

**Proposed
ACTIONS**

Action 1

Integration of the national Policy on Research Integrity principles into DCU internal Code of Good Research Practice

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
| 1. Research freedom | Q4 2015 | Research Innovation Support | Website |
| Current Status | Remarks | | |
| COMPLETED | Code of Good Research Practice, Research Misconduct Policy and Code of Practice on Authorship in place. Continuous monitoring & improving Principles included in the comprehensive Good Research Guide under the following link https://www.dcu.ie/system/files/finance_editor/2022-03/144_code_of_research_practice_v2.1.pdf | | |

**Proposed
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Action 2

Develop and implement mechanisms to embed the principles of Ireland's National Policy on Research Integrity across DCU

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
| 1. Research freedom | Q3 2022 | Research Innovation Support | Completion of 3 year pilot |
| Current Status | Remarks | | |
| COMPLETED | <p>Research Integrity Training Programme http://www.dcu.ie/graduate_research/Research-Integrity-Training-Programme.shtml-1 has been jointly developed by RIS and the Graduate Studies Office. Compulsory for PhD students. The National Forum on Research Integrity has put in place a three-year pilot allowing access for Irish Research Performing Organisations (RPOs) to an online Research Integrity training programme offered by Epigeum Ltd (UK). The overall objective of this initiative is to add to the Irish Research Performing Organisations' activities to reinforce responsible conduct of research by providing a minimum level of training for research-active staff and postgraduate students across all state-funded RPOs. DCU is committed to the full implementation of this national initiative. In order to promote best practice in responsible research behaviour, DCU provide training on Research Integrity. This includes online Research Integrity modules tailored for early stage researchers and experienced researchers, plus a Research Integrity Training Programme targeted at graduate research students. Research integrity is a key component in the induction of staff and research students, and presentations and resources are made available to the DCU research community via the Research Support section of the website</p> | | |

**Proposed
ACTIONS**

Action 3

DCU undertakes to make public its internal processes in relation to ethics approval processes in DCU.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|--|-----------------------------|---------------------------------|
| 2. Ethical principles | Q2 2016 | Research Innovation Support | Website |
| Current Status | Remarks | | |
| COMPLETED | A statement about DCU approach to RI/Ethics now externally accessible on the DCU website https://www.dcu.ie/research/research-ethics-and-integrity-dcu | | |

Action 4

Improvement internal accessibility to guidelines and information in relation to the use of animals in research.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 2. Ethical principles | Q4 2016 | RIS | Website |
| Current Status | Remarks | | |
| COMPLETED | Policy for Research using animals approved, website for internal processes created https://www.dcu.ie/researchsupport/news/2016/Oct/New-DCU-Policy-for-Use-Animals-for-Scientific-or-Educational-Purposes , new Animal Welfare Body established. | | |

**Proposed
ACTIONS**

Action 5

Induction Information for new researchers to increase awareness of their professional responsibilities.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------------|---|-------------------------|---------------------------------|
| 3. Professional responsibility | Q1 2018 | HR | Website |
| Current Status | Remarks | | |
| COMPLETED | <p>The Policies section of the DCU website has a starter pack https://www.dcu.ie/policies/policy-starter-packs-policies-and-core-documents#bootstrap1 which is specific to new research staff with relevant policies. This has evolved to include a full day orientation for Researchers at DCU in addition to the more general Orientation https://www.dcu.ie/hr/dcu-events/2022/jun/dcu-new-staff-orientation-academics-and-researchers-day-2-face-face-session This includes the opportunity to meet with the Deputy President. The Policy Starter Packs and Information Pages have also been updated and are updated on an annual basis. The launch of the Researcher Development Hub https://www.dcu.ie/hr/researcher-development-hub has further enhanced awareness of professional development responsibilities and opportunities from day 1 for Research colleagues. In the 2021 All staff Survey, levels of satisfaction with the induction process was 3% higher within the research community when compared with all other staff.</p> | | |

**Proposed
ACTIONS**

Action 6

New IT system to increase compliance with internal approval processes for research projects.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| 4. Professional attitude | Q4 2016 | RIS | TORA usage statistics |
|--------------------------|---------|-----|-----------------------|

| Current Status | Remarks |
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| COMPLETED | TORA was introduced as a new Research Application and Award Management system. The system facilitates seamless integration from institutional approval of funding applications, through to the recording of successful awards and their associated budgets, and finally to the management of post-award financials. This system has increased internal approval process compliance. |
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Action 7

