RCSI HRS4R Action Plan - Implementation Tracker

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No gap at RCSI. Researchers at RCSI are afforded research freedom respectful of the mission & vision of the organisation 'To educate, nurture and discover for the benefit of human health' while being 'recognised internationally as a leading centre for professional education, research and innovation in healthcare'[1]. Also, the *Irish Universities Act 1997* [2] which refers to Academic Freedom is a statutory instrument that underpins RCSI. Backed up by HRS4R survey findings.	None	n/a																						• The HRS4R Survey results 2014 (Q21, Q22) showed researchers generally satisfied with their research freedom. Issues where researchers felt research freedom was constrained by access to infrastructure or by substandard infrastructure are now addressed by activities of new Laboratory Managers' Group and ongoing refurbishment and building activities. The strategic appointment of a Research Institute Support & Development Manager (Dr Christopher Byrne) is instrumental in delivering a number of initiatives related to access and space.

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.

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No policy gap at RCSI. Policy on research ethics is published in the RCSI Researcher Handbook.	None	n/a																						• Research Ethics procedures and information are now clearly communicated via e-mail and on the website (the Ethics portal has been encompassed within the main RCSI website). Ethics training is now available to all research staff and courses are advertised on the staff Learning & Development portal.
RCSI policy statement on Research Integrity needed	Draft & release policy statement on Research Integrity.☑	NM/RS		●	●																			
	Add link to Research Integrity policy statement to RCSI Researcher Handbook.☑	NM/RS			●																			• A Research Integrity Officer has been appointed and they are liaising with the national Research Integrity initiative to ensure RCSI is informed and in line with best practice.
	Subscribe to IUA facilitated Policy Statement on Ensuring Research Integrity in Ireland (upon its release).☑	NOD				♦																		
While policies & procedures of RCSI Research Ethics Committee are on their website, the gap analysis revealed insufficient communication of ethics related information to researchers such as legal regulations & data protection.	Improve the visibility and communication of the essential documents and policies to researchers.☑	NC/DS			●	●																		• Relevant documents have been developed and communicated to researchers including: (1) Researcher Handbook (2) RCSI Statement on Research Integrity (3) RCSI Policy on Investigation into Allegations of Research Misconduct. RCSI have also subscribed to the IUA Policy Statement on Ensuring Research Integrity in Ireland. An online tool for Research Integrity training is currently being considered at national level.
No formal training provided on Research Ethics and Integrity.	Develop a comprehensive training intervention for postgraduate research students.☑	HMV/ NM/JS			●	●																		
	Investigate expansion of above comprehensive training intervention to wider research community.☑	HMV/ NM/JS			●	●	●																	

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.

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No gap at RCSI. Research integrity is included in the RCSI Researcher Handbook. There is also the RCSI statement on the Handling of Allegations of Research Misconduct.	None	n/a																						• Please see points in 2. (Ethical Principles) above regarding Research Integrity.
RCSI policy statement on Research Integrity needed.	Draft & release policy statement on Research Integrity.☑	NM/RS		●	●																			
	Add link to Research Integrity policy statement to RCSI Researcher Handbook.☑	NM/RS			●																			RCSI Research Strategy (2014-2020), 'Improving Human Health' was launched by the Minister of Skills, Research and Innovation in November 2014 and is available on the RCSI website. Hardcopies were distributed to research staff.
	Subscribe to IUA facilitated *Policy Statement on Ensuring Research Integrity in Ireland* (upon its release).☑	NOD				♦																		
Updated RCSI Research Strategy needed.	Develop and publish RCSI Research Strategy.☑	PdP/ NOD		●	●	●																		

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.

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Lack of awareness among researchers of research-relevant institutional policies and documents	Ensure relevant RCSI documents and policies visible e.g. Researcher Handbook, Strategic Plan, Research Strategy.☑	CM				♦	♦																	staff on our RCSI intranet. • Relevant policies are also shared with researchers at key stages of the employee lifecycle, for example, at recruitment, induction, maternity, retirement. • They are also shared through the various specific roadshows and events across the institution including, HR Open Days, RCSI Research Day, ORI Welcome Briefings/Presentations. • Relevant informatoin and consultative fora also support the development and provide feedback on key RCSI documents and policies e.g. Researcher Career and Development Framework. • As part of the 2017 - 2018 Action Plan, we will look to further enhancing the awareness of our policies and documents through targeted communications and proactive engagements.
No induction programme / checklist for new researchers.	Expand induction programme to include researchers.☑	CM/DF			♦	♦	♦																	• All researchers are invited to attend RCSI's Induction programme. • The Office of Research and Innovation also facilitate additional Welcome Briefings and coffee mornings to induct and support researchers are various levels i.e. PI's, PhD students.
There is no clause in employment contracts indicating that researchers must be familiar with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.	Insert clause in research contracts indicating that researchers must be familiar with requirements & conditions of any sponsor or funders, independently of the nature of their contract.☑	DF			●	●																		• All RCSI research funded contracts of employment include a specific clause that outlines their responsibilities to familiarise themselves with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.
Updated RCSI Research Strategy needed	Develop and publish RCSI Research Strategy.☑	PdP/ NOD		●	●	●																		• RCSI Research Strategy (2014-2020), 'Improving Human Health' published and launched in Nov. 2014.

