

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

“A Human Resources Strategy for Researchers incorporating the Charter and Code”

***Annex 1 : Example of a standard template for the internal analysis –
<http://ec.europa.eu/euraxess/rights>***

The purpose of this gap analysis is to identify areas of strength and future action points under each of the four headings outlined in the document:

1. Ethical and Professional Aspects
2. Recruitment
3. Working Conditions and Social Security
4. Training

Ethical and Professional Aspects

The first section is “Ethical and Professional Aspects.” The University’s research reputation is dependent on the quality of its research outputs, and research ethics and integrity are essential to this. There are a number of regulations, policies, and committees in place to govern this important area.

At a national level, the national codes of practice for managing intellectual property apply, and the Irish Universities Association is in the process of developing a research and integrity code of conduct. Contract or sponsor terms and conditions also provide an important legal framework for agreement with outside organisations and the university.

Within the University, the “Code of Good Practice in Research” provides an important framework for ethical and professional aspects of research. This is further supported by the “UL Procedure on Research Misconduct” and the “Conflict of Interest Protocol & Procedures.”

As a University with a strong record of translational research, dissemination of results and public engagement are areas of considerable strength. The University’s focus on community matters has seen further engagement with the public on matters affecting the community and further afield.



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|--|----------|
| <p>The Irish Universities Association is developing a national research ethics and integrity code of conduct.</p> | <ul style="list-style-type: none"> This topic is primarily covered under the “Code of Good Practice in Research”, which is further supported by the “UL Procedure on Research Misconduct”, the “Conflict of Interest Protocol & Procedures.” The Induction process for all research staff and students will communicate the above principles. <p>Specifically, the Code of Good Practice in Research states that “All research should be conducted within an ethical framework consistent with the traditional principles of <u>academic freedom</u>”.</p> <p>The Code of Good Practice in Research further describes principles which may impose limitations on the research freedom, including honesty; openness; leadership & cooperation; supervision and training; guidance from professional bodies; best practice in the ownership, recording and storage of primary data samples; best practice in publication; ethical requirements; conflicts of interest (including those relating to intellectual property).</p> | <ul style="list-style-type: none"> a) Introduce an induction checklist for all managers, postgraduate supervisors, and any relevant central support groups (e.g. Graduate School, HR, Research Support Services), for including discussion on the nature of the work b) Provide clear guidelines on eligibility of researchers in funding applications | |



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, sectoral or institutional Codes of Ethics.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|--|--|
| <p>The Irish Universities Association is developing a national research ethics and integrity code of conduct</p> | <ul style="list-style-type: none"> This topic is primarily covered under the “Code of Good Practice in Research”, which is further supported by the “UL Procedure on Research Misconduct”, the “Conflict of Interest Protocol & Procedures” <p>As per principle No.1 above, the Code of Good Practice in Research states that “All research should be <u>conducted within an ethical framework</u> consistent with the traditional principles of academic freedom”.</p> <p>This Code further states that ethical approval is required from the University Ethics Committee for research involving Human Participants, Biological Samples or Animals. Failure to comply with the Code may result in misconduct proceedings.</p> <p>The policies and procedures relating to ethics are managed by the UL Research Ethics and Governance Committee, which is further supported by a number of Research Ethics Committees at faculty level. Research on patients is not within the remit of the UL committee, and is referred to the Mid-Western Regional Hospital Research Ethics Committee for ethical approval.</p> <p>HR provides training courses on Research Ethics and on the operation of UL’s Research Ethics Committees. Each faculty website provides ethics information, including guidelines, procedures, etc.</p> | <ol style="list-style-type: none"> Apply the IUA code of conduct when agreed. Need to increase awareness among the research community of ethics in research and of the approval procedures – e.g. while ethics training is currently offered and guidelines are available on faculty websites, need to increase take-up of this training; need to increase visibility of ethics and procedures on internal websites. As part of ethics training and internal guidelines, provide clarity on the relationships between ethics approval committees, particularly UL and HSE. Examine possible mechanisms to simplify and/or expedite ethical approval procedures whilst maintaining the high standard of approval procedures. Incorporate discussion on ethics and related procedures as part of induction checklist referred to under principle No. 1 above. Examine possible mechanisms for two-way feedback between researchers and ethics approval committees in order for both sides to learn from experiences. Implement consistent guidelines on data collection, use and retention. This action is being addressed by new regulations that are currently being drafted for the collection, use and retention of data for research purposes. | <p>Chair of Ethics committee through Academic council January 2012</p> |