Increase awareness among researchers of their obligations in relation to their funded research.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| 4. Professional attitude | Q3 2016 | RIS | Website and Newsletter |
|--------------------------|---------|-----|------------------------|

| Current Status | Remarks |
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| COMPLETED | PI alerted to their responsibilities upon award. Research related policies accessible from website under https://www.dcu.ie/policies/policy-starter-packs-policies-and-core-documents In addition there is a regular Newsletter issued from the Research Innovation Office providing information to the Research and overall University Community. |
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**Proposed
ACTIONS**

Action 8

Better procedures and guidelines for researchers re. responsibility for accountability in their research.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|--|---------------------------------------|------------------------------------|
| 6. Accountability | Q4 2017 | RIS, Finance, Graduate Studies Office | Research Ethics Committee Feedback |
| Current Status | Remarks | | |
| COMPLETED | <p>The STEP centralised research administration unit assists with financial management and accountability of research projects and assist with compliance with the funding body's terms and conditions. The university is also in the process of upgrading the research application and awards management system which when finish will provide researchers with an excellent tool to manage the financial issues associated to research projects. The Code for Good Research Practice has been updated to align it with the National Guidelines for Research Integrity and we have issued a new code of practice on Authorship. In addition he Research Ethics Committee (REC) provide guidelines on the ethics application process on their webpages. The REC have also begun developing their own guideline statements on particular areas of research, in order to better inform researchers on how to approach ethical issues - these will be available on the website also. The REC moved to a logic based online application form in Sept 2017. These measures assist researchers in the ethical conduct of their research project and associated considerations regarding data management and retention. Faculty of Humanities & Social Sciences established a Faculty level REC for low-risk projects that is soon to be piloted across other faculties. This has streamlined the REC approval process for researchers.</p> | | |

**Proposed
ACTIONS**

Action 9

DCU will conduct an audit of current practices in relation to retention of research data - best practice

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 6. Accountability | Q4 2016 | RIS, Library, ISS | Website |
| Current Status | Remarks | | |
| COMPLETED | Survey on research data management completed. A number of RDM Resources now available via the Research Integrity webpage https://www.dcu.ie/researchsupport/research_integrity.shtml Research Development running a series of application based workshops with one centred on data management and writing a data management plan. Comprehensive document was prepared and is now available for all researchers: https://www.dcu.ie/sites/default/files/inline-files/rdm_guidance_feb-2022_0.pdf | | |

**Proposed
ACTIONS**

Action 10

Open access publication and DCU's process for exploiting research results-improved guidance

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|-------------------------|---------------------------------|
| 8. Dissemination, exploitation of results | Q3 2016 | RIS, Library | Website |
| Current Status | Remarks | | |
| COMPLETED | <p>New IP policy approved and on website https://www.dcu.ie/sites/default/files/policy/54_intellectual_property_policy_vpri_v2.0.pdf Statement on Open Access is now also published on the website https://www.dcu.ie/library/information/researchers/researchers.shtml A taskforce on open research has been established which will provide further guidance. DCU has established its own open access repository, DORAS, which PhD students are required to submit their thesis to at completion. Faculty are encouraged to deposit their publications in this repository. DCU Press is Ireland's only Open Access Academic Press https://www.dcupress.dcu.ie/. The DCU Library has created a guide to all OA publishing agreements available here: https://dcu.libguides.com/OA_Agreements. Through the team of Subject Librarians, there are regular updates to all Faculties on new OA deals, etc. The Library also promotes these agreements via sessions for staff, at Research Centre meetings, etc.</p> | | |

**Proposed
ACTIONS**

Action 11

Conduct periodic audits to ensure terms and conditions letters are issued for funded Post Graduate Researchers

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------------------|---|-------------------------|---------------------------------|
| 5. Contractual and legal obligations | Q1 2016, 17, 18, 19, 20 | GSO | Audit outcomes |
| Current Status | Remarks | | |
| COMPLETED | Audits conducted every year. Satisfied that this action can be closed now. These are Regulated requirements as per PGR Regulations. | | |

