensions, portability of research grants, Intellectual Property, patents, etc.



Working conditions and social security: Progress to date

Portability of Research Grants: An initial draft template has been developed by the UCD Research EU Office for External European Research Council applicants to UCD. This template seeks to ease the application process for external applicants to UCD entering ERC competitive processes. The Office has also developed a Review process for potential external ERC Applicants.

Research Staff Orientation: A pilot Postdoc Orientation Event was held in October 2014 with a clear career development focus as well as providing information on the key supports available to postdocs new to UCD. The event which was opened by the VP for Research, Innovation & Impact included speakers from the Principal Investigator and postdoctoral communities, representatives from the Research Staff Association and key support areas, including UCD Research, the UCD Career Development Centre and HR Learning and Development. The event was attended by 20 postdocs from across the University and feedback on the event was very positive and constructive.

Supporting Gender balance in UCD: As outlined in the introduction, this review provides a description of actions taken at UCD which are fully aligned to the principles of the Charter and Code but were not signalled in the Action Plan in 2012. In this regard, important progress has been made to support UCD in achieving gender balance at all staff levels, particularly in the area of research. In December 2013, UCD supported the initiative to bring the UK based Athena SWAN Charter to Ireland as a pilot and committed to applying for the Athena SWAN Bronze Institutional Award during the course of the pilot. UCD is represented on the Irish National Coordination Committee.

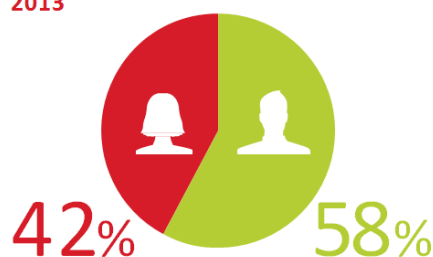
A new role was created and a gender project manager took up new position in June 2014. While mindful of the need to focus on both men and women in the context of achieving gender balance, in light of the identified challenges around the inclusion of women, there is a focus on the retention, progression and attraction of female staff, particularly in the area of research. A gender project plan has been developed including a specific plan to support UCD apply for the Athena SWAN Award in April 2015.

In line with the Athena SWAN framework, three actions are underway including:

- A self-assessment team (comprising a steering group and three working groups)
- An assessment of where the university is regarding gender equality, in quantitative (staff and student data) and qualitative (policies, practices, systems and arrangements) terms, identifying both challenges and opportunities
- A plan that builds on the assessment, any activities that are already in place and what has been learnt from these.



Academic and Research Staff Gender 2013



In Europe women make up 48% PHDS	In UCD women make up 51% PHDS
In Europe women make up 18% PROFESSORS	In UCD women make up 23% PROFESSORS

With an initial focus on the STEMM areas, further work shall be undertaken to develop a framework for the AHSS. In year one, the focus shall be on academic staff but in year two and thereafter, it is envisaged that all staff shall be considered.

Key deliverables over the next three years include

- Achievement of the Athena SWAN Institutional Bronze Award
- Development of a framework to support gender equality action planning in AHSS
- Three schools shall achieve Athena SWAN departmental awards.

The gender equality action planning process will identify further deliverables and metrics.



Working conditions and social security: New actions proposed

1. Action area in Charter and Code: During 2015/ 2016 the Postdoc Orientation Event will be held on a quarterly basis and included in the postdoc Calendar of Events. The content and format of the event will be enhanced in line with feedback from participants.

2. Action area in Charter and Code: Working conditions, ethical and professional considerations-discrimination: ConnectAbility is a programme designed to improve how disability is managed in the workplace within the University Sector. It is an intervarsity initiative made possible by funding awarded by the Equality Mainstreaming Unit, which in turn is jointly funded by the European Social Fund 2007 – 2013 and by the Equality Authority. The overall objectives of ConnectAbility are to embed good practice in inclusive employment procedures for staff with disabilities during the course of their employment in the University; to equip managers with the knowledge, tools and skills they need to support staff; and to build general awareness of disability in the University.

Action to implement:

- Establish an Advisory Group to assist with the implementation of ConnectAbility at University level
- Finalise processes and documentation in a UCD context
- Promote ConnectAbility to ensure integration into the University environment

Unit responsible: UCD HR, Organisation Design and Diversity

Metric for success: Deliverables, metrics etc. to be determined with proposed Advisory Group

3. Action area in Charter and Code: Working conditions, Recruitment and Selection

Proposed Unconscious Bias training pilot: Unconscious Bias is a term used to describe the associations that we hold which, despite being outside our conscious awareness, can have a significant influence on our attitudes and behaviour. For Higher education institutions, making biased decisions affects the recruitment and selection of staff and students, and the ability of those staff and students to achieve their full potential.

Action to implement:

UCD HR is developing a proposal to provide training around Unconscious Bias. The aim is to increase awareness of the concept of Unconscious Bias and how it can affect decision making in the areas of recruitment/selection and everyday interactions with colleagues.

- As a first phase to provide a series of half day general awareness training to a targeted audience of participants from across the University
- To deliver a one day 'Training for Trainers'
- The creation of an internal network of Unconscious Bias trainers.



