The Initial Phase & Interim Assessment
How to start the process and implement it!

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#HRS4R
YOU MIGHT FEEL LIKE THIS???
IF YOU FOLLOW THESE STEPS YOU WILL FEEL LIKE THIS
What’s important?

Initial Phase
1. committee or working group
2. endorsement
3. gap analysis against 40 principles
4. action plan
5. OTMR Checklist
6. focus groups and (survey results)?
7. WEBSITE

Interim Assessment
1. Showing progress through actions and embedding
2. OTMR Policy
3. Keep the Award!

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An effective and committed WG is very important

- Written Working Group Description and Terms of Reference
- An Effective and Committed Working Group Chair
- Effective Members Appointed
- Accountability to the University
- Well-run Meetings with minutes and actions
Statement of Purpose included in Terms of Reference

- “The university shall establish a working group to be known as the HR Excellence in Research Working Group which shall be responsible to the university for the oversight, development, evolution and implementation of the University HRS4R Action Plan.”
Endorsement

- Plenty of examples on the Euraxess Website [HERE](#)
Gap Analysis
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<td>3. Professional Responsibility</td>
<td>Researchers are required to protect the integrity of their research. In this respect, they are expected to not duplicate work that has already been carried out elsewhere. They are also expected to conduct their research and abide by all legal, ethical and joint data protection regulations. If new observations are reproducible, then they are expected to present these observations to the academic community. They are explicitly duty-bound to notify their research supervisor or any aspect of the research project that may place a person to whom they are bound by a duty of confidentiality in a position to violate or undermine their competence to carry out their role or duties or to publish results that are not consistent with the research. If any aspect of the research is considered to be unethical, it is the responsibility of the researcher to bring these issues to the attention of their immediate supervisor and their institutional human research ethics committee. These actions will be considered in line with the institutional human research ethics committee's procedures.</td>
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<td>Action 1, UCC HRS4R Action Plan: Ethical and Professional Aspects</td>
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<tr>
<th>Status</th>
<th>Title Action</th>
<th>Timing</th>
<th>Responsible Unit</th>
<th>Indicator/Target</th>
<th>Current Status</th>
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<td>Ethical and Professional Aspects</td>
<td>1. UCC will actively contribute to the discussion on National protocols and facilitate implementation of National Protocols for Research Integrity (RI) / Responsible Conduct of Research (RCR)</td>
<td>2013</td>
<td>National Protocol Committee including Professor Anita Maguire, Mr Michael Farrell and Professor Alan Kelly of UCC. Professor Anita Maguire Vice President for Research and Innovation</td>
<td>Launch of <a href="#">National Policy Statement on Ensuring Research Integrity in Ireland</a> in 2014 Professor Anita Maguire, UCC Vice President for Research and Innovation is Chair of the Irish National Forum on Research Integrity. <a href="#">See link to website</a></td>
<td>Complete Implementation on-going</td>
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**Gap meets Action Plan**

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<td>33. Teaching</td>
<td>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.</td>
<td>Teaching is recognised as valuable professional skill development category within the university researcher development framework. However, opportunities for researchers to contribute to teaching can depend on the nature of the research project or area in which a researcher is based. Generally, it seems easier for researchers based in academic departments to obtain experience in teaching. It has been identified there is a need to develop policy in this regard and provide researchers with opportunities to obtain experience in teaching if that is a skill which they wish to develop and to progress their careers. It has been identified clarify is required on researchers contributing to teaching and the University policy in this respect.</td>
<td>Action 4.8, UCC HRS4R, Action Plan, Establish a Working Group to identify requirements and policy for researchers to contribute to teaching.</td>
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3. The Staff Enhancement and Development Committee will establish a working group to identify institutional requirements and develop policy for researchers who wish to develop skills in teaching and learning. Original completion date of 2014 delayed. New date: June 2021. Academic Staff Enhancement and Development Committee guidelines approved by Academic Council on 26/06/2020. Yet to be communicated to all research staff. Communication is now at planning phase – delayed due to COVID-19.
Action Plan

Where to begin?

- Clearly indicate the Links between the gaps identified in the Gap Analysis and the HRS4R Action Plan – Coherence!
- Prioritise – explain the areas your organisation wishes to focus on and the areas that will be addressed later on in the process.
- Long term goals and short term goals
- Realistic are the actions sensible, achievable, quantifiable, legal?
Action Plan
Where to begin?

- Divide the action plan into the **4 pillars** based on C & C
- Logically connect the actions to the gaps identified
- Make it easy to follow and don't randomly distribute the actions
- Ensure the quality of the actions with time frames and targets/indicators
Action Plan

Where to begin?

- Be sensible and make actions measurable
- Have an overall sense of understandability
- Have a coherence between the actions and capacity of the institution
- Have unity between the gaps identified and the actions
- Ensure short term v’s long term actions
- Is it hard to follow, has the report jumped around from idea to idea without consistency or connectivity
Where to begin?

- Are there quantitative targets in the action plan?
- Is there a mechanism for effective on-going implementation and review of the plan
- Is it being monitored and by whom
- Stakeholder engagement
- Coordination across the organisation

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For example:

- Your organisation may have identified 40 gaps or more based on the 40 principles of the charter and code under the 4 pillars

- Translate that into about 6 actions (max) under each of the 4 pillars making 24 actions approx. Prioritise

- Much more than that and it may be difficult for your organisation to complete prior to the self assessment in 2 years.
Gaps identified versus Actions to be undertaken

Remember: your organisation will be in a better position to demonstrate progress and will be able to plan for the next phase using the gaps that were not addressed initially in the action plan.
• Complete the checklist [See HERE](#)
• From this you will have identified suitable actions to encourage and implement change
• You will include these actions in your action plan
Focus groups and (survey results)?

Plan your survey so that the results are known and written up prior to submitting for your submission

Highlight areas for improvement

Highlight areas where you have a good result

Use the gaps identified to point to future actions regarding areas for improvement

Use the progress to point to the completion of older actions and embedding if relevant

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**Interim Phase**

**Embedding/Ambition**

**Fulfilment:** Action Plan etc ✓

**Innovation:** New training programmes ✓

**Informal:** Peer groups and Researcher Groups ✓

**Formal:** Policies and Strategy ✓

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Ambition:
Be clear and articulate it!

Our ambition is to:

- identify and remove factors that impede representation, development and career development of research staff?
- develop practices and policies that are responsive to the needs of research staff?
- engage research staff from all parts of the university in HR Excellence in Research activities?
• Agree the policy and practices with all stakeholders/researcher focus groups/steering committee

• What do you need to do to ensure that all recruitment procedures are consistent with the OTM-R principles?

• I know this sounds easy but I also know its not!
Remember:

- The OTM-R policy is in conjunction with other human resource strategies/policies to improve working conditions of researchers and attract researchers from abroad.

- It forms part of an institution’s overall policy to increase its level of quality surrounding researcher recruitment and enhance researcher careers.

- Assessors will be cognisant of your starting place as an organisation.
UCC example of what this looks like in practice
Areas to address when starting out and progressing!

- Gap Analysis
- Working Groups and/or Surveys
- The Action Plan
  Actions going forward (interim phase)
- Embedding/Ambition (interim phase)
- OTM-R Checklist
  Policy (interim phase)

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WEBSITE: at every stage!!!

• https://www.ucc.ie/en/
Don’t forget….Be kind to yourself.....

Its an evolving process!

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Thank you
Any Questions?

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