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.

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There is no clause in employment contracts indicating that researchers must be familiar with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.	Insert clause in research contracts indicating that researchers must be familiar with requirements and conditions of any sponsor or funders, independently of the nature of their contract.☑	DF			●	●																		• All RCSI research funded contracts of employment include a specific clause that outlines their responsibilities to familiarise themselves with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.

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.

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No gap at RCSI. Research integrity is included in the RCSI Researcher Handbook along with research-related financial accountability and best practice.	None	n/a																						• RCSI now has published (1) the Researcher Handbook (2) ; RCSI Policy on Investigation into Allegations of Research Misconduct.
RCSI policy statement on Research Integrity needed	Draft & release policy statement on Research Integrity.☑	NM/RS		●	●																			• RCSI have published a clear Statement on Research Integrity which outlines the key principles and responsibilities of researchers - ttp://www.rcsi.ie/files/SchoolofPGStudies/20160720122530_RCSI_Statement_on_Research_Int.pdf.
	Add link to Research Integrity policy statement to RCSI Researcher Handbook.☑	NM/RS			●																			• A ink to RCSI's Statement on Research Integrity is included in the RCSI Researcher Handbook.
	Subscribe to IUA facilitated Policy Statement on Ensuring Research Integrity in Ireland (upon its release).☑	NOD				♦																		• RCSI subscribed to Policy Statement on Ensuring Research Integrity in Ireland
There is no clause in employment contracts indicating that researchers must be familiar with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.	Insert clause in research contracts indicating that researchers must be familiar with requirements and conditions of any sponsor or funders, independently of the nature of their contract.☑	DF			●	●																		• All RCSI research funded contracts of employement include a specific clause that outlines their responsibilities to familiarise themselves with the requirements and conditions of any sponsor or funders, independently of the nature of their contract.

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

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No gap. There is a policy for the management of research records, lab books & data retention published in the RCSI Researcher Handbook. Researchers undergo compulsory health & safety training at regular intervals (every 2 years). RCSI IT Department policies & procedures are on the staff website. RCSI Guidelines on Good Research Practice.	None	n/a																						N/A

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

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Increased engagement and continued collaboration with industry is needed across RCSI.	Explore provision of training in relation to engaging industry.☑	RS				●	●	●	●															• Innovation team hold quarterly industry engagement training which is open to all researchers.
	Examine opportunities for industry contacts for student placements.☑	RS				●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	• 2016 European MedTech Week - the Innovation team hosted a networking event which was open to researchers including PG students. • The TCD/RCSI TTSI Innovation Showcase is run annually. • RCSI has hired an Innovation Liaison Manager (Dr Seamus Browne) who, amongst other activities, can identifiy opportunities for placements.
Increased RCSI Technology Transfer Office (TTO) communications are required.	TTO to investigate methods of improving communication.☑	RS				♦	♦	♦	♦															• New Innovation website, brochures, Z-cards, newsletter, annual awards established.

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.

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Stronger focus is needed on public engagement by researchers.	As part of the RCSI Learning & Development (L&D) curriculum training course to be introduced to aid researchers in presenting their research to the wider public.☑	CC/ SMD				♦	♦	♦	♦	♦	♦													• A suite of Learning & Development supports have been developed and provided to enable researcher build their overall skill and competency in presenting their research to the wider public through both traditional and social media. The supports are targeted at both experiences and early career researchers. • The programmes now form part of RCSI's 'RCSI Supporting Researchers' series. • The curriculum includes the following (1) "Media Skills for Researchers - Traditional Media" (2) "Media Skills for Researchers - Social Media" (3) "Presenting your Research".

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No evident gender gap.	Despite no evident gender gap, RCSI will undertake a gender review at institutional level.þ	DF/AB					♦	♦	♦	♦	♦													• Gender pay review carried out by the HR Compensation and Benefits team

Policies in relation to support services for researchers who experience discrimination / disabled researchers require formalisation and increased visibility.	Formally communicate the support available for all disabled researchers and those who experience discrimination.	DF						•	•	•														• The RCSI dignity at work policy outlines 'All reasonable steps will be taken to protect a member of staff, who files a complaint, or assists in an investigation from intimidation, victimization or discrimination". The steps available for redress are also outlined in this policy. • The support available for disabled researchers and those who experience discrimination is covered in RCSI induction and all new joiners are made aware of the location of all RCSI policies in this regard. • The RCSI dignity at work policy outlines 'All reasonable steps will be taken to protect a member of staff, who files a complaint, or assists in an investigation from intimidation, victimization or discrimination". The steps available for redress are also outlined in this policy. • The support available for disabled researchers and those who experience discrimination is covered in RCSI induction and all new joiners are made aware of the location of all RCSI policies in this regard.
	Draft policies and procedures relating to disability.	DF				•	•	•	•															• The RCSI "Code of practice for the employment of people with disabilities" is now stored on the RCSI staff portal within the policies and procedures section

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.