Unit responsible:

UCD HR, Learning and Development and Organisation Design and Diversity

Metric for success:

- Provision of a series of half day general awareness training to a targeted audience of participants from across the University
- Deliver a 1 day 'Training for Trainers' and subsequent feedback to gauge satisfaction
- The creation of an internal network of Unconscious Bias trainers and training provision.

4. Action area in Charter and Code: Working conditions, Gender

CESAER - the Conference of European Schools for Advanced Engineering Education and Research - is a not-for-profit international association of leading European universities of technology and engineering schools/faculties at comprehensive universities and university colleges. CESAER puts a high priority on human resource development in research. The association's Task Force on Human Resources addresses the main issues in human resource development at modern universities of science and technology. Gender equality plays an important role. CESAER's commitment regarding gender equality is defined as "to develop and start, or continue and share implementation experiences with institutional gender strategies and Gender Equality Plans encompassing e.g. commitments from the CESAER member institutions' leadership, promoting the appropriate mix of gender-specific career development measures, or by ensuring monitoring of the implementation of Gender Equality Plans through the appropriate internal procedures."

Action to implement: CESAER programme

- Support UCD Engineering both at a local level and an institutional level with CESAER programme activities, as appropriate
- Further consultation around this to take place.

Unit responsible:

UCD HR-Organisation and Design unit to provide support to UCD Engineering as outlined above.

5. Action area in Charter and Code: Working Conditions, Research environment

Clear information on several aspects of working conditions is not available in a consistent manner across the university. Postdoctoral researchers and other staff may not be made aware of issues such as desk/ office space, IT facilities, access to facilities etc. Importantly, researchers and employers may not be aware of policies related to maternity leave, pensions and redundancy under funded research projects.

Action to implement: Devise and disseminate policy on working conditions as outlined above

Unit responsible: UCD Research and Innovation, UCD HR via RIIG Subgroup on Research Policy

Metric for success: Completed policy and evidence of update on a School level.



4. Training: Original actions

- UCD will support researchers and increase career opportunities by setting targets for increased numbers of job placements and funded research positions such as national employment-based funded programmes and EU industry-linked awards for early-stage researchers.
- Early-stage and Experienced Researchers may focus on an academic career as their preferred option. In some cases researchers are inclined to avoid exploring other career opportunities. UCD will continue to integrate career awareness, development and planning amongst early-stage and experienced researcher with emphasis on diverse career paths and to engage with the researcher and supervisor/PI communities to emphasise the value of the process.
- Researchers should include the appropriate level of teaching and learning skills training as part of their Research and Professional Development Plan (Early-stage researchers) and Research Skills and Career Development Planning (Experienced researchers). SCPCD will determine and propose appropriate policy to the UCD University Management Team for implementation. To include:
 - A specific upper limit on teaching hours
 - Responsibility at School level
 - A transcript template to be completed at School level indicating level of contribution to teaching
- Researchers should include the appropriate level of innovation /entrepreneurial skills training as part of their Research and Professional Development Plan (Early-stage Researchers) and Research Skills and Career Development Planning (Experienced Researchers). SCPCD will determine and propose appropriate policy to the UCD University Management Team for implementation.

Training: Progress to date

Support researchers and increase career opportunities

- Two permanent roles have been recruited to manage and deliver dedicated postdoc career and professional development supports (2014). Roles – Research Careers Manager and Researcher Development Specialist.
- Dedicated one-to-one postdoc career coaching service in place.
- Professional development provision (i.e. training and events) for postdocs is underpinned by the identification of transferable competencies for a wide range of career options including industry, entrepreneurial enterprise, policy and research communications jobs as well as academic roles.
- The postdoc-specific orientation (piloted Oct 2014 and additional to the all-staff orientation) has a clear career-development focus as well as providing information on the key supports available to early-stage researchers new to the University.



- A working group has been established to inform the development of systems and processes that can support a more robust approach to postdoc professional development (i.e. online professional development plan, calendar of events with online booking functionality, training record).
- The Standing Committee for Postdoctoral Career Development (SCPCD) has been reconfigured as a subcommittee of the University Research Innovation and Impact Group (RIIG, 2014) providing a clearer governance structure and including the Dean of Graduate Studies.

Quantitative data to support the evidence above:

- A total of 116 one-to-one career development sessions were carried out with 80 postdoc/early stage research staff between April 2014 and Dec 2014.
- Since 2012, between 20 and 30 group training events tailored to postdoc career and professional development have taken place each year. Attendance at each event averages 10 – 15 participants (i.e. postdocs). Since April 2014 the panel discussion and informal networking format have been integrated into postdoc offerings to make clear links between the four UCD development competencies (i.e. Teaching, Learning & Mentoring, Research and Research Management, Innovation and Transferable Skills and Personal and Professional Excellence) and potential career paths.
- Online evaluations have been conducted for all postdoc events. This feedback is used to ensure the supports available are fit for purpose and meet the evolving needs of the postdoc population. A career development survey was distributed in July 2014 and approx 35% of the postdoc population completed it. This survey indicated positive engagement with the services being provided and provided information as to how the service could be further improved. Similarly, all 20 postdocs who attended the pilot postdoc orientation in Oct 2014 provided comprehensive feedback, which was both positive and constructive.
- Since April 2014 a total of 13 events run for postdocs have engaged the PI community directly, through focus groups, speaking at events, facilitating a training session or being a participant on a training session (e.g. Mentor training, postdoc orientation, grant-writing session, communication skills training session).
- An integrated calendar of events has been in place since August 2014. This provides postdocs with seamless access to online booking of courses and events while also building and maintaining a postdoc training record.