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
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| <p>A new National IP Policy Framework is being developed by Forfas</p> | <ul style="list-style-type: none"> This topic is primarily covered under the “Code of Good Practice in Research”, which is further supported by the “UL Procedure on Research Misconduct”, the “Conflict of Interest Protocol & Procedures.” IP aspects of this principle are covered under the UL Intellectual Property Policy, and under the national guidelines for managing intellectual property. <p>The Code of Good Practice in Research describes a number of principles of good research practice that address the principle of Professional Responsibility, including the following:</p> <ul style="list-style-type: none"> Honesty: “All individuals in the University’s employment must refrain from plagiarism, deception or the fabrication or falsification of results; committing any of these actions is regarded as a serious disciplinary offence” Documenting Results and Storing Primary Data: “Throughout their work, researchers are required to keep clear and accurate records of the research procedures followed, approvals granted and of interim and final results. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained.” “Data generated in the course of research must be held <u>securely</u> in paper (bound books with numbered pages and an index to facilitate access to data) or electronic format suitably backed-up.” | <ul style="list-style-type: none"> a) Apply new national IP policy framework, when finalised b) Training should be provided on professional responsibility so that all UL research is conducted professionally. In particular, provide training on procedures for ensuring research data is secure and reliably backed-up. | |



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| | <ul style="list-style-type: none">• Acknowledging the role of collaborators and other participants: “In research, the contributions of colleagues, formal collaborators and other researchers who contribute to the research must be properly acknowledged.”• Leadership and Cooperation: “Group leaders must also ensure that appropriate direction of research, and supervision of researchers, and research students, are provided.” “It is the responsibility of Heads of Departments to clearly convey the standards and protocols for Research in their Departments (e.g. supervisors’ responsibilities including frequency of contact, scrutiny of primary data, <u>development needs of research trainees</u>) and to ensure that adherence to these standards is integral to the life of the Department.” <p>As per the UL IP Policy, all IP generated by UL staff in the course of their employment and by post-graduate students in the course of their education is the property of the University of Limerick. This is in line with the national IP guidelines, which state that ownership of IP goes to the employer(s) of the inventor(s). In the case of collaborative research involving two or more employers, joint ownership can occur.</p> | | |
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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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|--|----------|
| Contract/Sponsor Terms and Conditions | <ul style="list-style-type: none"> • Strategic goals are covered in the “UL Strategic Plan” • Strategic goals of funding providers are available on funding body websites • Approvals are captured in the “Research Proposal Authorisation Process” and “Project Setup Process”. These processes are covered during Research Induction. • General principles are covered in “Code of Good practice in Research” • Procedures around project delays, etc are covered under specific funding body contract terms & conditions. | <ul style="list-style-type: none"> a) Update current Research Office guidelines (Graduate School and Research Support Services) to highlight the need to report project delays/changes to the relevant persons/groups. b) Provide easy access to guidelines and regulations on supervisor-student relationship | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|---|----------|
| <ul style="list-style-type: none"> • National Codes of Practice for IP Management. • Funding Agency Intellectual Property Guidelines. • Contract/Spons or Terms and Conditions. | <ul style="list-style-type: none"> • This is covered by the “UL Intellectual Property Policy”, by the “National Codes of Practice for IP Management”, and by the Funding body contract terms & conditions. • The Intellectual Property Policy is linked on UL website, and these topics are covered at Induction for new staff. <p>This principle is about familiarity and compliance with the above policies/regulations, and hence these documents apply to this principle in their entirety.</p> | <ul style="list-style-type: none"> a) Identify ways of raising awareness of these obligations, both through training, but also considering local faculty experts. b) Provide guidelines on commonly used terms and conditions and how to interpret these c) Provide support service to assist researchers, if required, in understanding their obligations to contractual terms and conditions | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
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| Contract/Sponsor Terms and Conditions | <ul style="list-style-type: none"> This is covered by Finance Office guidelines and procedures, and is further supported by the "Conflict of Interest Protocol & Procedures" <p>The Research Accounts website provides guidelines for the "Financial Management of Projects", including the principle of Actual, Necessary and Economic expenditure, the need for financial reporting, the need for supporting documentation including timesheets, statements, invoices, claims, etc.</p> <p>The Research Accounts department provide access to auditors for the scrutiny of financial data relating to research projects.</p> | <ul style="list-style-type: none"> a) Provide training to researchers on the financial management of research projects, and the systems/processes at UL for achieving this. b) Provide guidelines and a FAQ to researchers on project financial management. c) Explore ways to streamline the processes involved. | |