Action 12

See actions 1 and 2

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|------------------------------|---|-------------------------|----------------------------------|
| 7. Good practice in research | As per action 1 and 2 | RIS | Website and 3 year pilot outcome |
| Current Status | Remarks | | |
| COMPLETED | Please see actions 1 and 2. | | |

**Proposed
ACTIONS**

Action 13

Communication of research to non-expert audiences - increase awareness of existing training ops

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|--|-------------------------|---------------------------------|
| 9. Public engagement | Q 2 2016 | HR, RIS | Newsletter |
| Current Status | Remarks | | |
| COMPLETED | <p>Maximising your Research Profile + Communications Training for Researchers and Academics courses available. In addition there is a regular Newsletter from the Research Innovation Office providing information to the Research and overall University Community The Centre for Engaged Research works towards sharing knowledge, building capacity, promoting community/university partnerships, addressing social need, co-creating with communities, and exploring the role of new technologies. The Centre organises events to facilitate public engagement and also policy briefings for funders. It also provides a number of guides to assist researchers to maximise the opportunities of engaged research: https://www.dcu.ie/engaged-research/guides-engaged-research</p> | | |

**Proposed
ACTIONS**

Action 14

Ensure full implementation of existing PMDS, Probation procedures and support systems and continue to monitor completion rates for PMDS and Probation reviews.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-----------------------------------|---|-------------------------|---------------------------------|
| 11. Evaluation/ appraisal systems | Q4 2024 | HR | Working group outcomes |

| Current Status | Remarks |
|-----------------------|---|
| IN PROGRESS | A new Performance Review and Development (PRD) Scheme was introduced in the University in 2021 under a pilot scheme. The scheme caters for Research staff with a dedicated template for Researchers which aligns to the Research Career Framework. Unfortunately, no researchers participated in the PRD Pilot. This still requires some further work as we continue to pilot the PRD scheme across the University. An additional action may be required here to understand and remove any blockers to Researchers participating in PRD. Further investigation into practices around Probation Reviews for Researchers to be carried out. |

**Proposed
ACTIONS**

Action 15

Conduct an initiative to encourage the adoption of the Guide of Good Practice in the Recruitment and Selection of Research Students.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 13. Recruitment (Code) | Q2 2016 | GSO | website |
| Current Status | Remarks | | |
| COMPLETED | Guide of Good Practice in the Recruitment and Selection of Research Students is now in place: https://www.dcu.ie/sites/default/files/graduate_research/guidance_notes_for_recruitment_of_research_students.pdf Second guide is the Graduate Research Guide: https://www.dcu.ie/sites/default/files/inline-files/gso_booklet_21_22_final_0.pdf The latter is updated and published by the GSO annually (2022-23 version is forthcoming). Our new Student Information System has enhanced the application process with research specific questions, interviews and references as necessary to benefit appropriate selection. | | |

Action 16

Integrate Unconscious Bias training into the initiatives that support the recruitment and selection process.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|----------------------------------|
| 14. Selection (Code) | Q2 2016 | HR | Learning and Development records |
| Current Status | Remarks | | |
| COMPLETED | Training for APC, Review Boards complete. Training including for interview panel members is ongoing. Unconscious bias is a focus of our Equality, Diversity & Inclusion 'Essential eLearning' which all relevant colleagues are asked to complete. In 2021, 570 colleagues completed this module. | | |

**Proposed
ACTIONS**

Action 17

Revise professional development (Interviewing, Supervision) for PIs to include reference to the DCU Guide of Good Practice in the Recruitment GSO, HR and Selection of Research Students

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 14. Selection (Code) | Q2 2016 | GSO | website |
| Current Status | Remarks | | |
| COMPLETED | Guide of Good Practice in the Recruitment and Selection of Research Students is now in place: https://www.dcu.ie/sites/default/files/graduate_research/guidance_notes_for_recruitment_of_research_students.pdf Second guide is the Graduate Research Guide: https://www.dcu.ie/sites/default/files/inline-files/gso_booklet_21_22_final_0.pdf The latter is updated and published by the GSO annually (2022-23 version is forthcoming). Our new Student Information System has enhanced the application process with research specific questions, interviews and references as necessary to benefit appropriate selection. | | |

Action 18

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------------------|---|-------------------------|---|
| 21. Postdoctoral appointments (Code) | Q1 2020, 21, 22 | HR | RCF review outcomes from HR Business Partners and PIs |
| Current Status | Remarks | | |