Increased numbers of job placements

There are a number of PhD programmes with an internship/placement component at UCD. However, such internships tend to take place as part of the overall PhD research programme as opposed to students having to register to a placement module, so it is hard to get an exact figure for how many actually take it up each year. The internships/placement vary between short 1-2 week affairs (work shadowing opportunities) to those that last for 2-3 months when the student works/researches in a particular area related to their PhD research. Some students undertake 'placements' in order to avail of facilities and expertise in other institutions.

Supporting researchers for non-academic career paths

Since autumn 2012 UCD Research & Innovation has developed a suite of supports for postgraduate and postdoctoral researchers applying to the Irish Research Council scholarship/ fellowship funded programmes. The focus on these awards is on the development of a broad skill base to prepare them for a variety of employment opportunities within and outside of academia.

These supports include an information session for applicants and supervisors, a Help Pack to guide applicants through the application form, a read and review of draft applications, and ongoing administrative support for applicants. The information sessions cover:

- The IRC mindset (i.e. funding the career development of early-stage researchers)
- The project management of the application process

Grant writing:

- Tips on writing a good grant proposal, common pitfalls
- Preparing a research budget
- Considering ethics
- Considering the research gender dimension
- Preparing a career development plan

The numbers attending these sessions have increased over the last 2 years and the attendee feedback indicates that the support programme is of benefit in assisting applicants submitting grant applications, as is outlined here:

Event	Date	People registered *
UCD Research - Irish Research Council Postgraduate funding information session	12 February 2013	142
UCD Research - Irish Research Council Postdoctoral funding information session	12 February 2013	116
UCD Research Workshop - IRC Employment Based Postgraduate Programme	22 August 2013	43
UCD Research Workshop - Applying for an IRC Postgraduate Scholarship	11 November 2013	275
UCD Research Workshop - Applying for an IRC Postdoctoral Fellowship	18 November 2013	132



UCD Research & Innovation info session - Applying for an IRC Postdoctoral Fellowship	10 October 2014	160
UCD Research & Innovation Information session - Applying for an IRC Postgraduate Scholarship	Monday, 1 December 2014 and Thursday, 4 December 2014	184
UCD Research & Innovation Info session - IRC Employment Based Postgraduate Programme	Wednesday, 3 December 2014	27

*For events that attract large number of registrations the numbers actually attending are approximately 60%. Events with lower registration number attract approximately 90% on the day of the event.

Summary results of a 'satisfaction survey' of last information session held: Applying for an IRC Postgraduate Scholarship, December 2014 (44 respondents):

Your satisfaction with the various sections of the Information Session

	Excellent	Good	Satisfactory	Less than satisfactory	Poor
Introduction to and goals of the IRC Comments (2)	68.18% 30	31.82% 14	0.00% 0	0.00% 0	0.00% 0
Details of the award on offer Comments (1)	68.18% 30	31.82% 14	0.00% 0	0.00% 0	0.00% 0
The application process Comments (1)	55.81% 24	41.86% 18	2.33% 1	0.00% 0	0.00% 0
Who's involved: Assessors, Supervisors, Referees Comments (1)	72.73% 32	27.27% 12	0.00% 0	0.00% 0	0.00% 0
General tips on grant writing Comments (2)	44.19% 19	51.16% 22	4.65% 2	0.00% 0	0.00% 0
Focus on the application form sections Comments (1)	41.86% 18	58.14% 25	0.00% 0	0.00% 0	0.00% 0



Are you prepared for the application process now?

Answer Choices	Responses	
More prepared than before the session	100.00%	44
About the same as before attending	0.00%	0
I'm more confused now!	0.00%	0
Total		44

Additional comments/ thoughts...

- Thank you so much for an excellent and incredibly helpful session!
12/15/2014 10:28 AM [View respondent's answers](#) [Categorize as...](#)
- Justin did a great job presenting the application process, and I feel much more prepared because I went to the information session. I feel that it answered the vast majority of essential questions, and cannot think of any complaint I have of it. Thank you for hosting this Information Session!
12/10/2014 11:39 PM [View respondent's answers](#) [Categorize as...](#)
- I think that the Session it's a good way to understand how to apply for IRC. Before i was confused.
12/10/2014 12:30 PM [View respondent's answers](#) [Categorize as...](#)
- Very useful sessions, and successful applicants in my School found last year's information sessions very helpful in preparing their application.
12/10/2014 11:03 AM [View respondent's answers](#) [Categorize as...](#)
- I would leave at least 30-45 min in the end for Questions and Answers.
12/9/2014 8:45 PM [View respondent's answers](#) [Categorize as...](#)
- The session was informative and extremely helpful. The speaker kept my attention throughout and gave the information in a very understandable and to-the-point manner. I feel significantly better prepared from the session and would highly recommend it to other applicants.