| 7. Good practice in research | | | |
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| 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. | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| <ul style="list-style-type: none"> Data Protection Act (1988-2003). Contracts of Employment include a confidentiality clause. | <ul style="list-style-type: none"> This is addressed in the “Code of Good practice in Research.” Procedures are in place under the Data Protection policy. Health and Safety Services are provided as part of the Human Resources organisation The data protection and confidentiality protection requirements are covered under the University Regulations for data protection, and the Records Management & Retention Policy. <p>The Code of Good Practice in Research states that “Data generated in the course of research must be held securely in paper (bound books with numbered pages and an index to facilitate access to data) or electronic format suitably backed-up.”</p> <p>The Health & Safety group provides for the University policy, procedures and guidelines in relation to health and safety, as well as training courses on various aspects of health and safety.</p> <p>Centralised automatic IT back-up facilities are available for certain data storage areas, but for some data, it is the responsibility of the researchers to ensure important data is backed up.</p> | <ul style="list-style-type: none"> a) Raise awareness of these matters with researchers and PIs in timely way, particularly at induction. b) Provide training to researchers on data protection requirements, and on reliable backup strategies for information and data. c) Develop strategy for compliance with data protection guidelines, including addressing issues such open-plan workspaces, data retention requirements exceeding student/staff time at the University, etc | |



| 8. Dissemination, exploitation of results | | | |
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| 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 14 are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises. | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| <ul style="list-style-type: none"> National Codes of Practice for IP Management. Funding Agency Intellectual Property Guidelines Contract/Sponsors or Terms and Conditions | <ul style="list-style-type: none"> This is covered under the “Knowledge Transfer Strategy”, and is further supported by the “UL Intellectual Property Policy” and “Campus Company Procedures.” Also addressed in the Code of Good practice in Research and in the UL Strategic Plan <p>The UL Strategic Plan contains actions and targets for dissemination and exploitation of research results.</p> <p>The UL Knowledge Transfer Strategy deals with University activities that “generate, use, apply or exploit knowledge and other university capabilities outside the academic environment”. This strategy includes the following:</p> <ul style="list-style-type: none"> Technology Transfer & Commercialisation Public Policy and Affairs, Enterprise, Governance and Sustainability Cultural, Public Engagement and Societal Contribution <p>Furthermore, the Code of Good Practice in Research encourages publication of research results as “the best system for research results to be reviewed (through the peer refereeing process) and made available to the wider research community.”</p> <p>For externally funded projects, dissemination and exploitation are generally explicitly required, and the funding bodies review these as project outputs.</p> | <ul style="list-style-type: none"> a) Raise awareness of mechanisms for dissemination at induction (including availability of any opportunities to travel). b) Help to raise awareness of choices regarding dissemination through training and , e.g., publication/citation/impact factor/ patents/licences, etc. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
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| | <ul style="list-style-type: none"> This is covered under the “Knowledge Transfer Strategy” <p>The UL Knowledge Transfer Strategy deals with University activities that “generate, use, apply or exploit knowledge and other university capabilities outside the academic environment”. This strategy includes the following:</p> <ul style="list-style-type: none"> Technology Transfer & Commercialisation Public Policy and Affairs, Enterprise, Governance and Sustainability Cultural, Public Engagement and Societal Contribution <p>In addition, the UL LINKS publication, the UL website and other media channels are used to publicise UL research activities and outputs.</p> | <ul style="list-style-type: none"> a) Provide media and public engagement training to assist researchers in public engagement activities b) Identify opportunities to work with the University’s press office for public dissemination opportunities. c) Consider creation of a forum for community events where research findings are shared with the broader community. For example, this may include ongoing public lecture series. | |