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A new Professional Development Planning (PDP) process was introduced to RCSI in 2013. However, it was not mandatory for research staff to participate in the PDP process in 2013.	Carry out performance management needs analysis.☑	SMD/ NOD	✓																					•RCSI continuously review the performance management process. • When required, enhancements are implemented to further support and improve the process. For example, in 2016 the PDP forms were reformatted to provide research staff and managers with clearer guidance to enable better objectives and personal development plans to be set.
	Include all research staff in the 2014 PDP process to facilitate evaluation/appraisal of their performance.☑	DF		•	✓																			• All researchers are included in RCSI's PDP process. • As specific PDP form has been developed for researchers to meet their needs. • The PDP process allows researchers to set objectives and personal development plans and clarify expectations for the coming year. There are also two formal PDP meetings per year to facilitate constructive conversations and appraisal of overall performance. • A number of supports are provided to staff and managers, for example, classroom training and 1-2-1 coaching. • A further review of the process will be undertaken in 2017 to ensure the process remains fit for purpose. · An evaluation/appraisal process will also form part of the Research Career and Development Framework which will be undertaken at committee level. This process will allow for researcher to be provided with constructive feedback.

Theme 2: Recruitment

12. Recruitment: Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
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No Gap. Entry and admission standards for researchers are clearly specified on all advertised job descriptions.	None	n/a																						N/A
Open Recruitment is practiced at RCSI. However, no publically available policy statement on Open Recruitment exists.	Prepare a policy statement on Open Recruitment for Researchers and publish on RCSI website.☑	DF			•	•	•	•																• RCSI have developed and publised a Recruitment and Selection Policy for Researchers on both our internal and external websites. It can be reviewed by clicking on the following link - http://rcsi.ie/files/careers/20170306104048_Recruitment-and-Selection-Poli.pdf.
While recognition of breaks or variations in the chronological order of CVs is practiced at RCSI during research recruitment, no statement of this recognition is included in advertised job descriptions.	Add statement of recognition of breaks or variations in the chronological order of CVs to policy statement on Open Recruitment.	DF				•	•																	• It is clearly stated in our Recruitment and Selection Policy for Researchers and on all job descriptions that RCSI is an equal opportunities employer.

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.

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Open Recruitment is practiced at RCSI. However, no publically available policy statement on Open Recruitment exists.	Prepare a policy statement on Open Recruitment for researchers and publish on the RCSI website.	DF			•	•	•	•																• RCSI have developed and publised a Recruitment and Selection Policy for Researchers on both our internal and external websites. It can be reviewed by clicking on the following link - http://rcsi.ie/files/careers/20170306104048_Recruitment-and-Selection-Poli.pdf.

14. Selection (Code): 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.

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Not all staff members have received interview training.	As part of the Learning and Development curriculum, interview skills training workshop for all research hiring managers / panel members to be available.☑	CC/ SOG		✓																				• All relevant HR staff are fully trained in the area of OTM-R and actively promote and educate others across the institution who become involved in the process. • A blend of supports are made available to individuals sitting on interview panels. All interview panels are issued a handout outlining key factors on how to conduct a fair interview process. Also to support interviewers, our Learning and Development team have developed specific 'Interviewer Skills' classroom and 1-2-1 training supports. The majority of interviewers have been trained or made aware of their role and responsibilities. The 2017 – 2018 Action Plan will focus on enhancing our supports while also tracking and strongly enforcing all interviewers to undergo training prior to sitting on an interview panel.
Selection committees are routinely used for academic appointments at RCSI. These committees include diverse expertise and competencies, are gender balanced 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. Yet, there is no publically available policy regarding the composition of selection committees.	Prepare RCSI Researcher Open Recruitment policy statement for publication on the RCSI website. This document will include the procedures for the composition of selection committees (where used).☑	DF			•	•	•	•																• We have clear guidelines related to the composition of selection committees which are included in our Recruitment and Selection Policy for Researchers. • The majority of committees are sufficiently gender balanced. • In 2017, we have begun to more actively track the composition of selection committees to ensure they are fair and representative. Again this is part of the wider RCSI Athena SWAN initiative.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
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No Gap. Legislation training covered as part of newly introduced and on-going interview skills workshop.	None	n/a																						N/A

Feedback is not routinely provided for contract research positions.	The recruitment and selection policy will be updated to reflect that the Human Resources Recruitment team will facilitate any candidate who requests post interview feedback. This policy will be made available on the RCSI website.☑	DF			♦	♦	♦	♦																• Clear guidelines related to the communications following the recruitment process is included in our Recruitment and Selection Policy for Researchers. • RCSI practice is that all candidates are informed on the outcome of the process. Those unsuccessful at shortlisting stage receive an automated notification from our e-recruitment system. All those who are interviewed are contacted directly by HR or a member of the selection panel.

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.

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No Gap. At the academic level, all selection is carried out using competency based criteria.	None																							N/A
In terms of the contract research selection process, an evaluation template exists but it should be adjusted and made more widely available.	Preparation & dissemination of common evaluation template to be used by all PIs/Managers during the contract researcher selection process. Where appropriate, this evaluation template will include a section for: publications, technical experience, teaching, supervision, teamwork, knowledge transfer, management of research, innovation & public awareness activities.☑	DF				●	●	●																• An editable competency score sheet has been developed and included as part of the RCSI Recruitment Process. • This document forms part of an interviewer's recruitment pack that is available on our intranet.

