HR EXCELLENCE IN RESEARCH

Newcomer Assessors Session
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A TRADITION OF INDEPENDENT THINKING

UCC
University College Cork, Ireland
Coláiste na hOllscoile Corcaigh

What I will cover today

HR EXCELLENCE IN RESEARCH

1. How to evaluate the coherence between the gap analysis and the action plan.

2. What are the normal/max. efforts expected from the assessors in making the links between gaps and actions or finding evidence?

The Gap Analysis

- A gap analysis is defined as “the comparison of actual performance with potential or desired performance”
- In the context of HRS4R it is the gap that exists between the institutions policy and practice and/or National Legislation and the 40 principles of the charter and code
- The gap analysis should clearly indicate the existing gaps in relation to the 40 principles
- The gaps should be described and there should be clear indicators as to how these gaps will be filled

What it looks like…..

You will see something like this on the e-tool…

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: .....

Organisation's contact details: .....

SUBMISSION DATE:.....

DATE ENDORSEMENT CHARTER AND CODE: .....

Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. [1] These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[2], as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your

Gap Analysis

What are you looking for?

1. Look for evidence of engagement with all management departments directly or indirectly responsible for researchers' HR-issues.

2. Does this include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members.

3. Is there evidence of consultation with stakeholders and involve a representative community of researchers ranging from R1 to R4

PROCESS

What are you looking for?

4. Is there a Committee and/or Working Group overseeing the gap analysis and implementing the process

5. Is there any evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format.

6. What is the composition of the Committee and/or Working Group.

What a gap analysis looks like

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	+ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented - = **insufficiently** implemented	In case of -, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom			
2. Ethical principles			
3. Professional responsibility			
4. Professional attitude			

Your role….

Coherence

Find the Links between the gaps identified in the Gap Analysis and the HRS4R Action Plan

Example of what a gap looks like

Charter & Code Principle	Description of Charter & Code Principle	Current Practice/Rules in UCC	Link to UCC Policy	Actions Required
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.	For academic staff, supervision both of research students and early-stage researchers is a key criterion in schemes for promotion and establishment. A programme of professional development for research supervisors has been established (currently involving five half-day workshops addressing different stages of the research student life-cycle, from recruitment to examination and beyond), and participation by staff has been strong.		No action required

Charter & Code Principle	Description of Charter & Code Principle	Current Practice/Rules in UCC	Link to UCC Policy	Actions Required
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.	A framework for professional development for researchers, based around principles of Training Needs Analysis and Professional Development [redacted] with activities and outcomes [redacted] ic portfolio system. This framework recognises both formal (e.g., workshops and short courses) and informal (i.e., experiential) learning and skill development. It has been identified that an on-line system is required to support the process.		

The University will hold a Researcher Conference, to support career development for researchers.

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Gap meets Action Plan

Profile Evolution of Table of Priority Areas, Actions and Deliverables for HRS4R up to and including 2020

Green = Complete - Implementation On going *Yellow = New Action Complete* *Blue = Not Complete prior to Deadline* *Red = New Action in Preparation*

	Title Action	Timing	Responsible Unit	Indicator/Target	Current Status
	preparation.			HR also provides one-to-one CV and interview support to research staff on request and CV preparation courses are provided regularly through the Post Doc Development Hub.	Complete Implementation on-going
☑	The University will hold a Researcher Conference, to support career development for researchers	2013 2015 2016 2017	Human Resources	3 conferences hosted so far and one in preparation: • Researcher Careers April 2013 • Endurance in Research April 2015 • Chance favours the prepared mind April 2016 • The Mobile Researcher May 26th 2017 See link to conference programme and speakers here	Complete Implementation on-going

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Open Transparent Merit based Recruitment

- Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list

More on this later……

To plan your search for coherence ask yourself the following?

Does the Institution:

1. Map current HR practices against the 40 principles of Charter and Code;
2. Identify where gaps exist; describe the gap and subsequent actions that will fill the gap.
3. Make sure the process of undertaking the internal gap analysis is as inclusive as possible and includes researchers at all levels (R1 to R4)
4. If applicable include aspects of local or national legislation should be disclosed

To plan your search for coherence ask yourself the following?

Has the Institution:

- Formed a committee or working group to oversee the gap analysis
- Is it sponsored by President/Vice President etc
- Included Title Action, Timing, Responsible Unit, Indicator/Target, Current Status
- Used the templates and published the action plan on the Institutions website?

How to find evidence of coherence and quality

What to look for

- Has the action plan been divided into the 4 topics?
  - Ethical & Professional,
  - Recruitment - OTMR
  - Working Conditions and
  - Training & Development
- Are the interactions logically **connected**?
- Have actions been **randomly** distributed?
- What is the **quality** of the actions?

How to find evidence of coherence and quality

What to look for

- Are the actions sensible and measurable?
- Is there an overall sense or understandability?
- Is there a coherence between the actions and capacity of the institution
- Is there **unity** between the gaps identified and the actions
- 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

How to find evidence of coherence and quality

What to look for

- Are the main ideas difficult to follow.
- 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
- Evidence of **coordination** across the organisation

Efforts expected when assessing

1. Are the gaps adequately identified
2. Is there a clear link between the gaps and the action plan?
3. Is the plan for 2 years?
4. What is the quality of the actions?
5. Is it possible to make progress with these actions?
6. Are there clear indicators and targets?
7. Has there been a clear consultation process?
8. OTM-R discussed later…..

Efforts expected when assessing

1. Take a methodical approach
2. Has the institution used the correct forms?
3. Read the reports – what is your understanding?
4. Try to get an overall impression of the institution- how many researchers/staff/PhD students
5. What is the budget of the institution?
6. Is the process well structured
7. Is it easy to follow – coherent?

What do I do?

1. Google the institution
2. Read the reports many many times….
3. How big is the institution
4. Is the information on the net
5. Have they used the forms
6. Is there a connectivity between the gaps, what the have written and the action plan
7. Is it realistic
8. Are the actions quantitive
9. Do I get the impression that this is a box checking exercise?

Go Raibh Maith Agaibh