National employment-based funded programme

UCD Research & Innovation in collaboration with the UCD Enterprise Gateway (see details below) has devised a range of supports for applicants to the Irish Research Council's (IRC) Employment-Based PhD Scholarship competition. This is the only 'industrial PhD' offered by Irish funding agencies. Under this programme researchers are registered for a masters or PhD and are employed in non-academic setting at the same time. The range of supports offered includes:

- Dedicated Information Sessions & Grant Writing Workshops (2 hours duration)
- Arranged 'meet the funder' sessions
- Grant application Help Packs to support all sections of the application form
- One on one reviews of draft applications

There have been a growing number of applications and awards in this scheme with the most recent round (Summer 2014) yielding 16 awards to UCD out of 17 applications. The table below outlines this growth since the scheme began.



Year	Total number of applications	Total number of awards	UCD applications	UCD awards
2012	76	36	19	8
2013	? 80	24	10	7
Early 2014	? 70	48	17	16

Similarly, UCD Research & Innovation has provided dedicated supports to two rounds of the IRC's MSCA COFUND Post doc Fellowship award in 2013 and 2014. Under this programme applicants can elect to carry out part of their fellowship in a non-academic setting. The suite of supports included information sessions (registered attendees 116, 132 respectively) covering all post doc opportunities under the IRC and Help Packs for applicants to deal with questions in the application form. A key component in these schemes is the focus on the Career & Training Development plan which forms 30% of the grades available.

The UCD Enterprise Gateway was established in May 2014 to enhance UCD's partnerships with business, social and cultural enterprises, government agencies and other stakeholders. Many of the most exciting opportunities lie at this interface, where the breadth and depth of knowledge in the university meet the expertise and demands of the enterprise environment.

The Enterprise Gateway provides a front door support and facilitation service for businesses looking to work with UCD's research community. It also works with UCD's researchers to help them grow their interactions with businesses. Services include:

- Introductions to UCD's world-class research community
- Identification of collaborative funding opportunities for business and industry
- Facilitate access to UCD's state-of-the-art laboratories, equipment and core technologies
- Support companies to locate on campus (e.g. at NovaUCD or at NexusUCD)

EU industry-linked awards for early-stage researchers

UCD provides dedicated support to its research community to enhance their engagement with and achieving success in the prestigious and very competitive Marie Skłodowska-Curie Innovative Training Network (ITN) schemes, the principal objectives of which are (as stated in the MSCA ITN work programme):



1. To train a new generation of creative, entrepreneurial and innovative early-stage researchers able to face current and future challenges and to convert knowledge and ideas into products and services for economic and social benefit;

2. To raise excellence and structure research and doctoral training, extending the traditional academic research training setting, and equipping researchers with the right combination of research-related and transferable competences. They will provide enhanced career perspectives in both the academic and non-academic sectors through international, interdisciplinary and intersectoral mobility combined with the innovation-oriented mind-set

During 2013 and 2014 the UCD Research EU Office facilitated two information sessions and two proposal writing training sessions for prospective ITN Coordinators within the University, to approximately 50 participants. Over the two years 21 coordinator ITN applications were submitted with a success rate of 14.3% (2012-13: 6%; 2013-14: 33%). The EU success rates for these years were as follows - 2012-13: 13%; 2013-14: 10.5%.

The Transferable Skills Programme is run by UCD Graduate Studies and offers skills training which is aligned with the IUA (Irish Universities Association) Skills Statement. Workshops are offered to all doctoral students. A number of elements of this programme address the importance of developing effective working relationships between early stage researchers and their supervisors or PI's. Graduate Studies run specific workshops such as those highlighted below, which specifically address skills such as establishing professional relationships, optimising the researcher's ability to communicate, record and manage research outputs.

- *Data Caring: why manage your research data?*
- *PhD Masterclass*
- *Turbo Charging your Writing*
- *Working with your Supervisor*
- *Getting the most from your RPDP (Research and Professional Development Plan)*
- *Mind Maps in Research*
- *Key Online Mapping Resources for Irish Data*
- *PhD@UCD: from the Beginning*
- *Presentation Skills*
- *Project Management*

A number of workshops are offered to early stage researchers annually and participation in this activity is recorded on student transcripts. Discipline-specific and transferable skills workshops and modules are also offered in schools and colleges where they are aligned with disciplinary needs. More information on UCD's Graduate Studies Transferable Skills Offering 2014-15 here <http://www.ucd.ie/graduatestudies/currentstudents/transferableskills/>



Teaching

Some progress has been made in terms of the development supports available to postdocs in the area of teaching and learning, however, clarity is sought at an institutional level regarding access to teaching hours and a more consistent approach to development. This topic is now on the agenda of the newly formed RIIG Sub Committee on Research Careers.