10. Non 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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
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| <ul style="list-style-type: none">• Employment Equality Act (1998-2008). | <ul style="list-style-type: none">• Equality and Diversity Policy.• Dignity and Respect Policy.• Diversity training is in place.• The University has been awarded an EU project to examine the role of women in research. | <ul style="list-style-type: none">a) Complete EU project examining role of women in research.b) Monitor recruitment statistics for all areas of equality.c) Put in place on-line diversity training programme.d) Identify opportunities to provide for replacements due to sick leave or maternity leave. | |

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
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| | <ul style="list-style-type: none"> • Performance and Development Review System in place for all staff. This system is based on two-way review between manager/staff, and does not utilise a committee. • Training is available to all staff and managers on the PDRS. • Funding bodies conduct reviews of funded projects. Review mechanisms vary depending on project scale, ranging from submission of annual reports, to on-site visits by expert panels. Very often, expert review panels include international reviewers. | <ul style="list-style-type: none"> a) Evaluate effectiveness of PDRS for research group, including PI involvement in this process (i.e. whether additional evaluators should be included) b) Include focus on future careers as part of this system. c) Include probation review in communications / training. d) Identify any opportunities for rewarding of outstanding performance. | |

Recruitment



The primary aim of the recruitment process is to attract and select the best research staff. The University's research recruitment operating procedures sit within the broader context of the University of Limerick's Strategic Plan, with particular relevance to the following strategic goals:

Goal 2 To further enhance our research profile and strengthen our research, both nationally and internationally.

Goal 3 To sharpen our international focus in all areas of activity.

The strategy has four enabling themes: people, resources, quality, and communication. With people at the centre of these enabling themes, the quality of new hires to the University will make a significant difference to achievement of these goals.

The University is very conscious of the legal framework in which it operates. Both European and Irish legislation apply, including equality legislation, freedom of information, and data protection.

In line with the Code of Conduct for the Recruitment of Researchers, the University of Limerick has had procedures in place for the recruitment of researchers since April 2006. The purpose of these procedures is to ensure that recruitment happens within the relevant legal framework, in line with the principles of fairness and transparency, and that selection is based on merit.

The procedures are reviewed on an ongoing basis, and a 2010 review resulted in the development of the Operating Procedures for the Recruitment of Research Staff. This review involved meetings with a group of the key Principal Investigators at the University. Based on this feedback, they were then adapted, in keeping with the principles set out in the Charter.

The gap analysis below provides further detail on the University of Limerick's recruitment practices.

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|---|-----------------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none">• Operating Procedures for the Recruitment of Research Staff are in place. These reflect the principles of the Code of Conduct for the Recruitment of Researchers.• Entry standards are clearly stated in all adverts before issuing.• UL follows a merit-based recruitment policy to find the best candidates appropriate to the required roles. | <ol style="list-style-type: none">a) These are outlined in the sections below.b) Review the procedures on an annual basis.c) Provide recruitment training and ensure the procedures are clearly communicated. Consider compulsory training. | |



13. Recruitment (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|--|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none"> Operating Procedures for the Recruitment of Research Staff are in place. These reflect the principles of the Code of Conduct for the Recruitment of Researchers. All requirements for the role are reflected in the adverts. All adverts are reviewed by HR prior to posting to ensure that the standards required are appropriate to the role and are not overly-specific. | <ul style="list-style-type: none"> a) Make information on the Research Careers and Development framework readily accessible to job applicants (as well as current staff), with clarity about how this applies. b) Review adverts to ensure that requirements are in line with the role, ensuring that they are correctly labelled and in line with appropriate salary scales. c) Further communicate recruitment policies to PIs. d) Consider inclusion of link to information on research careers at advertising. | |



| 14. Selection (Code) | | | |
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| 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 should be realistic. | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none"> • Interviewer training is available. • Each board is chaired by a member of faculty who has responsibility for running the recruitment competition in line with legal and procedural regulations. • A representative of the HR Division briefs each board before commencement in line with consistent briefing notes. • Gender balance is represented on each board. Internal subject experts are required, and external subject experts are always welcome on boards. | <ol style="list-style-type: none"> a) Further training required. Identify mechanisms to increase uptake on interview training. b) Consider whether the chairs of boards should have received training prior to taking on this role. c) Review standard briefing document on an ongoing basis. d) Reiterate availability of HR representatives for selection boards. | |



