

TECHNOLOGICAL UNIVERSITY DUBLIN HUMAN RESOURCES STRATEGY FOR RESEARCHERS

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

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

GAP ANALYSIS - OVERVIEW

CASE NUMBER: 2023IE48224

NAME ORGANISATION UNDER REVIEW: **Technological University Dublin**

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SUBMISSION DATE: 10TH JANUARY 2024

DATE ENDORSEMENT CHARTER AND CODE: 11TH JANUARY 2023

Current Status: Initiatives already undertaken / new proposals	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	GAP between the principle and current practice in TU Dublin.	Links to TU Dublin Policies and Procedures	Actions Required

Ethical and Professional Aspects

1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/ guidance/ management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin embraces academic freedom and operates within the context of the Technological Universities Act, 2018 , [Technological Universities Act 2018](#) which outlines in sections 10. (1) and (2) that

(1) A technological university, in performing its functions, shall— (a) have the right and responsibility to preserve and promote the principles of academic freedom in the conduct of its internal and external affairs, and (b) without prejudice to the generality of paragraph (a), be entitled to regulate its affairs in accordance with its independent ethos and the principles of academic freedom, and in doing so shall have regard to— (i) the promotion and preservation of equality of opportunity and access to higher education, (ii) resources, wherever originating, that are available to the technological university for the purpose of performing its functions, and (iii) the need to secure the most beneficial, effective and efficient use of those resources.

(2) A member of the academic staff of a technological university shall not, subject to the provisions of any enactment or rule of law, be disadvantaged, or subject to less favourable treatment by the technological university, arising from his or her questioning and testing received wisdom, putting forward new ideas or stating controversial or unpopular opinions in his or her teaching, research and any other activities either in or outside the technological university.

2. TU Dublin is a globally engaged, comprehensive, research-informed university. It hosts a thriving research community engaged in applying innovation and technology to solve the most pressing challenges facing business, industry, and society in a dynamic environment. Our vision is to be a leader in targeted research areas and make ground-breaking contributions to the ever-changing needs of the world’s society and the economy. The University’s strategic focus is in three key areas: People, Planet and Partnership.
3. Our Researchers are encouraged to develop their research for the benefit of humankind and to expand 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 (under section 14 of TU Dublin Code of Conduct for Ensuring Excellence in Research Integrity – TU Dublin supports the freedom of expression for all researchers).
4. The University’s Research and Innovation (R&I) Academy is a representative body that undertakes a range of governance and advisory roles as specified in its Terms of Reference. The R&I Academy’s terms of reference in relation to research & innovation include (a) Strategy & Vision, (b) Advisory, (c) Policy, (d) Resourcing, (e) Promotion and Advocacy, (f) Research Community and (g) Research Impact.
5. To drive the growth of impact-focused research and innovation in the years ahead, a set of strategic actions have been identified that will collectively encourage, support and celebrate the efforts of our researchers and innovators. These strategic actions will
 - a. Foster an **Environment and Culture** that values creativity and openness, and encourages excellence, while promoting diversity, equality, and inclusivity.
 - b. Improve our supports for **Engagement and Impact**, to enable our researchers and innovators ensure that the insights, benefits, and outputs from their work are shared and harnessed by the wider community and society.

Central to this work is **Collaboration**, both internally to support the formation and success of cross-disciplinary teams, and externally, working effectively with communities, government, enterprise, and partner universities to create synergies and novel approaches to solving complex challenges. As a university, a key focus is on **Nurturing Talent**, through attracting, training, mentoring, incentivising and supporting the career development of our researchers and innovators.

6. TU Dublin has arranged its research activities in thematic clusters and built up Research Hubs and Centres of Excellence in selected areas grounded in our fundamental research and applied expertise. We encourage interdisciplinary research activity to expand our applications, maximise opportunities and deliver maximum impact and have long-standing strategic partnerships with other universities and external partners. Our researchers seek to advance knowledge and benefit business and society. The TU Dublin Research Strategy identifies research priorities: (i) Health and Wellbeing for a Flourishing Society (ii) Transformative Digital Solutions (iii) Sustainable Food Systems and Environmental Protection (iv) Materials and Technologies for Sustainable Transformation (v) Culture, innovation and inclusivity in a Changing Society.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	Research Ethics & Integrity https://www.tudublin.ie/research/support-for-researchers/managing-your-research/research-ethics-integrity/ Strategic Intent 2030	No Action