**Proposed
ACTIONS**

| Action 18 | Current Status | Remarks |
|--|----------------|---|
| Complete the process to communicate the explicit aims, purpose and benefits of the Research Career Framework (RCF), including the context in which the RCF operates, to ensure continuous and sustained understanding by all stakeholders. | COMPLETED | - There is ongoing engagement with each of the Faculties on the Researcher Career Framework. - Focus on embedding the Framework has continued over the last number of years - this has included 1) the creation of the Researcher Development Hub https://www.dcu.ie/hr/researcher-development-hub , where access is situated among other L&OD researcher development resources. 2) The alignment of Professional development courses, workshops and resources with the levels of the Researcher Career Framework. https://www.dcu.ie/sites/default/files/2020-12/alignment-rcf.pdf 3) The launch of the Researcher Development Guide in 2022, which assists researchers in navigating the supports and career development opportunities that DCU offers, including the RCF. https://www.dcu.ie/sites/default/files/staff/2022-01/Researcher%20Development%20Guide%20Dec%202021.pdf 4) The inclusion of the Framework in key processes such as Performance Review and Development (PRD) means that the aims, purpose and benefits and continuously communicated and linked to the way colleagues develop in the University. 2021 Staff Survey results indicate that 69% of researcher respondents are very satisfied with the support they get from their PI in relation to career development - this is 22% higher than the all staff response (47%) [Complete] |

**Proposed
ACTIONS**

Action 19

Improve communication to researchers of the researcher training and development opportunities offered by the University.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------|--|-------------------------|---------------------------------|
| 23. Research environment | Q1 2019,20,21 | HR, RIS | Newsletter |
| Current Status | Remarks | | |
| COMPLETED | HR with RIS make regular communications via the RIS newsletter and specific mailing lists. HR will be conducting regular review with PIs and Post Docs with the focus on their PD needs and effectiveness of the current research development programme. HR Learning & Development Newsletters are sent to all DCU staff and in 2021/2022 we had 231 instances of attendance by 87 researchers at L&D arranged events demonstrating that the communication strategy is working. Larger events and other courses aimed at researchers are also publicised through social media channels, such as Twitter. In the 2021 staff survey an exceptional 94% of researchers are 'aware of the L&D opportunities available to them'. This compares very favourably against an 81% score for the 'all staff' response to this question. The Research Development Team, in conjunction with the RIS newsletter, promote learning and development opportunities to their respective faculties. GSO communicates via website and email to research students of their skills training. | | |

Action 20

DCU will develop and implement a research infrastructure management plan

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------|---|-------------------------|---------------------------------|
| 23. Research environment | Q1 2016 | RIS | Website |
| Current Status | Remarks | | |
| COMPLETED | Research Infrastructure Policy available on the Policies section of the DCU website https://www.dcu.ie/policies/research-infrastructure-policy | | |

**Proposed
ACTIONS**

Action 21

Review actions identified for HR and RIS that arise from the submission for the Athena SWAN award.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 27. Gender balance | Q1 2018, 19, 20, 21 | HR, RIS | Keeping the Athena Swan Award |
| Current Status | Remarks | | |
| COMPLETED | DCU awarded the Athena Swan Bronze in March 2017 . In January 2017 a Head of Diversity and Inclusion was appointed to manage this process under the direction of HR Director and VP for Research. The review of actions is ongoing and a working group is established to maintain the award and work towards Silver status. This means further gender balance actions will be undertaken. In addition to maintaining the Institutional Bronze Award in 2021, four schools have been awarded departmental Bronze awards: The School of Communications (Sept 2021), the DCU Business School (Mar 2021), School of Mathematical Sciences (Sep 2022) and School of Biotechnology (Sep 2022). There are 2 more Schools applying for Awards in 2022. Athena Swan is now embedded in the University and therefore this action can be closed. | | |

**Proposed
ACTIONS**

Action 22

Include the research community in the University's Mentoring Scheme.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|--|
| 28. Career development | Q4 2017 | HR | Mentoring scheme results, include feedback from stakeholders |
| Current Status | Remarks | | |
| COMPLETED | DCU mentoring scheme extended to all staff in September 2016 https://www.dcu.ie/hr/mentoring-buddying-and-coaching . A mid-term evaluation was conducted with the mentoring pairs in June 2017 and a final evaluation was conducted in December 2017. An additional training session on mentoring for postdoctoral researchers was run in June 2017 and follow up sessions continue to be run. HR Mentoring has been expanded significantly in the last number of years at the University, including a specific call out to Researchers to get involved in mentoring linked to our Professional Skills for Research Leaders (PSRL) programme. | | |