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.

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No Gap. At the academic level, all selection is carried out using competency based criteria.	None																							N/A
In terms of the contract research selection process, an evaluation template exists but it should be adjusted and made more widely available.	Preparation & dissemination of common evaluation template to be used by all PIs/Managers during the contract researcher selection process. Where appropriate, this evaluation template will include a section for: publications, technical experience, teaching, supervision, teamwork, knowledge transfer, management of research, innovation & public awareness activities.☑	DF				●	●	●																• An editable competency score sheet has been developed and included as part of the RCSI Recruitment Process. • This document forms part of an interviewer's recruitment pack that is available on our intranet.

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.

			13	2014				2015				2016				2017				2018				**STATUS: COMPLETE**
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• All researchers are included in RCSIs PDP process.
No gap. With the exception of those in academic posts who can avail of the promotion process, there is no formal method of recognising the mobility experience of research staff.	Tailor PDP document to suit specific needs of research staff, facilitating a discussion of potential mobility opportunities and experience as appropriate.☑	DF			●	✓																		• A specific PDP form has been developed for rearchers to meet their needs. • The personal development plan allows for an opportunity for staff and managers to discuss and agree, where appropriate, the potential of mobility. • We also provide 1-2-1 career coaching for researchers.

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.

			13	2014				2015				2016				2017				2018				**STATUS: COMPLETE**
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No gap. As part of our Open Recruitment policy all qualifications (formal and non-formal) are reference-checked appropriately. Experience in other sectors or locations are appropriately recognised.	None	n/a																						N/A

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	N/A
No gap at RCSI	None	n/a																						

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• An editable competency score sheet has been developed and included as part of the RCSI Recruitment Process. • This document forms part of an interviewers recruitment pack that is available on our intranet.
In terms of the contract research selection process, an evaluation template exists but it should be updated and made more widely available.	Preparation & dissemination of a common evaluation template to be used by all PIs/Managers during the contract researcher selection process. Where appropriate, this evaluation template will include a section for: publications, technical experience, teaching, supervision, teamwork, knowledge transfer, management of research, innovation & public engagement activities.☑	DF				•	•	•																

Theme 3: Working conditions and social security

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

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	N/A
No gap at RCSI. All research staff are treated as professionals within RCSI and are afforded the same supports and benefits as all other RCSI Staff. Research postgraduates are treated as professionals in training and they sign RCSI contracts on commencement of their studies.	None	n/a																						

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.

			13	2014				2015				2016				2017				2018				STATUS: SUBSTANTIALLY COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• IT continuously engages with the research community and provides ongoing supports and services including Hardware Purchases, configuration and related supports through our Helpdesk. • IT have developed an online Research Day application which is an end to end CRM solution used by both researchers and ORI staff. It has removed the manual aspect of Research Day preparation by both ORI and researchers from the process. • A key deliverable for the 2017 will be the configuration and implementation of a Research Information and Management System. Tender process ongoing.
IT suite of services does not currently fully support the requirements of the research community.	IT Department to actively engage with research community and develop plan for improvement in this area.☑	EK						•	•	•	•													
Many researchers are not aware of RCSI's core research facilities access policy.	Better communication from the Research Office required to make all researchers aware of this policy and of the equipment that may be used.	PdP/ SOC				•	•	•	•	•	•													• Establishment of Research Laboratory Managers' Group; training on some equipment now offered; access policies for recent equipment in process. As facilities come on stream the newly appointed Research Institute Support & Development Manager will be responsible for communicating information on access. In progress.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	

No Gap. RCSI has policies for part-time working, sabbatical leave etc.	None.	n/a																						N/A
Policies in relation to support services for disabled researchers require formalisation and increased visibility.	Formally communicate support available for all disabled researchers.	DF						●	●	●														• RCSI have specialist resources, within our Estates Department, who provide supports to all researchers with disabilities. These supports and contact points are clearly communicated during the recruitment process and again at induction. • We have developed and published our RCSI Code of Practice for the Employment of People with Disabilities which outlines our committment to provide equal opportunities and supports to people with disabilities.
Policies and procedures are not communicated in multiple accessible formats.	Investigated options for accessible formatting of policies and procedures for disabled researchers.	DF					●	●	●															• Request was made to the RCSI Communications dept. via the Health and Safety Dept. to investigate options for accessible formatting of policies but no viable options were agreed upon due to budget constraints. Further action should be taken in conjunction with the communication dept. to progress.
	Draft policies and procedures relating to disability	DF				●	●	●	●															• We have developed and published our RCSI Code of Practice for the Employment of People with Disabilities which outlines our committment to provide equal opportunities and supports to people with disabilities.
Paid Maternity/adoptive/sick leave for contract research staff is dependent on Terms and Conditions of the body funding their salary. Researchers are frequently unclear as to their entitlements.	Request formal confirmation from each funding body in relation to their maternity leave and sick leave policy. Place this on the RCSI Staff portal.☑	CM				●	●																	• It is RCSI's practice that we cover the top up costs, in instances where a funding agency confirms with RCSI that they do not cover maternity / adoptive / sick leave. • Links to specific information provided in Researchers' Handbook which is available on internal portal. • HR provide guidance and supports to researchers upon confirmation of their intention to take maternity leave.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
RCSI is fully compliant with the Fixed Term Workers Act 2003. All employees are given written employment contracts.	None.	n/a																						N/A