		Strategic Intent 2030 PDF Doc Strategic-Plan-2024-2028 Strategic Plan 2024-2028 PDF Doc TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc) Intranet Research & Innovation Academy Terms of Reference (Research & Innovation Academy Terms Of Reference PDF)	
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<p>2. Ethical Principles</p> <p>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.</p> <p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. Research & Innovation activity within the University is reviewed by the University's Research Ethics and Integrity Committee (REIC) before the commencement of the research. The REIC is a single committee which integrates members of the committees of the three institutes which came together to form TU Dublin and includes a diversity of expertise across the domains in which TU Dublin is research active. As part of this organisational design process, the current ethical structure is being updated and a new unitary university ethics policy is under review. This aims to establish a University Ethics Committee which will review the University's principles for research ethics, promote ethical research and provide oversight for domain specific subcommittees which report to it. 2. TU Dublin's REIC reviews all research projects before they commence, to assess the ethical implications, and to provide guidance, support and approval to researchers on ethical issues. TU Dublin Research Ethics Policy outlines best practice and current regulations and legislation regarding research involving human participants and vertebrate animals. Th review system is integrated with the University's Office365 platform to which, researchers submit documentation electronically and the REIC reviews the material using an electronic workflow to enhance efficiency, provide traceability and to streamline the process as much as possible. The REIC aim to ensure that all research carried out at TU Dublin is aligned with national and international best-practices e.g. in relation to work with human participants (adults and/or children), collection of biosamples, etc. The REIC also provides training to postgraduate students (via the structured PhD programme) and researchers in relation to core ethical principles. Further training is available via the Epigeum Research Integrity modules which support domain specific training for researchers at the University. 3. For studies which involve clinical trials, the REIC works with researchers to support applications to the National Research Ethics Committees. To support researchers in the design of ethical research approaches that meet the required ethical standards, guiding principles in relation to research ethics are available on the university website and the REIC is available to advise researchers as required. 4. All research and scholarship involving persond under 18 years of age must be of a design that minimises predictable risk to the researcher and to the research subjects. The project must be seen to be beneficial to society and non-exploitative, either of human or animal subjects, or the environment. Accordingly, all researchers and scholars must: <ul style="list-style-type: none"> - Inform individuals about all aspects of the proposed research - Secure their voluntary agreement to participate - the principle of 'informed consent' - Handle and store personal information under conditions of the highest possible confidentiality
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- Use such information exclusively for the purposes of the research
 - Outline the approach to reviewing and updating the document, and detail how and when the procedure will be reviewed for updating to ensure continued relevance.
5. Researchers working with children must comply with legislation, including the Children First Act 2015 - [Children First National Guidance 2017](#), the Criminal Justice (Withholding of Information on Offences against Children and Vulnerable Persons) Act, 2012 and the National Vetting Bureau (Children and Vulnerable Persons) Act, 2012 and other relevant guidelines e.g. Children First: National Guidance for the Protection and Welfare of Children (Department of Children and Youth Affairs, 2011). More information can be found here - [Tusla Child Safeguarding Policy, Procedure & Practice.pdf](#) ; <https://childrensrights.ie/childrens-rights-ireland/un-convention-rights-child> [The Children First Act 2015](#)
 6. All researchers have a responsibility to conduct their research within the ethical standards of TU Dublin and other appropriate external agencies. Their supervisors also have a responsibility to ensure that all researchers undergo any necessary training in research skills and techniques, including all safety and ethical aspects of the work, and to ensure that the research complies with the ethical standards of TU Dublin and other appropriate external agencies (Pg 59-61 Graduate Research Regulation).
 7. The new organisational design in 2022 for the University's Research & Innovation governance has included a new Head of Research Ethics & Integrity, reporting directly to the Vice President Research & Innovation.

<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>TU Dublin meets the requirement of the above principle. An identified gap is in relation to the review and updating of existing policies, procedures and committee structures</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Strategic Intent 2030 Strategic Intent 2030 PDF Doc</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>Research Ethics & Integrity</p> <p>Protection of Children and Vulnerable Adults PDF Doc Protection of Children & Vulnerable Adults Policy</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 1a. To review and update existing Ethics policy and structures</p> <p>Action 1b. To review and update existing website/ Guidance material.</p> <p>Action 2a. To review and update existing Research Integrity policies.</p> <p>Action 2b. To review and update existing Research Integrity procedures.</p>
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin's Research Ethics Committee promotes and promulgates good ethical research and scholarly practice, emphasizes integrity and rigour and sustains a culture, in which guiding principles are understood and observed to avoid plagiarism. Researchers and scholars must ensure that they do not; 1) Pass off another researcher's work as their own; 2) Ask another person to undertake work which is then claimed as their own; 3) Buy or copy work from electronic sources which is then claimed as their own; and 4) Use another person's ideas and claim them as their own.
2. TU Dublin regards appropriate protection of intellectual property (IP) rights as central to good research practice. Researchers must clarify issues of IP at the outset, particularly in the case of collaborative research, and they should pay due regard to refraining from publication or disclosure until it is clear that any necessary protection has been secured
3. TU Dublin's Code of Conduct for Ensuring Excellence in Research Integrity which applies to all persons engaged in research (including academic staff, research assistants, post-doctoral researchers, research fellows and academic-related staff and PhD Students) and other staff involved in the research process employed by the University. TU Dublin expects all of its researchers to work within the scope of this Code of Conduct.
4. TU Dublin has in place appropriate policies regarding adherence to principles of research integrity and procedure for the investigation of allegations of research misconduct against either staff or students, in accordance with relevant staff and student disciplinary policies. Procedures for Managing Misconduct in research are also outlined in the Code of Conduct document.
5. TU Dublin's Graduate Research Regulations also describe processes for managing breaches by graduate students of any of the regulations of the University. Cheating, plagiarism, misrepresentation, bribery, falsification, personification and other forms of deception, including the possession of material in advance of an examination or assessment, whether carried out alone or with others are instances of unfair practice covered by the regulations. An enquiry into the circumstances relating to an allegation of breaches of the regulations is normally conducted by a Panel of Enquiry through the Office of the Graduate Research School.
6. With regards to Professional Responsibility, TU Dublin has a Research Support Librarian in post, who provides mandatory and elective training, both to groups and individuals on effective search strategy, responsible literature review and methodological approaches and referencing. Research Support Librarian is actively engaged with the Research Support Services to provide support and guidance for research proposals.