Action 23

Enhance career support services for all researchers.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 28. Career development | Q4 2016,17,18,19,20 | HR, GSO, RIS, SSD | Annual review outcomes |
| Current Status | Remarks | | |

**Proposed
ACTIONS**

Current Status

Remarks

COMPLETED

The four University functions of Human Resources, Research and Innovation Support, Graduate Studies and Student Support and Development continue to make good progress on career supports for researchers. The University Research Development Programme, aimed at supporting the professional development on researchers and academic staff in research is revised year on year and new modules added to address the needs of the institution. For example, new modules have been added post-incorporation to address the needs of the newly acquired staff who have different needs in relation to their research activity. The Professional Skills for Research Leaders runs annually and is a blended-learning programme covering a wide array of professional development topics including Grant Writing, Team Management and Communicating Your Research. <https://www.dcu.ie/hr/professional-skills-research-leaders-psrl-programme>. The Research Lifecycle has been developed and is available to DCU researchers which guides researchers on all pre and post award processes. It also helps them access proper support in relation to each aspect of the research funding lifecycle. There is now a Researcher Development Guide <https://www.dcu.ie/sites/default/files/staff/2022-01/Researcher%20Development%20Guide%20Dec%202021.pdf> available that provides career guidance and training opportunities to contract researchers. All postdocs can now access a wide variety of training and development courses via the Research Development Hub. <https://www.dcu.ie/hr/researcher-development-hub> Research Masters and PhD students can avail of career consultations with the Careers Service (21 PhDs availed of career consultations in 2022/2021 and 18 availed of career consultations in 2021/2022 academic year). The career consultations are up to one hour in duration. The career consultations allow for a more substantial reflection and to discuss particular career circumstances, issues, or ideas in depth. The aim is to give more clarity on options, situations, or decisions so that action may be taken. PhD and research students receive notes and an agreed action plan following the consultation. A booklet on Career Discovery and CVs for PhDs has been developed. Career related workshops for PhDs are also organised including Why Employers Value PhDs, Understanding the Recruitment & Selection Process, Career Planning and Job Search, CV Workshop for PhDs and Research Masters.

**Proposed
ACTIONS**

Action 24

Analyse further, data from the Performance Management Development Scheme to ensure researcher professional development needs are being met

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-----------------------------|---|-------------------------|---------------------------------|
| 30. Access to career advice | Q1,2,3,4 2019,20,21 | HR | Working group outcomes |
| Current Status | Remarks | | |
| COMPLETED | Database now updated for targeted communication. (Will require support from other key stakeholders.) The university has undertaken a major initiative to introduce a more robust performance management development scheme. This scheme will utilise new modules on the Human Resources Information System, which will improve the ability to monitor uptake, integrate university strategic priorities with individual performance objectives. It will also further enhance the identification and prioritisation of the learning and development needs of academic/research staff. Since the arrival of GDPR legislation it is no longer possible for a third party (outside of line manager and employee) to review the data submitted under the Performance Review & Development Scheme. HR would propose to close this action as it is no longer viable, and instead to use data from the new staff survey where we had a strong response rate from Researchers. | | |

Proposed ACTIONS

Action 25

DCU will update and monitor its policies in relation to intellectual property to ensure consistency with national best practices and update as required.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| 31. Intellectual Property Rights | Q1 2018 | RIS | Website |
|----------------------------------|---------|-----|---------|

| Current Status | Remarks |
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| COMPLETED | IP policy now live on the Policies section of the DCU website https://www.dcu.ie/sites/default/files/policy/54_intellectual_property_policy_vpri_v2.0.pdf A dedicated eLearning module was designed in 2021 on Managing Intellectual Property to help support Research colleagues with knowledge on this topic. 94% of Researchers completed this module. Further education through a dedicated module on "Intellectual Property and Commercialisation" is available through the University. |
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Action 26