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No Gap. RCSI researcher salaries are awarded according to the Irish Universities Association (IUA) researcher scales.	None.	n/a																						N/A
Paid Maternity/adoptive/sick leave for contract research staff is dependent on Terms and Conditions of the body funding their salary. Researchers are frequently unclear as to their entitlements.	Request formal confirmation from each funding body in relation to their maternity leave and sick leave policy. Place this on the RCSI Staff portal.	CM				●	●																	• It is RCSI's practice that we cover the top up costs, in instances where a funding agency confirms with RCSI that they do not cover maternity / adoptive / sick leave. • Links to specific information provided in Researchers' Handbook which is available on internal portal. • HR provide guidance and supports to researchers upon confirmation of their intention to take maternity leave.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• RCSI have undertaked a gender gap analysis.
No evident gender gap.	Despite no evident gender gap, RCSI will undertake a gender review at institutional level.☑	DF/AB					♦	♦	♦	♦	♦													• A further gender analysis and the implementation of new tracking processes will be undertaken in 2017 as part of our institutional commitments to Athena SWAN.

Selection committees are routinely used for academic appointments at RCSI. These committees include diverse expertise and competencies, are gender balanced 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. Yet, there is no publically available policy regarding the composition of selection committees.	Prepare RCSI Researcher Open Recruitment policy statement for publication on the RCSI website. This policy will include the procedures for the composition of selection committees (where used).☑	DF			•	•	•	•																• We have clear guidelines related to the composition of selection committees which are included in our Recruitment and Selection Policy for Researchers. • The majority of committees are sufficiently gender balanced. • In 2017, we have begun to more actively track the composition of selection committees to ensure they are fair and representative. Again this is part of the wider RCSI Athena SWAN initiative.

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.

			13	2014				2015				2016				2017				2018				**STATUS: SUBSTANTIALLY COMPLETE**
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	
No career development strategy or research career framework at present	Develop an RCSI Research Career Framework and associated Career Development Strategy	PdP/ NOD/ DF/CC/ SMD			•	•	•	•	•	•	•	•	•	•	•	•	•							• HR and the ORI have collaborately developed a Researcher Career and Development Framwork. A number of research information and consultative groups also provided their feedback during the development process. • The framework provides a clear structure on progression and outlines the supports available to researchers to support career progression. • The framework was approved in March 2017 and will be implemented in Q2 2017.
	Include all research staff in the 2014 PDP process to facilitate discussion of and support with career development, thus identifying & supporting development needs of individual researchers.☑	DF		•	✓																			• All researchers are included in RCSIs PDP process. • A specific PDP form has been developed for rearchers to meet their needs. • The personal development plan allows for an opportunity for staff and managers to discuss and agree, where appropriate, the potential of mobility. • We also provide 1-2-1 career coaching for researchers.
Lack of dedicated careers advice for Research Staff.	Carry out needs analysis in relation to career coaching ☑	SMD/ NOD/ CC	✓																					• A needs analysis in relation to career coaching was undertaken.
	Explore options to provide access to career coaching for researchers ☑	CC/ SMD			•	•	•																	• Specialist career coaching for researchers now open to our Researchers (all levels) approx. 3 times per year. • The HR Partner for Reseracher is available to offer career advice and coaching to researchers. • In 2017, RCSI will develop and deliver researcher career development workshops which will include a section on cv prep and interview tips
	Explore options to develop a section on researcher development on the staff portal with support materials on CVs, interview skills etc.; relevant links	DF			•	•	•	•	•															• RCSI have reviewed potential options and are in the process of developing a specific section on the staff portal which will provide researcher career materials. This will be in addition to the researcher career development workshops which will include a section on cv prep and interview tips.

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

			13	2014				2015				2016				2017				2018				**STATUS: COMPLETE**
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	