Implementation:

++ = fully implemented

GAP between the principle and current practice in TU Dublin.

(Free text 300 words maximum)

No Gap

Links to TU Dublin Policies and Procedures

[Intellectual Property-Policy-2022 PDF Doc](#)

[TU-Dublin-Code-of-Conduct-for-Research-Integrity](#)
(TU-Dublin-Code-of-Conduct-for-Research pdf doc)

[Research Ethics & Integrity](#)

Action Plan

(Free text 200 words maximum)

No Action

		Code-of-Conduct-for-Employees.pdf (Code of Conduct for Employees PDF Doc)	
		Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)	
		Workplace-relations/grievance-and-disciplinary-procedures/ (Disciplinary-Procedures-HRP004 PDF Doc)	
		Workplace-relations/grievance-and-disciplinary-procedures/ (Grievance Procedures HRP005 PDF Doc)	
		TU Dublin Data-Protection-Policy/	

<p>4. Professional attitude</p> <p>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.</p>
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. TU Dublin's Research & Innovation Academy draft Research and Innovation Strategy 2023-2028 will be published first quarter in 2024. As part of development of the strategy, the university's research community was invited to consultation sessions to become familiar with, and to offer feedback on, the university's R&I strategic goals. 2. Staff research projects are supported through The Research Support Services, which comprises; <ul style="list-style-type: none"> Pre-award: supporting all activities from idea generation to application submission Post-award: supporting all activities associated with project set up and management The RSS provides professional support to research staff during all stages of the research cycle - from idea creation, funding, experimentation, to publication and dissemination of the research output. Before researchers start their research or access resources, they must seek a set of approvals through the Research Support Services. 3. The RSS's Pre-Award team advises researchers on the approvals and considerations required prior to applying for externally funded research. Researchers must register their proposals on the University's Research Information System (RIS) before submission. Each proposal undergoes a review by a member of the Pre-Award team and by the University's technology transfer office. Strategic Research Proposal Coordinators offer advice on project proposals, including: <ul style="list-style-type: none"> In-depth information on funding programmes; Reviews and advice on proposal applications, including: budgeting advice to meet funder terms & conditions; letters of support/mandates; help with the strategic elements of proposals.

4. Once projects are funded, the RSS's Post-Award team liaises with research staff to ensure that all necessary approvals are gotten before research begins. Each project must undergo a set of reviews and approvals on the RIS prior to commencement of research activity, including: grant agreements/consortium agreement; project budget; ethics; line manager approval. Project setup meetings are arranged by the Post-Award team and provide an opportunity for researchers to meet support staff (HR Business Partner for Research; The Innovation & Knowledge Transfer Office; Research Finance; Ethics administrator, etc.) and to become familiar with the duties and responsibilities of their role as PI: funder guidelines, policies, and compliance; budget management; reporting deadlines; and grant management requirements. PIs are advised on policies for keeping records; continuous project reporting; dissemination & exploitation of project results; communication with the granting authority; overall communications among consortium partners.
5. All researchers including PhD students must take all reasonable actions to ensure compliance with sponsor, institutional, and ethical obligations in managing projects.
6. For PhD students, the proposed programme of research work must be appropriate for the research award for which the student is registering. The programme of research work may be approved:
 - 1) Through TU Dublin scholarship assessment;
 - 2) Recognised external funding agencies such as SFI or IRC etc.;
 - 3) By application to the relevant School.
7. Following an offer and approval of the research programme for PhD students, GRS Registration Form (PGR 1A form) is completed with the help of supervisors. In submitting form PGR 1A, the candidate agrees to abide by the regulations of the University, this also applies to funded graduate research programmes, in which the PhD student is also governed by the terms and conditions of a funding agency. Registration, including supervision arrangements, is approved by the relevant Head of School. Once the GRS Office receives all relevant documentation, the student is registered for the appropriate award on payment of the appropriate fee. The GRS Office reports on research student registrations to the Board of the Graduate Research School.
8. All PhD student work is reviewed annually through processes described in the Graduate Research Regulations. The Regulations also describe processes for dealing with issues related to projects that may be delayed, redefined or completed, early termination or suspension for whatever reason.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	Research Support Services TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc) Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc) Research and Innovation Strategy 2023-2028 (to be published Q1 2024). Graduate Research School PGR Forms Registration Form PGR1A pdf doc	