15. Transparency (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|--|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none">• Assessment of candidates is only made in light of the criteria outlined in the advertisement.• All decisions made at screening / shortlisting / interview stages are recorded.• Detailed feedback is always available to applicants on all stages of their application. | a) Confirm to the board their responsibilities to candidates, including the importance of feedback and follow-up on candidate queries. | |

16. Judging Merit (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|---|-----------------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none"> • All substantive University research roles are openly advertised. • Researchers are assessed against criteria that extend beyond publication record, to include associated transferable skills. • These transferable skills are also reflected in the research role profiles and are a core part of the researcher skillset, for use at recruitment. | <ul style="list-style-type: none"> a) Develop pro forma templates for recruitment packs at each level with guidance on levels of qualifications and make these readily available. b) Monitor recruitment-related statistics to identify trends and act on these as appropriate. | |



17. Variations in the chronological order of CVs (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|--|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none">CVs are accepted from researchers, including evidence-based CVs. | <ol style="list-style-type: none">Build in reference to this in HR briefing prior to pre-screening and interview.Provide advice and guidelines on the creation of evidence based CVs. | |



18. Recognition of mobility experience (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|--|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none"> • International experience forms a key goal under the University of Limerick’s strategic plan. • Video conference facilities are used to facilitate overseas candidates, in order to ensure that all suitable candidates have an opportunity to attend for interview. • The process for gaining work authorisations and visas runs smoothly, enabling entry for all researchers. | <ul style="list-style-type: none"> a) Identify other appropriate international advertising locations. b) Provide recognition for experience in different contexts, where relevant. c) Provide information and support for mobility. | |



19. Recognition of qualifications (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|--|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none">• Due recognition is given to overseas candidates who may have gained their qualifications in another academic environment. | a) Explore the possibility of having country-specific information to hand for qualifications, at a national level. b) Discuss the availability of appropriate supports with the International office – include possibility of on-line tool. | |



20. Seniority (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|------------------|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none">• Qualifications are set at an appropriate level.• Assessment at each stage of the selection process is consistently matched to the requirements of the role. | | |

21. Postdoctoral appointments (Code)

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|---|----------|
| Employment Equality Act (1998-2008); Freedom of Information Act (1997-2003); Data Protection Act (1998-2003); University Act (1997); Standards in Public Office Act 2001. | <ul style="list-style-type: none"> Through the University of Limerick's policy for contract management, and the Research Careers and Development Framework, the University is clear on what a postdoctoral appointment means for an individual who is joining the University. | <ul style="list-style-type: none"> a) Provide documentation on this prior to appointment. Reference it on the website. b) Further encourage longer researcher contracts under the research contract management policy. c) Clarify questions for new researchers at the outset, including: pension and pension levy; research contract policy and research careers framework. d) Encourage PIs to further communicate with researchers on their contracts. e) Consider training for PIs in mentoring and managing Post-Docs. f) Communicate the research role profiles and provide career planning training to research staff. | |

Working Conditions and Social Security

Researchers are a critical part of the staff at UL. The research staff have the capability and drive to deliver on ambitious research goals. We are delighted to welcome researchers from such diverse disciplines and nationalities. Delivering on research goals requires dedication, expertise, and entrepreneurial spirit. Researchers are key for the University and will become even more important with time.

Within a legal framework, the University has complied with all the terms of the relevant legislation under the Protection of Employees (Fixed Term) Work Act 2003. In line with this, the University has ensured that all researchers are subject to the same benefits afforded to other members of staff (e.g., pensions, access to training). UL has also put in place a research contract management policy, which is operational since January 2011. This policy reflects the legislation, and makes explicit the terms of employment for new entrants.

Furthermore, the University is in the final stages of developing a Research Careers and Development Framework. The development of this framework has included consultation sessions with relevant groups including Deans, Assistant Deans of Research, Principal Investigators and, of course, the researchers themselves.