RCSI Researcher Handbook includes a section on 'managing incoming and outgoing mobility' which includes policies and procedures for the secondment of research staff, incoming visiting scientists and the mobility of postgraduate students.	Update secondment process to 2014 guidelines.☑	MK			•	•	•																	• RCSI have devleoped a clear secondment process which is included in the Researcher Handbook. • RCSI have also hired a Research Contracts Officer to support and provide guidance to researchers throughout the secondment process.
With the exception of those in academic posts who can avail of the promotion process, there is no formal method of recognising the mobility experience of research staff.	Tailor PDP document to suit specific needs of research staff, facilitating a discussion of potential mobility opportunities and experience as appropriate.☑	DF		•	✓																			• All researchers are included in RCSIs PDP process. • A specific PDP form has been developed for researchers to meet their needs. • The personal development plan allows for an opportunity for staff and managers to discuss and agree, where appropriate, the potential of mobility. • We also provide 1-2-1 career coaching for researchers.
No career framework for researchers incorporating research mobility.	Recognition of mobility should be incorporated into the RCSI Researcher Career Framework.☑	PdP/ NOD/ DF/CC/ SMD				•	•	•	•	•	•	•	•	•	•	•	•	•	•					• HR and the ORI have collaborately developed a Researcher Career and Development Framwork. A number of research information and consultative groups also provided their feedback during the development process. • The framework provides a clear structure on progression and outlines the supports available to researchers to support career progression. It also recognises mobility as a key criteria. • The framework was approved in March 2017 and will be implemented in Q2 2017.
No Gap. RCSI Postgraduate Researchers are encouraged and supported to part-take in mobility experience.	None	n/a																						N/A
No specific process for supporting incoming researchers from other geographic regions.	Agree a process for supporting incoming researchers to assist integration into new location.☑	DF/AF					•	•	•															• RCSI have developed a number of initiatives to support and integrate incoming researchers into RCSI. In addition to RCSI's induction, the Office of Research and Innovation hold a Welcome Session to informally meet with new researchers, create a network for the new hires and outline the supports available to them. • An Induction Checklist is made avaiable to all hiring managers to ensure the smooth integration to the Team/Department.
	Tailor the induction pack for researchers to include mobility aspects.☑	DF/AF					•	•	•															• RCSI supports incoming Visiting Scientists (researchers) who attend RCSI in an unpaid visiting capacity for the purpose of training or staff exchange, work experience or mobility programme. Procedures & supports for such staff are outlined in the Research handbook available on the staff portal. An overview of supports available is provided in the researcher section of RCSI induction.
	Assist new joiners by communicating relevant information available for mobile researchers on the RCSI website (including Euraxess links) ☑	DF/AF					•	•	•															• Procedures & supports for mobile researchers are outlined in the Research handbook available on the staff portal including links to all relevant websites including Euraxess.

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..

			13	2014				2015				2016				2017				2018				STATUS: SUBSTANTIALLY COMPLETE
Existing RCSI practices/policies & any gaps	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
	Carry out needs analysis in relation to career coaching. ☑	SMD/ NOD	✓																					• An analysis of career coaching was undertaken.
	Where appropriate explore options to:																							
	• Provide access to career coaching for researchers ☑	CC/ SMD			•	•	•																	• Specialist career coaching for researchers now open to our Researchers (all levels) approx. 3 times per year.

Lack of dedicated careers advice for Research Staff.	• Look at scoping a service to assist researchers coming to the end of their contracted time with RCSI. Provide advice/guidance on CV preparation, Interview skills etc.	DF					●	●	●															• Specialist career coaching for researchers now open to our Researchers (all levels) approx. 3 times per year. This programme provides career guidance to support researchers plan the career in the short and longer term. • An interview skills training course has been developed and is available to all researchers. • The HR Business Partner is also a dedicated resource should they want to discuss career development or require assistance with CV, interview skills etc.
	• Develop a training course on Interview Skills / CV Preparation aimed at researchers ☑	CC			●	●	●																	• An interview skills training course has been developed and is available to all researchers.
	◦ Develop a section on researcher development on the staff portal with support materials on CV Prep, Interview Skills etc. And useful links to other sites.	DF/SOG			●	●	●	●	●															• RCSI have reviewed potential options and are in the process of developing a specific section on the staff portal which will provide researcher career materials. This will be in addition to the researcher career development workshops which will include a section on cv prep and interview tips.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Increased RCSI TTO communications are required.	Technology Transfer Office to investigate methods of improving communication.þ	RS				♦	♦	♦	♦															• New Innovation website, brochures, Z-cards, newsletter, workshops, annual awards established.

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 recognized 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)

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No Gap. There is a policy for the management of co-authorship published in the RCSI Researcher Handbook	Consideration to be given to the appointment of Research Ombudsman to deal with author disputes. ☑	RS/ NM						●	●	●	●	●	●	●	●									• RCSI developed and published a Protected Disclosure policy which covers all staff and students of the College. As part of the introduction of this policy we have engaged the services of an external Ombudsman to whom protected disclosures can be made in addition to internal College channels. A communications campaign to raise awareness of this has run on an annual basis since the introduction of the policy. • A Scholarly Communications & Research Support Officer and an Associate Librarian for Education, Research & Clinical Support have been appointed and they can offer advice on best practice in relation to publishing.

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.

			13	2014				2015				2016				2017				2018				STATUS: SUBSTANTIALLY COMPLETE
Existing RCSI practices/policies & gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• All researchers are included in RCSI's PDP process.