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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin is committed to the open exchange of ideas and the publication, dissemination and communication of the results of research and scholarly activities, and requests that TU Dublin staff and students disclose Intellectual Property (IP) to the Innovation & Knowledge Transfer Office at a sufficiently early stage to:
 - Ensure compliance with the National IP Protocol and funder requirements;
 - Avoid any unintentional loss of available IP protection; and
 - Maximise the exploitation for the economic and social benefits to Ireland, and beyond.
2. TU Dublin has developed its IP Policy to clarify its role in:
 - Ensuring that intellectual property arising from research is identified, protected and commercialised;
 - Promoting research collaboration that serves business, enterprise, the professions, the community and local interests in the region by being the research partner of choice, accessible and relevant to their needs;
 - Ensuring that research is a catalyst for enterprise and innovation by effectively translating outcomes to entrepreneurs, enterprise developers, business innovators, enterprises and the professions;
 - Prioritising entrepreneurship by supporting TU Dublin students and staff, regional entrepreneurs, start-up enterprises and campus spin-outs; and
 - Striving to deliver tangible economic and social impact, and a robust pipeline of high potential start-up enterprises and associated high quality employment opportunities.
3. The IP policy has been designed to promote an entrepreneurial culture within TU Dublin and to encourage and motivate TU Dublin staff and students to engage in research and scholarly activities and to transfer their knowledge through publications, collaborations, licences to existing companies, and formation of dedicated spin-out/start-up companies. The IP policy applies to all TU Dublin Staff and Students.
4. TU Dublin's R&I services offer valuable guidance to researchers concerning intellectual property rights (IPR) regulations and contractual obligations. This support is facilitated by TU Dublin Innovation, the university's technology transfer office. It is essential to obtain approvals prior to proposal submission and contract signing. The entire process is managed efficiently through the Research Information System (RIS).
5. Moreover, the Post-Award team and Research Finance advisor are available to provide further assistance during project set-up meetings, throughout the project's lifespan, and at project close. They offer valuable advice on contract terms and conditions, ensuring researchers are well-informed and equipped to navigate the complexities associated with research contracts.
By leveraging the expertise of these teams, researchers can confidently address IPR and contractual matters, allowing for smooth project progression and compliance.
6. The GRS provides induction training to all new PhD students to ensure they are familiar with the national, sectoral and University regulations governing their training and conditions.
7. The GRS also provides professional skills training to all PhD students throughout their programme which includes Intellectual Property Rights regulations, Graduate Reserach Regulations and the requirements to deliver the required results and thesis. Details, terms and conditions are provided in the letter of offer to each PhD student.

Implementation:

++ = fully implemented

GAP between the principle and current practice in TU Dublin.

(Free text 300 words maximum)

Links to TU Dublin Policies and Procedures

Action Plan

(Free text 200 words maximum)

	No Gap	TU-Dublin-IP-Policy-2022.pdf TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc) Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc) Template Offer Funded FT PhD or MPhil EU and Non EU PDF Doc Standard offer letter to a PhD student PDF Doc	
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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.

Current Status: Initiatives already undertaken / new proposals

1. The concept of accountability towards stakeholders and society as a whole is evident in TU Dublin's policies and procedures, in particular, Principles of Ethics Integrity; Graduate Research Regulation pg. 66; Code of Conduct for Research Integrity pg 7.
2. Any member of staff subject to ethical guidance from their professional bodies or external agencies, must acquaint themselves with those requirements and ensure their compliance with them. Reference is made to the appropriate Code of Ethical Conduct for the relevant professional organisation(s) in the Research Ethics/Assessment of Risk Form. However, where those requirements conflict with TU Dublin requirements, the latter would normally be followed.
3. The Research Finance team is engaged in the financial management, control and administration of research funding awarded to TU Dublin. The Office has overall responsibility for providing institutional support on financial aspects, reporting, record retention and general compliance aspects of all externally funded research awards and liaise with other Finance areas regarding expenditure etc. The team assists researchers through the financial, reporting and audit requirements associated with their research awards.
4. TU Dublin Library Services have a Data Librarian who provides mandatory training in Research Data Management to PhD students, as well as some data stewardship services to researchers. FAIR and Open Data are actively promoted in training as well as across training materials from the [Library Service](#) and the [Open Research Support Unit](#). GDPR, Data Protection and Ethics are also covered, although these areas are managed by separate organisational functions. Data Librarian works with the Research Support Services to support Data Management Plans for funding proposals that comply with institutional, legal and ethical (societal) requirements.
5. Other policies in place are the [Data Classification Policy](#) and the [Cloud Services Policy](#).