The purpose of this Framework is to draw together key elements of HR strategy in order to support research, including the following: research role profiles; a research coaching programme; training programmes; access to careers support; and inclusion of research careers in the Performance Development and Review System (PDRS).

III. Working conditions and social security

| 22. Recognition of the profession | | | |
|---|---|--|-----------------|
| <p>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).</p> | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| | <ul style="list-style-type: none"> • Through the new contract management policy, the aim of the University is to stabilise the contract situation for staff and provide new staff with clear expectations on contract duration. • Researchers have similar rights to other staff in terms of pension entitlements, access to training, etc. • The research careers and development framework will further help to support researchers at UL. | <ol style="list-style-type: none"> a) Further analysis of what recognition of the role should look like is required, with follow-up on this as appropriate. b) This review should include identifying the role of researchers in decision making bodies, including Governing Authority and others. c) Review Research Careers and Development Framework annually for ongoing relevance. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|---|----------|
| <ul style="list-style-type: none"> Relevant Health and Safety legislation. | <ul style="list-style-type: none"> University of Limerick Safety Statement is in place. This is supported by internal policies and a Health and Safety Essentials booklet. The health and safety policies and practices are regularly evaluated and are part of the HR Division's ISO quality system. Opportunities are available for remote collaboration. Opportunities for international linkages are actively pursued through initiatives such as Marie Curie. A Space Management Protocol is in place to manage space in the University. | <ul style="list-style-type: none"> a) Continue review of health and safety as part of HR Division's ISO quality system. b) Consider the benefit of having an institution-wide space allocation system. c) Conduct further review of how research training is provided overseas and adopt key learnings of this. d) Discuss system improvements for research with ITD, including visio and equipment for remote collaboration. e) Consider possibility of financial provision for discipline-specific training for researchers. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|--|----------|
| Employment Equality Act (1998-2008); Employees (Provision of Information and Consultation) Act 2006. | <ul style="list-style-type: none"> • An equality policy is in place. Its effective implementation is evident in a number of policies and practices including: flexible working policies; the women’s forum; an annual disability survey; ongoing reviews of recruitment statistics. • Public sector initiatives such as the shorter working year scheme also allow for flexible work with equal flexibility on the financial arrangements. • Some facilities are dated. | <ul style="list-style-type: none"> a) A collaborative EU project is due to commence shortly with the aim of identifying barriers to progression for women, and to identify suitable actions to deal with this. b) Continue to introduce and encourage flexible work practices. | |

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*.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|--|----------|
| Protection of Employees (Fixed Term Work Act) 2003 | <ul style="list-style-type: none"> Research contract management policy (2011). | <ol style="list-style-type: none"> This section was the subject of much discussion. Identify ways to improve dialogue on this topic; address the anxieties; communicate clearly on existing and proposed policies where possible; and identify areas to be addressed. Undertake a review every six months from date of implementation for the first two years, in line with strategic direction of university. Undertake an annual review thereafter. Communicate research contract policy more broadly with researchers and PIs, as well as research careers and development framework. This should include communication on the meaning of specific purpose contracts. This should be discussed at induction. Propose implementation of a job evaluation mechanism for researchers. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|---|----------|
| Payment of Wages Act (1991); National Minimum Wage Act; Employment Equality Act (1998-2008) | <ul style="list-style-type: none"> National guidelines on researcher salaries are followed in order to ensure that fair payments are made. | <ul style="list-style-type: none"> a) Examination of salary levels in other institutes nationally and overseas every two years to ensure that our pay levels remain appropriate. b) Follow up with national level agencies as appropriate. c) Ensure current scales are clearly visible on websites. d) Communicate situation regarding pensions for researchers. e) Consider whether there needs to be one policy for the university in relation to payment for teaching by researchers. f) Clarification of payment of increments required. | |