- Facilitating Learning in Occasional Teaching (March 2012). A half-day session for postdocs on Facilitating Learning in Occasional Teaching. The session was well attended and feedback very positive.
- Learn to Teach, Teach to Learn Module (Jan – May 2013). The module offered participants the opportunity to explore theoretical principles of teaching and learning and to implement best practices in a live undergraduate module: Social Computing & Media. The content of this module revolves around different aspects of social networking and technologies, relevant to any discipline. Participants had the option to do their practice teaching in their own teaching environment. In addition to seminar discussion and practical teaching, participants prepared a reflective teaching portfolio to facilitate them in early onward career development. 18 postdocs completed the module and feedback was very positive.
- University Teaching & Learning Practice for Postdocs (Feb-May 2015). The aim of this series of seminars is to introduce 'Post Doctorate Researchers' to the key concepts underpinning good practice in third-level teaching and learning, and to enable them to prepare to undertake some basic teaching activities. The structure of the programme offers a number of opportunities for the individual to engage in core aspects of academic practice and to build a professional teaching portfolio.
- Other resources available to postdocs include [Teaching Toolkit](#) and the [Open Educational Resource](#) - online resources available to staff.

Quantitative data to support the evidence above:

- *Facilitating Learning in Occasional Teaching* (March 2012) – 11 postdocs attended
- Learn to Teach, Teach to Learn Module (Jan – May 2013) – 18 postdocs completed the module (feedback from participant: *I really enjoyed it and it has definitely provided some food for thought and helped me in terms of my career. I had a job interview recently for a lectureship that I was successful in and one of the things that really helped was the fact that I was participating in this course. I was asked questions on promoting student engagement and employability so the fact that we had covered this was brilliant!*)
- University Teaching & Learning Practice for Postdocs (Feb-May 2015) – 22 postdocs attended.



Factors that have contributed to a delay in progress:

Acknowledging that while not every postdoc in the university may wish to access teaching opportunities or development support in this area, the University should ensure that appropriate measures are in place to facilitate those that do. In this context, it is essential that clarity be provided on this issue at university level.

- This may be in the form of a university policy providing clear guidelines as to how postdocs can access teaching opportunities as part of their development should they request it (setting out a maximum number of hours a postdoc can undertake teaching activities and also differentiate between the types of teaching undertaken e.g. lecturing, seminar teaching). The policy should also state clearly how postdocs access teaching and development supports and provide guidance on how this should be managed at local level. In addition, the issue of payment for any hours in excess of the upper limit agreed should be addressed.
- In order to facilitate development of postdocs in this area, and indeed, to provide those that wish to access teaching opportunities, the provision of a development programme for this group of staff will provide them with the opportunity to learn about and implement best teaching practices in a variety of settings. Participation on the programme should be optional with the postdoc receiving full support from their PI to undertake this programme.

In terms of progressing these issues the Dean of Graduate Studies is now a member of the Research Careers Sub-committee that will inform and advise on matters relating to the professional development of postdoctoral researchers and reinforce the continuum from postgraduate to postdoctoral to more senior researchers.

Innovation /entrepreneurial skills training as part of their Research and Professional Development Plan (Early-stage Researchers) and Research Skills and Career Development Planning (Experienced Researchers)

There are a number of curricular, co-curricular, and staff initiatives for postgraduate researchers across the University that make up the entrepreneurial eco-system on campus.

UCD has developed many accredited curricular programmes in the areas of entrepreneurship, design, innovation and creativity at various schools across campus, including The Innovation Academy (cross-disciplinary and reporting into the VP for Research), the Smurfit Business School, the Quinn School of Business, the School of Engineering, Architecture, Computer Science, School of Biological and Environmental Science. While most Schools' programmes are specific to their respective disciplines, the Innovation Academy's PhD modules on ideation and entrepreneurship are open to applicants from any discipline across the University. Undergraduates from any subject can work together across disciplines on entrepreneurial ideas at The Innovation Academy under UCD's 'Horizons' modular electives programme.



In addition there are further co-curricular activities and programmes to support entrepreneurship on campus. Foremost among these is UCD Nova, a unit which houses the University's technology transfer function and its research focussed start-up incubator. Other co-curricular activities include the student run investor and entrepreneurship society, and students' union entrepreneurship competition. UCD Nexus provides office space for start-up businesses that have been spun out, or which are operated by alumni.

Training: New actions proposed

The University Management Team endorsed a move to mandatory development for postdocs (September 2013). This will include:

- Attendance at a Postdoc-specific Orientation Event
- Participation in an initial Career coaching session with the Career Development Centre
- Staggered developmental conversations between postdoc and PI/Mentor (depending on whether they are the same person or not) indicating job-related and career development goals/objectives
- Participation in a (specified/ agreed) number of training programmes (provided by HR Learning and Development, UCD Research and Careers)
- Participation in an exit interview with the Career Development Centre.
- An online system to be developed internally that will support and record the mandatory elements above. A phased approach will be taken to ensure all elements are in place and fit for purpose

1. Action to implement: During 2015 and 2016 the Postdoc Orientation Event will be held on a quarterly basis and included in the postdoc Calendar of Events from 2015. The content and format will develop based on feedback from attendees.