<p>6. TU Dublin has an Open Access Policy . This policy is based on the draft national principles, which have been produced to map the transition from publication in journals to publication on open access platforms. These principles build upon existing national and international open research policies, and, through a planning process and will evolve to align with developing European Commission policy.</p>			
<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>Compliance with funder requirements and with agreed Data Management Planning is best practice, but this is an area that can be improved on with new planning software.</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Support-for-researchers quick-links</p> <p>Library Service</p> <p>Open Research Support Unit</p> <p>Data Management Planning software</p> <p>TU Dublin Data-Protection-Policy/</p> <p>Cloud Services Policy</p> <p>Open Access Policy Open Access Policy PDF Doc</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 3. To implement a Data Management Planning software.</p>

<p>7. Good practice in research</p> <p>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.</p>
<p>Current Status: Initiatives already undertaken / new proposals</p> <p>1. All researchers are required to adhere to relevant national legislation in relation to the performance of research work, a principle supported by guidance, advice and training from the TU Dublin Safety, Health and Welfare (SHW) Office via the Safety Hub (https://www.tudublin.ie/for-staff/safety-health-welfare/safety-hub/). In addition to the overall University safety statement, individual Schools and separate dedicated research facilities have defined health and safety structures that are aligned with the requirements of the specific research area, and must ensure that relevant risk assessments are completed and reviewed as required. TU Dublin Safety, Health and Welfare (SHW) Office promotes a culture of safety & health and provides regulatory updates, support and counsel to the President, University</p>

Executive Team, University SHW Steering committee, SHW Campus Safety committees, management, staff and researchers on matters relating to safety, health and welfare. In addition, All Schools/Functions in the University in addition to university safety statement are also required to hold their own health and safety statement specific to their disciplines and requirements and have Safety Arrangement which should contain completed risk assessments for all activities of that area.

2. TU Dublin operates using an Office 365 ecosystem and University users of IT facilities are bound by comprehensive policies to protect the data of students and staff, and to ensure that TU Dublin can achieve a digital first approach (see <https://www.tudublin.ie/connect/technology-services/it-security/it-security-policies/>). As part of research integrity and good research practice training researchers are encouraged to use cloud-based backups for their research data. Use of non Office 365 cloud-based applications is reviewed and approved by a Cloud Service Provider group, to ensure that all software meets the University standards for data protection. All staff are required to complete GDPR and CyberSecurity training to provide baseline skills in these areas. The Information Governance function supports the university to meet their obligations in relation to all relevant legislation and standards relating to the Data Protection Act, the principles of GDPR and the Freedom of Information Act. The function also supports researchers to prepare Data Protection Impact Assessments as required by their research projects. The University also has a dedicated Research Support team (<https://www.tudublin.ie/library/cc/library-support/support-for-researchers/>) to support data management planning, data publishing, open research and use of the institutional research repository.
3. TU Dublin in meeting its data privacy commitments has a nominated Data Protection Officer (DPO) as the point of contact for all data privacy queries that employees (including researchers) and students may have including subject access requests. The DPO monitors compliance with Data Protection policies and procedures by way of an Annual Compliance Report which reports School and Function Areas compliance with GDPR principles and includes maintenance of Data Inventory, compliance with Data Retention Schedule, staff training records, actions taken of recommendations following data breaches and near misses.
4. The TU Dublin Governance and Compliance Office also advises the University on all areas relating to insurance and risk management.
5. In the new Organisational Design, the Library has a dedicated Library support for researchers service to support researchers.
6. The TU Dublin Identity Management Policy has been created to define the criteria for creating, amending, delisting and maintaining user accounts and ensuring appropriate administration and management of access to TU Dublin’s IT services and resources. [Identity Management Policy](#)
7. The TU Dublin Information Security Policy has been updated to set the direction for information security management within TU Dublin. The policy sets out the overall approach to information security and provides a security model aimed at implementing good practices to protect information assets from unauthorised use, disclosure, modification, damage or loss. [Information Security Policy](#)
8. The TU Dublin IT Acceptable Usage Policy has been updated to outline the requirements for responsible and appropriate use of TU Dublin IT resources by TU Dublin Staff, Students and Third Parties. [IT Acceptable Usage Policy](#).
9. A list of all IT Policies can be found at the following link. [TU Dublin Technology Services Policies](#)