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|---|---|
| Employment Equality Act (1998-2008) | <ul style="list-style-type: none"> • There is gender balance on all interview boards. • UL has successfully tendered for a collaborative EU project with the aim of identifying the numbers of women in research. | <ul style="list-style-type: none"> a) Project due to commence to study female participation in research. Like many universities, anecdotal information would indicate lower than desired levels of female participation. b) Review research recruitment data for equality statistics. Identify appropriate actions as a result. | Timelines and responsibilities in line with terms of project. |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|---|----------|
| | <ul style="list-style-type: none"> A Research Careers and Development Framework is in the process of being implemented. Research role profiles are in place to provide greater clarity on the roles of researchers. Access to training and development, careers supports, and inclusion of a careers discussion in the Performance Development and Review System (PDRS) should all help. | <ol style="list-style-type: none"> Explore possibility of job evaluation as an aid to career development. Final implementation of framework required as quickly as possible. Undertake a review every six months from date of implementation for the first two years, in line with strategic direction of university. Undertake an annual review thereafter. Continue training for researchers and academic staff. Identify creative ways to actively advertise and encourage the take up of training. Further encourage mentoring scheme for researchers. Consider whether researchers should be assigned a mentor for the first year of their employment in UL. | |



| 29. Value of mobility | | | |
|--|---|--|-----------------|
| <p>Employers and/or funders must recognize the value of geographical, intersectoral, 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.</p> | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| | <ul style="list-style-type: none"> • One of the four strategic goals of the University is our international focus and recruitment of staff with international experience is critical for the growth of the University and its importance is made explicit in the strategy document. • Opportunities for mobility are actively sought through initiatives such as Marie Curie. | <ul style="list-style-type: none"> a) Review researcher intake with international experience and act on this as appropriate. b) Explore possibility of external placements to enhance experience. c) Consider financial support for mobility. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|--|----------|
| | Career programmes are regularly run and a further three are expected between December 2011, and January 2012. | a) Explore possibility of provision of 1-1 career advice. b) Provide training for managers for career management discussions and encourage this. c) Available assistance should be actively promoted to researchers and their supervisors. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|--|---|----------|
| <ul style="list-style-type: none"> • National Codes of Practice for IP Management. • Funding Agency Intellectual Property Guidelines. • Contract/Sponsor Terms and Conditions. | <ul style="list-style-type: none"> • Intellectual property rights are managed in line with the University’s policy. This provides users with access to a fair and impartial hearing. • Any disputes relating to IP are dealt with by the University of Limerick Ethics Committee. • This is covered under the “Knowledge Transfer Strategy” and the “UL Intellectual Property Policy” | <ul style="list-style-type: none"> a) Review any disputes arising to identify opportunity to improve how this is managed. b) Consider introducing specialist induction for social sciences / humanities including application of IP policies and rights. c) Raise awareness of national and university policies. d) Consider the possibility of a simple guide to IP, separate to the policy. e) Consider whether, and how best, to support broader knowledge transfer activities. | |



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).

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|--|----------|
| | <ul style="list-style-type: none">This is covered under the “Code of Good Practice in Research”The research role profiles advise that authorship is dealt with under the relevant international protocols. | <ol style="list-style-type: none">Review any disputes arising to identify opportunity to improve how this is managed.Consider the need for communication of guidelines on authorship, drawing on international standards where available. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|---|---|----------|
| | Clarity around the role of teaching for researchers has been built into the role profiles for researchers. In line with the [Code of Practice]... | a) Communicate the section regarding teaching in the research role profiles, to PIs as well as to researchers. b) Review situation on researchers and teaching on ongoing basis. c) Consider whether further guidelines on teaching for researchers are required. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|--|----------|
| Dignity and Respect Policy | <ul style="list-style-type: none"> • A number of complaints procedures are in place to deal with various conflicts including a grievance policy, and a dignity and respect policy. • Chapter 5 of the Academic Regulations also deals with complaints and appeals. | <ul style="list-style-type: none"> a) Update academic regulations as required. b) Highlight the complaints and appeals mechanisms at training. c) Consider merits of having an ombudsman type person for complaints/appeals. d) Ensure continued rollout of Dignity and Respect training e) Confirm the supports available to researchers where there is a communication breakdown. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|--|----------|
| | <ul style="list-style-type: none">• Consultation is currently in place with researchers through the Researcher's Sub-Committee of the Women's Forum. | <ol style="list-style-type: none">a) Identify the range of decision-making bodies and the current research representation.b) Take appropriate action as a result of this review.c) Consider development of a fair and transparent recruitment process for committees.d) Explore further mechanisms for communication in line with broader UL efforts. | |

Training

The merits of researcher training for continuing professional development and for positioning for future careers is of high priority to the University of Limerick.