DCU will complete institutional guidelines on authorship that will include reference to co-authorship and a complaints procedure to mediate author disputes.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| 32. Co-authorship | Q4 2015 | RIS | Website |
|-------------------|---------|-----|---------|

| Current Status | Remarks |
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| COMPLETED | Action completed and approved by the Research Committee. DCU's Code of Practice on Authorship was approved by the university on 18 November 2015, it is available for download on the Website https://www.dcu.ie/sites/default/files/policy/169%20-%20code_of_practice_on_authorship_v1.pdf A new version is being undertaken, will be released mid-2022. |
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**Proposed
ACTIONS**

Action 27

In co-operation with the Teaching Enhancement Unit (TEU), further develop existing professional development supports for teaching and learning.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|--|--------------------------------|---------------------------------|
| 33. Teaching | Q2 2016 | RIS, Teaching Enhancement Unit | Continuation of courses |
| Current Status | Remarks | | |
| COMPLETED | <p>The Teaching Enhancement Unit (TEU) and Research Development currently offering series of interactive workshops on discrete parts of funding applications, including narrative CV and data management plans. L&OD offer a range of courses targeted to Researchers and Academics, including two workshops in which they collaborate with the Teaching Enhancement Unit on Developing your professional portfolio in teaching and learning https://www.dcu.ie/hr/learning-development/developing-your-professional-portfolio-teaching-and-learning and Starting out teaching https://www.dcu.ie/hr/learning-development/starting-out-teaching. L&OD have collaborated with the TEU to include an adaptation of how the Reflect portfolio can be used by researchers (included in Researcher Development guide and L&OD website). The TEU also provide a specific Graduate Training Elements (GTE) for Researchers to avail of: "Postgraduate Tutoring Principles and Practice" (GS602). https://www101.dcu.ie/registry/module_contents_archive_years_plus.php?subcode=GS602&function=2&module_archive_year=2020 The Teaching Enhancement Unit courses are also open to all Researchers, although specific data on Researcher uptake is not available.</p> | | |

**Proposed
ACTIONS**

Action 28

Conduct an audit of School's policies for post graduate research learning support activities

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| 33. Teaching | Q2 2016 | GSO | Feedback from Heads of School collated by GSO |
| Current Status | Remarks | | |
| COMPLETED | Each School now has in place a "structured pathway" which directs students to a range of module and training modules. Now entitled: 'Structured/Doctoral Research Pathway'. Updated by the schools annually and published on the GSO website. Each school provides its own pathway that draws on the most relevant and appropriate modules from the faculty programme for that particular discipline (with the exception of the DCU Institute of Education which has a faculty-wide pathway). Link: https://www.dcu.ie/graduatestudies/graduate-studies-office-graduate-training Structure Doctoral Pathways are noted at Graduate Research Studies Board annually. | | |

**Proposed
ACTIONS**

Action 29

Ensure PIs and Supervisors utilise existing Performance Management Development Scheme to identify appropriate training and development requirements for researchers

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------------|---|-------------------------|---------------------------------|
| 36. Relation with supervisors | Q2 2024 | HR | Working group assessment |
| Current Status | Remarks | | |
| IN PROGRESS | <p>Communication regarding the Research Career Framework (RCF) and related HR Processes e.g. Probation, PMDS has been reviewed. A number of systems gaps have been identified. This includes initial communication to the postdoctoral researcher about both the RCF and related HR Processes. A working group within HR has been established to work on ensuring HR database is up to date. The group is reviewing PI/Supervisor use of the scheme on an ongoing basis. A new Performance Review and Development (PRD) Scheme was introduced in the University in 2021 under a pilot scheme. The scheme caters for Research staff with a dedicated template for Researchers which aligns to the Research Career Framework. Unfortunately, no researchers participated in the PRD Pilot. This still requires some further work as we continue to pilot the PRD scheme across the University. An additional action may be required here to understand and remove any blockers to Researchers participating in PRD.</p> | | |

**Proposed
ACTIONS**

Action 30

Review the communication of the roles and responsibilities of the key stakeholders in the RCF