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No gap	Data-protection-policy Safety-health-welfare hub IT Security Policies https://www.tudublin.ie/library/cc/library-support/support-for-researchers/ TU Dublin Acceptable Usage Policy TU Dublin Cloud Services Policy 2022	

		<p>TU Dublin Information Security Policy</p> <p>TU Dublin Password Policy 2022</p> <p>TU Dublin Remote Access Policy 2022</p> <p>TU Dublin Third Party Access Policy 2022</p> <p>Safety, Health & Welfare Policies & Procedures</p> <p>Data Protection https://www.tudublin.ie/explore/gdpr/</p> <p>https://www.dataprotection.ie/</p> <p>https://www.tudublin.ie/explore/gdpr/data-protection-policy/</p> <p>TU Dublin Risk Management Policy and Framework 2022 PDF Doc</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p>	
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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.

Current Status: Initiatives already undertaken / new proposals

1. Participation in research is strongly encouraged to be an activity of everyday academic life in TU Dublin with the University's Code of Conduct for Research Integrity drafted in line with our commitment to upholding the principles of the European Charter & Code for Researchers.
2. The Open Research Support Unit has a dedicated website and many resources to aid in dissemination of research activities. It has a dedicated Research Librarian and staff who provide training and drop-in clinics to prepare staff and all research students appropriately.
3. TU Dublin Library Services manage Arrow, the institutional Open Access repository. Arrow serves as a platform to gather and preserve all of the university's research outputs, making them readily and freely accessible to the public. This repository acts as a hub for published articles, conference papers, working papers, presentations, theses, and other academic works. The aim of Arrow is to provide a centralised location for the university's research and to ensure that it is preserved

and available for future generations. Researchers are encouraged to lodge their peer reviewed research outputs / datasets in ARROW at the point at which acceptance has been confirmed (author publication) for example. Arrow holds over 15,000 individual research outputs / datasets uploaded by researchers from across TU Dublin. The contents cover a wide range of subjects, reflecting the breadth of the university's intellectual output. Arrow is home to several TU Dublin managed peer-reviewed journals in their own right and is used as a platform to host online conferences and publish their proceedings. The content on Arrow has always been free to access from anywhere in the world by anyone. One such peer reviewed journal is the International Journal of Religious Tourism and Pilgrimage. Monographs prepared by, TU Dublin, academics are also available in ARROW to interested third parties. The content on Arrow has always been free to access, from anywhere in the world, by anyone.

4. A new Research Information Management system is currently undergoing beta testing with a small group of researchers and end users. This is provided by Elsevier PURE and will allow for the collection, management, analysis, and dissemination of a broad set of research information such as publications, grants, impacts, and projects. Together with ARROW, PURE will provide a comprehensive and current view of the university's research activities and outputs. The integration of PURE with ARROW will ensure that the university's research information is up-to-date and accurate, and that it is presented in a consistent and recognisable format to external viewers. The combined resources will serve to increase the visibility and impact of the university's research and its outputs both internally and externally.
5. One of the three core values in our Strategic Intent to 2030 document is impact. This relies on dissemination and application of new knowledge generated from research beyond the standard metrics. TU Dublin provides Support for Researchers via the R&I Function and the Library Services. A Research Impact Lead has been appointed in September 2023, and they will provide a regular programme of training events along with one-to-one advisory sessions in topics including Writing for Impact; Research Data Management; Publishing and Sharing your Research; Making the most of the IReL agreements etc. They will also be tasked with supporting researchers in writing their impact statements for grant applications as well as support researchers in the production of their Research Impact Case Studies. The Research and Innovation function will house these case studies for public access The Library has a dedicated Library support for researchers' service to support researchers in their preparations for dissemination, with eLearning resources covering Open Research; Data Publishing; Publishing and APCs; Copyright support; Dissemination. An updated Researcher Career Development Framework with a structured programme of workshops for early-stage research staff and new academics that includes professional development of skills in publication and commercialising research is being finalised. TU Dublin offers promotional opportunities for academics from AL to L, and L to SL grades, and in all cases, among the criteria is a satisfactory candidate research track record, by virtue of their publication record and/or exploitation of research outputs for use in commercial or societal settings.
6. Dublin Open Research Action Group has been constituted to educate and train TU Dublin researchers in the practices of open research and provide an oversight role on the implementation of Open Research in TU Dublin. Research data should be as open as possible and as closed as little as necessary. Research data may be restricted for justifiable reasons such as commercial exploitation, confidentiality, security, protection of personal data, the achievement of the project's aim, and incompatibility with the further exploitation of the research results or other stated legitimate reasons. Researchers may publish where they feel is most appropriate, but they are required by the Open Access Policy to lodge the final draft version of their article in the institutional repository Arrow upon acceptance by a journal. Alternatively, they must lodge the published version if it is available as open access. The recent appointment of a Research Indicators Librarian in TU Dublin will allow for improved management of researcher profiles and performance indicators.
7. The Innovation & Knowledge Transfer Office supports the commercialisation of intellectual property arising from university research. It supports development and submission of patents by TU Dublin researchers. This office is the hub of technology transfer activities for the university and provides advice and guidance to all researchers along with a suite of workshops and training events on a regular basis. The office steers a multitude of technologies from concept towards licensing to industry and has set up and supported several spin-out companies from more fruitful and technology-ready outputs. The office provides guidance on intellectual property, fostering co-authorship and access to facilities for use by employers.
8. All PhD students are encouraged to disseminate their work at national and international conferences and by peer reviewed publication, in collaboration with their supervisors. The Graduate Research School provides professional skills training to all PhD students throughout their programme which includes sessions dedicated to dissemination.