Unit responsible: Research Careers Working group (UCD Research, HR Learning and Development, Career Development Centre) and RIIG subcommittee.

Metric for success: Increased engagement in services by postdocs and PIs (e.g. more than 35% postdocs reporting positive engagement with service).

1A. Action to implement: an IT system in place to support a lifecycle approach to postdoc professional development (i.e. welcome email, automatic invitation to postdoc-specific orientation, auto-reminders for both postdoc and PI, integrated calendar of events and institutional recognition of participation/ transcript).

Unit responsible: Research Careers Working group (UCD Research, HR Learning and Development, Career Development Centre) via RIIG subcommittee on Research Careers.

Metric for success: Increased engagement in services by postdocs and PIs (e.g. more than 35% postdocs reporting positive engagement with service).



2. Action to implement: Design and deliver a PI (leadership) development programme to promote excellence in researcher management (i.e. one-to-one coaching, peer mentoring workshops, researcher management masterclasses).

Unit responsible: Sub Committee on Research Careers working group reporting to the RIIG.

Metric for success: PIs actively promoting engagement in postdoc professional development programme (i.e. PI survey indicates positive feedback for postdoc career development service).

3. Action to implement: Align research careers competencies more closely to funding and industry competencies.

Unit responsible: Sub Committee on Research Careers working group reporting to the RIIG.

Metric for success: Postdoc is future-focused from the beginning of their contract.

4. Action to implement: Put in place a researcher development policy that promotes clarity in relation to roles and expectations around access to and recognition of professional development (i.e. from both PI and postdoc perspective).

Unit responsible: RIIG, informed by Research Careers working group.

Metric for success: Consistent approach to postdoc development (i.e. access and engagement) with full support of PI.

5. Action to implement: Design and deliver a PI (leadership) development programme to promote excellence in researcher management (i.e. one-to-one coaching, peer mentoring workshops, researcher management masterclasses).

Unit responsible: Research Careers working group reporting to the RIIG subcommittee.

Metric for success: PIs actively promoting engagement in postdoc professional development programme (i.e. PI survey indicates positive feedback for postdoc career development service).

6. Action to implement: The Sub-Committee on Research Careers has committed to revisiting the issue of teaching for postdoctoral researchers with a view to formulating a university-wide policy.

Unit responsible: Research Careers working group reporting to the RIIG subcommittee.

Metric for success: A policy on teaching allocation for postdoctoral researchers at UCD.



Broadening and Deepening the HRS4R

Case Study: Good practice implementation of the HRS4R – MSCA COFUND Energy 21 at UCD

Immediately after receiving the 'HR Excellence in Research' logo in August 2012, the HRS4R Project Manager and another colleague in the UCD Research EU Office wrote an application for funding under the FP7 Marie Curie Action COFUND. UCD proposed a new Postdoctoral training and career development Fellowship Programme, ENERGY21.

In writing the grant application, the Principles of the Charter and Code were embedded in all aspects of the proposed fellowship programme. For example, UCD proposed to implement a novel Evaluation and Selection process to underpin the ENERGY21 Fellowship Programme which is transparent, equitable and fully aligned with the principles the Charter and Code. The grant application form included direct reference to the "Charter and Code" 17 times over the 40 pages; UCD could articulate the ability to attract mobile researchers, implement robust recruitment, and support/ enable their research career due to our experience with the HRS4R gap analysis and action plan.

The proposal was ranked highest in Europe for the 2012 call and placed amongst the top 10 of almost 300 proposals submitted since the beginning of this programme. The programme forms part of the new UCD Energy Institute. ENERGY21 now offers 21 prestigious Fellowships for incoming (15) and reintegrating (6) researchers across the three calls. All Fellowships include an outgoing phase to a research performing organisation outside Ireland.

This programme which is now being implemented will maximise the career development of the next generation of researchers in a range of energy-related fields that promise new and exciting opportunities. The programme is characterised by transparency and openness in selecting excellent researchers, granting the fellows freedom to choose their research project, their outgoing host organisation and their Principal Investigator (PI) mentor. Guided by a personal career development plan, a one-to-one mentorship programme and reintegration opportunities, ENERGY21 provides a comprehensive programme of support for the fellows to embark on a lifetime scientific career, one that accommodates changing market needs and contributes to Europe's competitiveness. The programme can be found here: <http://www.ucd.ie/energy21/>

At the time of writing, a number of aspects of the Charter and Code have been implemented in the university. For example, the dissemination of the call for postdoctoral applications which sought to address the gender imbalance in energy related disciplines (see table below). Another example includes the two-phase recruitment process, including international peer review of applicants followed by a more traditional HR-based interview. This ensures robust recruitment is in place attracting the best candidate. This focus on gender balance was also adopted in establishing the peer review and interview panels.