As part of the Research Careers and Development Framework, a schedule of training has been put in place. This focuses on transferable skills as well as core research skills. Current topics include intellectual property, impactful communication, successful networking, marketing of technology, working with industry, and research ethics.

This will sit within the context of other support mechanisms under the Research Careers and Development Framework, including a research coaching programme and careers supports for researchers. It is complemented by a growing range of on-line training programmes, allowing for just-in-time training on research-relevant matters.

IV. Training

| 36. Relation with supervisors | | | |
|--|---|--|-----------------|
| <p>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.</p> | | | |
| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
| <p>Work schedule may be governed by contracts with funding organisations.</p> | <ul style="list-style-type: none"> • A research leadership programme is now in place. • Training is provided to all managers on the Performance Review and Development System (PDRS). | <ul style="list-style-type: none"> a) Research careers and development framework will provide for discussions regarding career as well as performance-related discussions. b) Provide training for supervisors in roll-out of this, highlighting supervisor responsibilities, and how supervisors and researchers can work together to achieve this. c) Review Marie Curie model to see if this should be replicated. d) Put in place research coaching scheme to enable researchers to gain from experiences of others. e) Identify ways to improve integration into university structures for research faculty and staff. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|---|----------|
| | <ul style="list-style-type: none">A comprehensive research leadership programme is in place. | <ol style="list-style-type: none">Establish further training for research managers.Establish series of talks from people who have developed excellent leadership skills.Encourage and reward and create opportunities for senior researchers to coach and mentor new researchers on projects, including write up and dissemination. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|--|----------|
| | <ul style="list-style-type: none"> • Research role profiles are in place. • On-line development programmes are in place. • Series of training and development programmes for researchers has been established. | <ul style="list-style-type: none"> a) Further develop on-line programmes. b) Enhance range and type of programmes offered to researchers, and publicise full range of training available for all staff. c) Review research schedule every six months to seek further inputs. d) Publicise all elements of Research Careers and Development Framework well. e) Training for supervisors/research managers. f) Promote participation in professional societies' CPD programmes, supported by the training and mentoring spoken about above. This would facilitate demonstrable career development that is more likely to be recognised by employers outside academia. g) Involve HOD/Institute directors in promoting training/courses and support initiatives. | |

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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|--|--|--|----------|
| <p>The IUA have developed a definition of a structured PhD and have outlined the main elements of Transferable and generic skills training required in a PhD: www.4thlevelireland.ie</p> | <ul style="list-style-type: none"> • Generic and transferable skills training are included as part of the format of a structured PhD. The skills training are offered by the graduate school, and are advertised on the graduate school website • For research staff, programmes are in place as outlined above, with a strong focus on transferable skills. | <ol style="list-style-type: none"> a) Monitor take-up on these programmes annually and take appropriate steps to redress any issues where necessary. b) Examine current system of evaluation. c) Updating of training programmes as required by the researchers d) Coordinate existing and future training between divisions (incl. HR, Graduate Studies, ITD/Library, CTL) to avoid duplication. e) Clarify the situation regarding support for continuing professional education. f) Consider the possible mechanisms for supporting discipline specific training. | |



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.

| Relevant legislation (permitting or impeding the implementation of this principle) | Existing Institutional rules and/or practices | Actions required | When/Who |
|---|---|--|----------|
| <ul style="list-style-type: none">- For staff, the Terms of Employment (Information) Act applies.- For students, there is an IUQB national guideline: Good practice in the organisation of PhD programmes in Higher Education, National guidelines 2009: available: www.iuqb.ie | <ul style="list-style-type: none">• The supervisor is identified in each researcher's contract of employment.• The Academic regulations (Chapter 5) follow the IUQB guidelines | <ul style="list-style-type: none">a) Put in place further training for research managers.b) Update the academic regulations as necessary.c) Consider having a briefing document for PhD supervisors, clarifying frequency of meetings, level of support required, etc.d) Identify levels of training for supervisors and review as appropriate. | |