<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The development and implementation of processes supporting dissemination</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Arrow</p> <p>arrow.tudublin.ie</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 4. To increase open research Practices.</p>
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	<p>and exploitation of research for broader research outputs for societal impact and to enhance the Open Access supports for researchers.</p>	<p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>https://arrow.tudublin.ie/open_access_policy.pdf</p> <p>TU-Dublin-IP-Policy-2022.pdf</p> <p>Knowledge-exchange-and-start-up-support/</p> <p>PhD Students Professional Skills Development 2022 - 2023 PDF Doc</p>	<p>Action 5. To implement a Research & Innovation Impact Framework</p> <p>Action 6. To implement a Research & Innovation Engagement Framework</p>
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<p>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.</p>
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. The vision for TU Dublin Strategic Intent 2030 is to ‘Create a Better World, Together’. Research and engagement practices lie at the heart of this, and together provide a mechanism to deliver real change, innovation, and impact for society. Engagement & Impact is one of the strategic action for TU Dublin Research & Innovation, and to support and realise this vision, TU Dublin recently established a Research Engagement and Impact Office within its Research Support Services. This team includes a Research Engagement Lead appointed to support researchers to maximise engagement with societal partners, whilst also enhancing the effectiveness of that engagement with external stakeholders spanning enterprise, government, NGOs, and citizen groups across the research lifecycle, from initial project scoping, through execution to dissemination, application, and impact. Collaboration with a broad range of stakeholders already exists, <i>vide</i>; industry, public services and the third sector (NGOs and non-profit-making organizations, e.g., the charities, voluntary and community groups, cooperatives, etc.), and the establishment of a dedicated, centralised and structured system to support research engagement will significantly enhance TU Dublin’s ability to engage and be successful in mission-driven research initiatives, which are now a significant portion of funding agencies resources. TU Dublin is a member of the Irish Universities Association initiative, Campus Engage and has a representative on its steering committee, and several staff have become trained as Campus Engage Facilitators, such that they can deliver workshops on Engaged Research for Societal Impact for our researchers. 2. The Research Engagement team are preparing to spend 2-3 months meeting and consulting with researchers, research support staff, and senior academic managers, as well as with external societal research partners, to understand how best to structure TU Dublin supports for research engagement activities. 3. Current practices in TU Dublin in relation to public engagement: <ol style="list-style-type: none"> a. Responsibility for public engagement lies with the researcher. Researchers can approach the university communications team and engage across three channels – 1. NEWS items are sent for communication to staff internally and for the NEWS section of the web; 2; placing material on the main website on the Discover our research pages – updates to the centre/institute or group pages are sent to the web team within communications; and 3. Notice of events are sent to the social team and any items for general media release via twitter, Facebook ... b. TU Dublin subscribes to the Irish national TV/media channel RTÉ Brainstorm through which active researchers communicate their thinking backed up with evidence from research outputs on a broad range of pressing issues facing society and the planet. TU Dublin researchers and academics have published over

250 articles on RTÉ Brainstorm. Academics and researchers publish newspaper articles, and this is where they contribute to public debate, and reflect on what is happening in the world around us. We have seen the RTÉ News teams take Brainstorm stories allowing for further reach and communications of our research outputs/outcomes. We have also seen academics and researchers from TU Dublin build a media profile because of Brainstorm contributions and go on to appear on various RTÉ radio and TV shows as a result - indeed, some have become regular contributors.