Gender Analysis of ENERGY21 Programme Call 1

Applicants

	Female		Male		Total	
	Number	%	Number	%	Number	%
All applicants	3	23%	10	77%	13	100%
Eligible applicants	3	30%	7	70%	10	100%
Awarded Fellowships	tba		tba		tba	100%

Evaluators

	Female		Male		Total	
	Number	%	Number	%	Number	%
All evaluators in the database	26	27%	71	73%	97	100%
Evaluators taking in the suitability assessments	9	31%	20	69%	29	100%
Evaluators performing remote review	6	46%	7	54%	13	100%
Evaluators taking part in the Consensus meeting	3	43%	4	57%	7	100%
Number of evaluations performed	12	40%	18	60%	30	100%

Chair of the Peer-Review Panel meeting was not included in the analysis – he is male.



Dissemination and promotion of HRS4R

Since receiving the 'HR Excellence in Research' acknowledgement in August 2012 the UCD HRS4R Programme Manager has actively promoted the process internally in the University and externally in the broader European Research Area.

Date	Event	Presentation
Sep-12	Internal UCD meeting: presentation to UCD Institute Managers	<i>An overview of the HRS4R process and benefits to UCD researchers</i>
Nov-12	Internal UCD meeting: presentation to UCD HR staff	<i>An overview of the HRS4R process and benefits to UCD researchers</i>
Jul-13	Successful proposal submitted to EARMA Annual Conference July 2013, Vienna	<i>Stairways to Excellence in Research Management and Administration. Implementing "HR Excellence" for Researchers: A Multi-regional, Multi- agency Perspective</i>
Sep-13	<i>Invited contributor</i> CESAER Workshop, KU Leuven	<i>The Human Resource Excellence Logo – Approaches, experiences, benefits</i>
Nov-13	<i>Invited speaker</i> European Presidency conference, Lithuania	<i>HRS4R in successful Marie Curie bids: linking human resources strategies to increased funding opportunities</i>
Jun-14	<i>Invited speaker</i> KOWi Annual Conference on European Union Research Funding, Hamburg	<i>Considering HRS4R as a prerequisite for successful host-driven MSCA projects</i>
Nov-14	Internal UCD meeting: (Pilot) Staff Induction for new postdoctoral researchers	<i>An overview of the HRS4R process and benefits to UCD researchers</i>
Feb- 15 (proposed)	CESAER Task Force meeting to be held in UCD	<i>Proposed presentation on HRS4R at UCD – Opportunities, challenges and next steps.</i>



Appendix 1

The Principle of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (The Charter and Code)

Covering: Ethical and Professional considerations, Recruitment, Working Conditions & Social Security, Training

I. Ethical and professional aspects

1. Research Freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

2. Ethical Principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectorial or institutional Codes of Ethics.

3. Professional Responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

4. Professional Attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources



provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

5. Contractual and Legal Obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

7. Good Practice in Research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

8. Dissemination, Exploitation of Results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

9. Public Engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

10. Discrimination



Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

11. Evaluation / Appraisal Systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

II. Recruitment

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.

Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

13. Recruitment

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants.

Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

14. Selection

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

15. Transparency

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

16. Judging Merit



The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

17. Variations in the chronological order of CVs

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

18. Recognition of mobility experience

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

19. Recognition of qualifications

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

20. Seniority

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry.

Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

21. Postdoctoral appointments

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral



appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

III. Working conditions and social security

22. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed.

Funders should ensure that adequate resources are provided in support of the agreed work programme.

24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career.

Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

25. Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.

26. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.



27. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in



the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers

34. Complaints / appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

IV. Training

36. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

37. Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators.

They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the



early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

38. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

40. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.



Appendix 2

Timeframe for implementation

HRS4R theme	Work Programme	Objective Action	Lead Unit	Schedule	KPIs	Status
Ethical and Professional aspects	HRS4R Action Plan 2015- 2016	Develop and propose policy to the RIIG on research integrity, conflict of interest, data management and research ethics.	The Research Policy Sub-Committee, chaired by the Vice-President for Research, Innovation & Impact	Q1/ Q2 2015	Development and implementation of UCD Research Integrity Policy	In progress
Recruitment	HRS4R Action Plan 2015- 2016	Awareness Raising: will create more information around the Graduate Research programmes on the relevant section of the UCD website. Currently this is more focussed on Graduate Taught programmes.	UCD Graduate Studies	2015/ 2016		In progress
	HRS4R Action Plan 2015- 2016	The RSSDP programme will be developed and enhanced during 2015 - 2016.	HRS4R Action Plan 2015- 2016	2015/ 2016		In progress
	HRS4R Action Plan 2015- 2016	National and International Collaboration on Research Supervisor Support.	HRS4R Action Plan 2015- 2016	Mar- 15		Completed
	HRS4R Action Plan 2015- 2016	The 2015 RSSD Programme will be a unique collaborative offering where UCD will partner with Trinity College Dublin in the development and delivery of workshops.	UCD Graduate Studies	2015		In progress