With the exception of those in academic posts who can avail of the promotion process, there is no formal method of recognising the supervision and teaching duties of research staff.	Tailor PDP document to suit specific needs of research staff, incorporating the appropriate recognition of supervision and teaching duties, and a discussion of potential teaching opportunities as appropriate ☑.	DF		●	✓																			• A specific PDP form has been developed for rearchers to meet their needs. • The PDP process allows researchers to set objectives and personal development plans and clarify expectations for the coming year. There are also two formal PDP meetings per year with supervisors to facilitate constructive conversations and appraisal of overall performance. • In 2017, as part of the Researcher Career Development Framework, RCSI will will explore the feasibility of different training options in consultation with the Health Professions Education Centre to support postdoctoral researchers.
In relation to academic promotion, formal acknowledgement of supervision in terms of teaching load is lacking	In assessing academic promotion, consideration to be given to placing supervision of postgraduate students & other postgraduate teaching within the 'Education Pillar' as opposed to the 'Research Pillar' ☑.	RS				●	●	●	●															• The supervision of postgraduate students & other postgraduate teaching within is evaluated under the 'Education Pillar' as opposed to the 'Research Pillar'.
No structured support is in place for building a researcher's teaching skillset.	Work with the Health Professionals Education Centre (HPEC) to ensure that research staff can participate in the 'Educator's Toolkit' when the programme commences.	CC/TP					●	●	●	●														• In 2017, as part of the Researcher Career Development Framework, RCSI will will explore the feasibility of different training options in consultation with the Health Professions Education Centre to support postdoctoral researchers.
	Ensure appropriate alignment takes place with faculty to enable practical application	RS / HMG						●	●	●	●	●	●	●	●	●	●	●						

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 & informal assistance in resolving work-related conflicts, disputes & grievances, with the aim of promoting fair & equitable treatment within the institution & improving the overall quality of the working environment.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies & gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
There is a policy for the management of co-authorship and a procedure for complaints in regards to co-authorship which is published in the RCSI Researcher Handbook.	Consideration to be given to the appointment of a Research Ombudsman to deal with author disputes when internal procedures fail to reach a settlement ☑.	RS/NM						♦	♦	♦	♦	♦	♦	♦	♦									• RCSI developed and published a Protected Disclosure policy which covers all staff and students of the College. As part of the introduction of this policy we have engaged the services of an external Ombudsman to whom protected disclosures can be made in addition to internal College channels. A communications campaign to raise awareness of this has run on an annual basis since the introduction of the policy.
While there is a procedure in place for complaints and appeals for research students, there is no contact point identified for research staff.	Communicate the appeals process effectively ☑.	RS/NM						●	●	●	●	●	●	●	●									
	Where internal processes have been exhausted or deemed inappropriate, consideration to be given to the appointment of a Research Ombudsman as the arbitrator in research based conflicts ☑.	RS/NM						●	●	●	●	●	●	●	●									

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 & promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

			13	2014				2015				2016				2017				2018				STATUS: SUBSTANTIALLY COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No Gap. There are research representatives on decision making bodies at RCSI where appropriate.	None																							N/A
Perceived insufficient communication from Research Committee to the RCSI research community.	Better communication to the research community to relay significant outcomes of meetings via townhall & Researcher forum ☑.	SOC/ RS			●	●	●																	• Research is a regular focus at our RCSI's townhall meetings. • A number of information sharing and consultative groups have been established to better share key activities within Research.
	Update link on the staff portal re committee names, roles and meeting outputs.	SOC			●	●	●																	• The Research Institute Support & Development Manager is developing a line of research-related communications which will roll out in 2017 and will include committee related information.

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

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	

No gap. A subsection on supervision and training is included in the Research Ethics and Integrity section of the RCSI Research Handbook. Supervisors of RCSI research students are made aware of their general responsibilities in the booklet, *Royal College of Surgeons in Ireland, Postgraduate Research Student Guide, Higher Degrees by Research, 2006 – 2007* , which is updated annually. This provides general direction on matters such as frequency of contact, progress monitoring, and the broader developmental needs of postgraduate researchers. Supervisors are also referred to the UK National Postgraduate Committee's Guidelines for Codes of Practice for Postgraduate Research, which deals with supervisor responsibilities.	None	n/a																						N/A

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

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
No gap in policy. Supervision and training is included in the Research Ethics and Integrity section of the RCSI Research Handbook. It outlines supervisors' obligations in terms of checking the research records/reports of their researchers on a regular basis. Researchers being supervised by newly appointed academic staff are also assigned a senior co-supervisor. Supervisors of RCSI research students are made aware of their general responsibilities in the booklet, *Royal College of Surgeons in Ireland, Postgraduate Research Student Guide, Higher Degrees by Research, 2006 – 2007* , which is updated annually. This provides general direction on matters such as frequency of contact, progress monitoring, and the broader developmental needs of postgraduate researchers. Supervisors are also referred to the UK National Postgraduate Committee's Guidelines for Codes of Practice for Postgraduate Research, which deals with supervisor responsibilities.	None.	n/a																						N/A
Gap analysis of practice did however reveal lack of formal record of feedback to research staff on performance and professional development as supervisors.	PDP to be used as a reference document to record feedback and development opportunities ☑.	DF		•	✓																			• All researchers are included in RCSI's PDP process. • As specific PDP form has been developed for researchers to meet their needs. • The PDP process allows researchers to set objectives and personal development plans and clarify expectations for the coming year. There are also two formal PDP meetings per year to facilitate constructive conversations and appraisal of overall performance. • A number of supports are provided to staff and managers, for example, classroom training and 1-2-1 coaching. • A further review of the process will be undertaken in 2017 to ensure the process remains fit for purpose.
Gap analysis of practice did however reveal lack of proper support and feedback on quality of student supervision by academic staff.	PDP to provide constructive feedback, and evaluate and enhance supervisory competence, ensuring that career development for junior researchers is given sufficient priority ☑.	DF		•	✓																			• In additional to the above, RCSI will be delivering a Management Development Programme in 2017 to enhance and develop overall management capbaility and competency. This will include a section on staff development.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	• HR and the ORI have collaborately developed a Researcher Career