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------------|---|-------------------------|---------------------------------|
| 36. Relation with supervisors | Q2 2024 | HR | Working group assessment |
| Current Status | Remarks | | |
| IN PROGRESS | Communication regarding the Research Career Framework (RCF) and related HR Processes e.g. Probation, PMDS has been reviewed. A number of systems gaps have been identified. This includes initial communication to the postdoctoral researcher about both the RCF and related HR Processes. The working group continues to review the ongoing effectiveness of the scheme. The group is reviewing PI/Supervisor use of the scheme on an ongoing basis. A new Performance Review and Development (PRD) Scheme was introduced in the University in 2021 under a pilot scheme. The scheme caters for Research staff with a dedicated template for Researchers which aligns to the Research Career Framework. Unfortunately, no researchers participated in the PRD Pilot. This still requires some further work as we continue to pilot the PRD scheme across the University. An additional action may be required here to understand and remove any blockers to Researchers participating in PRD. | | |

**Proposed
ACTIONS**

Action 31

Enhance Leadership and Management Training and Development interventions for Senior Researchers and PIs

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---------------------------------------|---|-------------------------|--|
| 37. Supervision and managerial duties | Q4 2017 | HR | Learning and Development Team assessment |
| Current Status | Remarks | | |
| COMPLETED | Professional Development programmes– Professional Skills for Research Leaders (blended learning) and the University Leadership and Management Development Programme (blended learning), Project Management for Researchers. Includes Supervision/Examining/Chairing/Panel related training. | | |

Action 32

See action 21

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 10. Non discrimination | see action 21 | see action 21 | see action 21 |
| Current Status | Remarks | | |
| COMPLETED | See action 21 | | |

**Proposed
ACTIONS**

Action 33

No action identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 15. Transparency (Code) | N/A | N/A | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

Action 34

Implement and enhance OTM-R principles

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|--|
| 12. Recruitment | Q1 2023 | HR | Implementation of new R&S policy which includes OTM-R principles |

| Current Status | Remarks |
|-----------------------|--|
| IN PROGRESS | The OTM-R principles align with our existing values of Open, Collegial, Collaborative, Ambitious and Student Focused which are outlined in the University Strategic plan https://www.dcu.ie/external-affairs/strategic-plan.shtml We are currently undertaking an exercise of re-writing our recruitment and selection policy to explicitly embed these values and complimentary to this will be OTM-R. We also intend to make more explicit the OTM-R values in our recruitment and selection policy and parallel to this we will implement a research specific recruitment policy which is OTM-R aligned. We already have specific recruitment and selection practices for Research Career Framework positions and the principles of Open, Transparent and Merit Based recruitment are explicit within this practice. The implementation of OTM-R principles will be complimentary to these other actions and will provide a university wide OTM-R recruitment and selection policy, practice and procedures. R&S Policy Review currently taking place (2022) and will align with OTM-R principles. |

**Proposed
ACTIONS**

Action 35

No action
identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--------------------------|---|-----------------------------|---------------------------------|
| 16. Judging merit (Code) | N/A | N/A | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

Action 36

No action
identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|-----------------------------|---------------------------------|
| 17. Variations in the chronological order of CVs (Code) | N/A | N/A | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

**Proposed
ACTIONS**

Action 37

No action identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|---|-----|-----|-----|
| 18. Recognition of mobility experience (Code) | N/A | N/A | N/A |
|---|-----|-----|-----|

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

Action 38

No action identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|--|-----|-----|-----|
| 19. Recognition of qualifications (Code) | N/A | N/A | N/A |
|--|-----|-----|-----|

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

**Proposed
ACTIONS**

Action 39

No action identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
| 20. Seniority (Code) | N/A | N/A | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

Action 40

No action identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-----------------------------------|---|-------------------------|---------------------------------|
| 22. Recognition of the profession | N/A | N/A | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

**Proposed
ACTIONS**

Action 41

Constant review of working conditions in relation to work life balance and flexible working

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|--|-------------------------|--|
| 24. Working conditions | Q2 2023, 2024, 2025 | HR | Outcome of HR review on effectiveness on new maternity supports following feedback from stakeholders |
| Current Status | Remarks | | |
| IN PROGRESS | While no gap was initially identified the university is ambitious in making further progress in this area as evidenced by its commitment to securing Silver awards from Athena Swan. We have introduced new supports to all staff in relation to Paternity and Maternity leave. We have introduced a maternity buddy system for all staff and specifically for academic/research staff we have introduced teaching buy out and "mac days" (maternity leave support days). We are constantly reviewing the effectiveness of our support structure. A number of new changes in legislation in Republic of Ireland have strengthened and introduced new family leave policies and we continue post-covid to offer flexible working and working from home. A working from home pilot will be introduced from 1 October 2022 following the recent hybrid working through COVID. | | |