Working conditions and social security

<p>HRS4R Action Plan 2015- 2016</p>	<p>ConnectAbility is a programme designed to improve how disability is managed in the workplace within the University Sector.</p> <ul style="list-style-type: none"> • Establish an Advisory Group to assist with the implementation of ConnectAbility at University level • Finalise processes and documentation in a UCD context • Promote ConnectAbility to ensure integration into the University environment 	<p>UCD HR, Organisation Design and Diversity</p>	<p>2015/ 2016</p>	<p>Deliverables, metrics etc. to be determined with proposed Advisory Group</p>	<p>In progress</p>
<p>HRS4R Action Plan 2015- 2016</p>	<p>UCD HR is developing a proposal to provide training around Unconscious Bias. The aim is to increase awareness of the concept of Unconscious Bias and how it can affect decision making in the areas of recruitment/selection and everyday interactions with colleagues.</p> <ul style="list-style-type: none"> • As a first phase to provide a series of half day general awareness training to a targeted audience of participants from across the University • To deliver a one day 	<p>UCD HR, Learning and Development and Organisation Design and Diversity</p>	<p>2015/ 2016</p>	<ul style="list-style-type: none"> • Provision of a series of half day general awareness training to a targeted audience of participants from across the University • Deliver a 1 day 'Training for Trainers' • The creation of an internal network of Unconscious Bias trainers. 	<p>In progress</p>



		<p>‘Training for Trainers’</p> <ul style="list-style-type: none"> • The creation of an internal network of Unconscious Bias trainers. 				
	HRS4R Action Plan 2015- 2016	<p>CESAER programme</p> <ul style="list-style-type: none"> • Support UCD Engineering both at a local level and an institutional level with CESAER programme activities, as appropriate • Further consultation around this to take place. 	UCD HR-Organisation and Design unit to provide support to UCD Engineering as outlined above.	2015/ 2016		In progress
	HRS4R Action Plan 2015- 2016	<p>Clear information on several aspects of working conditions is not available in a consistent manner across the university. Postdoctoral researchers and other staff may not be made aware of issues such as desk/ office space, IT facilities, access to facilities etc. Importantly, researchers and employers many not be aware of policies related to maternity leave, pensions and redundancy under funded research projects.</p>	UCD Research and Innovation, UCD HR via RIIG Sub-Committee on Research Policy and/or Sub - Committee on Research Careers	2015/ 2016	Completed policy and evidence of update on a School level	In progress
Training	HRS4R Action Plan 2015- 2016	During 2015/ 2016 the Postdoc Orientation Event will be held on a quarterly basis and included in the postdoc Calendar of Events. The content and format of	Research Careers Working group (UCD Research, HR Learning and Development,	2015/ 2016	Increased engagement in services by postdocs and PIs (e.g. more	In progress

		the event will be enhanced in line with feedback from participants.	Career Development Centre) and RIIG subcommittee		than 35% postdocs reporting positive engagement with service).	
	HRS4R Action Plan 2015- 2016	IT system in place to support a lifecycle approach to postdoc professional development (i.e. welcome email, automatic invitation to postdoc-specific orientation, auto-reminders for both postdoc and PI, integrated calendar of events and institutional recognition of participation/transcript).	Research Careers Working group (UCD Research, HR Learning and Development, Career Development Centre) and RIIG subcommittee .	2015/ 2016	Increased engagement in services by postdocs and PIs (e.g. more than 35% postdocs reporting positive engagement with service).	In progress
	HRS4R Action Plan 2015- 2016	Design and deliver a PI (leadership) development programme to promote excellence in researcher management (i.e. one-to-one coaching, peer mentoring workshops, researcher management masterclasses).	Sub Committee on Research Careers working group reporting to the RIIG.	2015/ 2016	PIs actively promoting engagement in postdoc professional development programme (i.e. PI survey indicates positive feedback for postdoc career development service).	In progress
	HRS4R Action Plan 2015- 2016	Align research careers competencies more closely to funding and industry competencies.	Sub Committee on Research Careers working group	2015/ 2016	Postdoc is future-focused from the beginning	In progress

			reporting to the RIIG.		of their contract.	
HRS4R Action Plan 2015- 2016	Put in place a researcher development policy that promotes clarity in relation to roles and expectations around access to and recognition of professional development (i.e. from both PI and postdoc perspective).	RIIG, informed by Research Careers working group.	2015/ 2016	Consistent approach to postdoc development (i.e. access and engagement) with full support of PI.	In progress	
HRS4R Action Plan 2015- 2016	Design and deliver a PI (leadership) development programme to promote excellence in researcher management (i.e. one-to-one coaching, peer mentoring workshops, researcher management masterclasses).	RIIG, informed by Research Careers working group.	2015/ 2016	PIs actively promoting engagement in postdoc professional development programme (i.e. PI survey indicates positive feedback for postdoc career development service).	In progress	
HRS4R Action Plan 2015- 2016	The Sub-Committee on Research Careers has committed to revisiting the issue of teaching for postdoctoral researchers with a view to formulating a university-wide policy.	RIIG, informed by Research Careers working group.	2015/ 2016	A policy on teaching allocation for postdoctoral researchers at UCD.	In progress	