No Career Development Strategy or Research Career Framework at present	Develop an RCSI Research Career Framework and associated career development strategy ☑	PdP/ NOD/ DF/CC/ SMD			●	●	●	●	●	●	●	●	●	●	●	●	●	●						and Development Framwork. A number of research information and consultative groups also provided their feedback during the development process. • The framework provides a clear structure on progression and outlines the supports available to researchers to support career progression. It also recognises mobility as a key criteria. • The framework was approved in March 2017 and will be implemented in Q2 2017.
	Include all research staff in the 2014 PDP process to facilitate discussion of and support with career development, thus identifying and supporting the development needs of individual researchers ☑.	DF		●	✓																			• All researchers are included in RCSIs PDP process. • As specific PDP form has been developed for researchers to meet their needs. • The PDP process allows researchers to set objectives and personal development plans and clarify expectations for the coming year. There are also two formal PDP meetings per year to facilitate constructive conversations and appraisal of overall performance. • A number of supports are provided to staff and managers, for example, classroom training and 1-2-1 coaching. • A further review of the process will be undertaken in 2017 to ensure the process remains fit for purpose.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	
A wider range of courses needs to be offered to researchers in line with their identified needs.	Carry out Training Priority Needs Analysis ☑	SMD/ NOD/ CC	✓																					• Learning and Development have carried out a Training Priority Need Analysis. • Learning and Development continuously review the training offering to identify trends, demand and ensure it meets both the needs of RCSI and staff.
	As part of the on-going RCSI learning and development curriculum, develop a suite of training interventions for researchers of all career levels to develop the appropriate competencies ☑.	CC/ SMD		●	●	●	●	●	●	●	●													• A comprehensive suite of training courses are now available to staff which we are continuing to add to. These include full day, half day and lunchtime workshops to ensure accessibility to all. Online learning resources are also available to researchers include a) Nature Masterclasses and b) Vitae member resources.
	As part of HR monitoring of metrics, track and report on all researcher training initiatives ☑	CC/ SMD			♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	♦	• Metrics on all training attendees are available.
	Leverage existing training interventions to all research staff where appropriate. Explore leveraging 3U relationship for training access exchange ☑.	CC				●	●	●	●	●	●													• We have developed an 'Upcoming Courses' page on Staff Portal which is a centralised repository of supports that are available to all research staff.

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.

			13	2014				2015				2016				2017				2018				STATUS: COMPLETE
Existing RCSI practices/policies and any gaps found	*Action(s) required*	*Owner*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	*Q1*	*Q2*	*Q3*	*Q4*	

No gap in policy. Supervision and training is included in the Research Ethics and Integrity section of the RCSI Research Handbook. It outlines the obligations of supervisors in terms of checking the research records/reports of their researchers on a regular basis. Researchers being supervised by newly appointed academic staff are also assigned a senior co-supervisor. Supervisors of RCSI research students are made aware of their general responsibilities in the booklet, *Royal College of Surgeons in Ireland, Postgraduate Research Student Guide, Higher Degrees by Research, 2006-2007* , which is updated annually. This provides general direction on matters such as frequency of contact, progress monitoring, and the broader developmental needs of postgraduate researchers. Supervisors are also referred to the UK National Postgraduate Committee's Guidelines for Codes of Practice for Postgraduate Research, which deals with responsibilities of the supervisor.	None required.	**n/a**																						N/A
No compulsory supervisory skills training is in place at RCSI	In line with peer institutions, mandatory supervisory skills training to be introduced for all new supervisors ☑.	NM			•	•	•	•	•	•	•	•	•	•									• The School of Postgraduate Studies have developed a supervisory skills online module which is available to all supervisors. As set out in RCSI's Researcher Career and Development Framework, supervisory skills training is now a mandatory requirement for those with supervisory responsibilities. • HR have also developed a management development programme for all staff with management responsibilities. The purpose of the programme is to provide managers with the key skills and competencies to manage their staff effectively.
Lack of proper support and feedback on quality of student supervision by academic staff.	PDP to provide constructive feedback, and evaluate and enhance supervisory competence, ensuring that career development for junior researchers is given sufficient priority ☑.	DF		•	✓																		• All researchers are included in RCSIs PDP process. • As specific PDP form has been developed for researchers to meet their needs. • The PDP process allows researchers to set objectives and personal development plans and clarify expectations for the coming year. There are also two formal PDP meetings per year to facilitate constructive conversations and appraisal of overall performance. • A number of supports are provided to staff and managers, for example, classroom training and 1-2-1 coaching. • A further review of the process will be undertaken in 2017 to ensure the process remains fit for purpose. • RCSI will be delivering a Management Development Programme in 2017 to enhance and develop overall management capbaility and competency. This will include a section of staff development.