**Proposed
ACTIONS**

Action 42

Continue to review employment legislation and how it will affect research staff

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|--|-------------|---------|----------------------|
| 25. Stability and permanence of employment | Q1 2020, 21 | HR, RIS | Continued monitoring |
|--|-------------|---------|----------------------|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

COMPLETED

Where possible DCU commits to the stability of the employment contract for research staff. For instance the university promotes the full use the funding available for research contracts - if three years funding exists a contract of such duration should be offered. However neither the university, nor the international higher education sector has solved the issue of the precarious nature of funding for research staff. The university does adhere to fixed term employment legislation and continues to monitor the overall issue.

Action 43

Continued monitoring of research salaries

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|--------------------------|-------------|---------|----------------------|
| 26. Funding and salaries | Q1 2020, 21 | HR, RIS | Continued monitoring |
|--------------------------|-------------|---------|----------------------|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

COMPLETED

The university assures adherence to the Irish Universities Association Research Salaries guidelines and that such guidelines are fairly and consistently applied. The university also ensures sick leave, pensions and family leave benefits are applied to research staff the same as any other category of staff. Collective agreements are also applied to all research staff. The university constantly monitors this situation to ensure that best practice applies.

**Proposed
ACTIONS**

Action 44

No action
identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
| 29. Value of mobility | N/A | HR, RIS | N/A |

| Current Status | Remarks |
|-----------------------|----------------------|
| COMPLETED | No action identified |

Action 45

No action
identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
| 34. Complains/ appeals | N/A | HR, RIS | N/A |

| Current Status | Remarks |
|-----------------------|--|
| COMPLETED | No action identified. There is a very comprehensive suite of policies in place to deal with disputes of such nature. |

**Proposed
ACTIONS**

Action 46

No action
identified

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
|-------------------------|---|-----------------------------|---------------------------------|

| | | | |
|---|-----|-----------------|-----|
| 35. Participation in decision-making bodies | N/A | HR, RIS, GSO | N/A |
|---|-----|-----------------|-----|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

| | |
|-----------|----------------------|
| COMPLETED | No action identified |
|-----------|----------------------|

Action 47

See actions
19,23,24,29,31

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-----------------------------|---------------------------------|
|-------------------------|---|-----------------------------|---------------------------------|

| | | | |
|---|-----|----------------------|-----|
| 38. Continuing Professional Development | N/A | HR, RIS, GSO, SSD | N/A |
|---|-----|----------------------|-----|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

| | |
|-------------|----------------------------|
| IN PROGRESS | See actions 19,23,24,29,31 |
|-------------|----------------------------|

**Proposed
ACTIONS**

Action 48

See action 19

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|--|-----|---------|-----|
| 39. Access to research training and continuous development | N/A | HR, RIS | N/A |
|--|-----|---------|-----|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

| | |
|-----------|---------------|
| COMPLETED | See action 19 |
|-----------|---------------|

Action 49

See actions 22 and 31

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|---------------------------------|
|-------------------------|---|-------------------------|---------------------------------|

| | | | |
|-----------------|-----|---------|-----|
| 40. Supervision | N/A | HR, GSO | N/A |
|-----------------|-----|---------|-----|

| Current Status | Remarks |
|-----------------------|----------------|
|-----------------------|----------------|

| | |
|-----------|-----------------------|
| COMPLETED | See actions 22 and 31 |
|-----------|-----------------------|

**Proposed
ACTIONS**

Action 50

Analyse further data from the Annual Staff Survey to ensure researcher professional development needs are being met.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-----------------------------|---|--------------------------|---------------------------------|
| 30. Access to career advice | Q4 2023 | HR, RIS, Careers Service | N/A |
| Current Status | Remarks | | |
| NEW | | | |

Action 51

Further to the Athena Swan achievements in the University, there is a need to examine the leave arrangements for Postgraduate Students who are taking leave for Maternity reasons.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|-------------------------|---|-------------------------|-----------------------------------|
| 27. Gender balance | Q2 2023 | HR, RIS, GSO | Maintenance of Athena Swan Bronze |
| Current Status | Remarks | | |
| NEW | | | |