- c. TU Dublin hosts showcasing events, public talks and demos organised by Schools, Faculties and Research Centres annually. The university also reports on achievements in research and innovation engagement activities in its annual report. TU Dublin promote research carried out within the university via the website NEWS section, and its own media postings, especially around specific national and international celebration days/events.
 - d. Researchers sometimes place content on their LinkedIn. TU Dublin researchers have its own Research Gate listing <https://www.researchgate.net/institution/Technological-University-Dublin-City-Campus>
4. TU Dublin promotes research at the annual National Scifest competitions, which is a festival that was started in TU Dublin (Tallaght), and the annual National Young Scientists Exhibition and other external events appropriate to the fields of study, food fairs, festivals, agriculture events and so forth. The university take part in national Science Week activities which are held around the country during November each year and lots of those events are aired on national TV stations and in newspapers. The university also host events to mark European Researchers Night periodically and promotes research by having stands and speakers at the annual Irish Research and Innovation Conference and Exhibition, and attend many national summit events, including for example; The National Sustainability Summit; The Lean, Productivity & Continuous Improvement Summit; The Supply Chain & Logistics Expo; The National Pharmaceutical & Life Sciences Expo; The National Procurement Summit; The Automation & Robotics Event; The National MedTech & Biotech Summit; The IOT & Industry 4.0 Expo; 3D Printing Expo; The Future of Work Conference
 5. Researchers at the TU Dublin Conservatoire host concerts for the public, at which new compositions and performance pieces are performed. [Performance Research Ireland](#) is headed by research PIs from the Conservatoire.
 6. Research exhibitions from the Arts and Humanities are available to public audiences nationally and internationally via the open access digital repository, Arrow.
 7. TU Dublin researchers have been supported by the SFI discovery programme [SFI Discover Programme](#) for many years, with many successful applications on an annual basis. The Programme supports our staff to create greater public awareness of the impact of STEM on society and its connection and contribution to everyday life, and on topics of societal importance where STEM has a key role.
 8. The University's communication team engage regularly with researchers and their schools to identify content for dissemination. TU Dublin R&I has appointed a Marketing person who is responsible for setting up a Communications Strategy around research engagement with the public. The appointment of a TU Dublin Head of Marketing & Communications will also result in a more strategic approach to public engagement processes.
 9. **TU Dublin Research and Innovation Awards** recognise and reward the positive contributions of the research & innovation community in the pursuit of their goals in pushing the boundaries of knowledge to create a better world for all.
 10. The Graduate Research School organises an annual Graduate Research Symposium to enhance the graduate student learning experience and promote the achievements of the graduate research community within the university and also hosts a poster competition on Twitter (X) for public involvement.

<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The establishment of a dedicated, centralised and structured system to support research engagement will significantly enhance TU Dublin researchers' ability to engage in knowledge exchange with stakeholders,</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Strategic Intent 2030 Strategic Intent 2030 PDF Doc</p> <p>Campus Engage</p> <p>https://www.innovateireland.ie</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 6. To implement a Research & Innovation Engagement Framework.</p>
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	<p>should increase success rates in mission-driven research funding initiatives</p> <p>A more strategic approach to hosting and capturing the research education and public engagement activities online is required.</p>	<p>How-to-increase-the-impact-of-research.docx</p> <p>Research and Innovation Awards https://www.tudublin.ie/research/discover-our-research/research--innovation-awards/</p>	
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<p>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.</p>
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. TU Dublin aims to be inclusive in all aspects of the work of the University and to create a welcoming atmosphere in which to work and study. In accordance with national legislation, the University has developed extensive policies to ensure that equal opportunities are available to both potential and existing staff. 2. TU Dublin's Equality Diversity and Inclusion (EDI) directorate (under the stewardship of a Director of EDI) supports the University in its vision and mission for EDI, with particular reference to TU Dublin Strategic Intent 2030 and supporting frameworks TU Dublin Equality Statement (2019-2022), Athena SWAN Charter of Principles, and Sustainability Statement 2022-2025. This is about implementing long-term and enduring structural and cultural change, promoting equality, preventing discrimination and protecting the human rights of staff, students, and everyone affected by the University's policies and plans. 3. The EDI policies detail how the university give substance to its commitment to creating a better world together and to building a University community that advances equality, respects and values diversity, and promotes and sustains a sense of belonging and inclusion among all members. 4. TU Dublin is committed to advancing equality, including gender equality, in all aspects of its work. The equality work of the University benefits from being informed by the UN Sustainable Development Goals, including SDG 5 'Achieve gender equality and empower all women and girls'. The University policy on equality, including gender equality, is guided by the statutory obligation to have regard to the need to eliminate discrimination, promote equality of opportunity and protect the human rights of staff, students and service users (Section 42 of the Irish Human Rights and Equality Commission Act 2014). 5. Staff and students across TU Dublin are engaged in projects and initiatives which advance equality, build an inclusive culture, prevent discrimination, and protect human rights. These includes wstempojct; Women in Technology United; Anti-racism-reading-groups ; Building-Multistories ; Embedding-anti-racism ; EDI-funding-call-awardees ; Learning-together-programme ; Women-leaders-in-higher-education <p>The Learning Together Programme Learning-together-programme is a partnership between Avista Disability Support Services and TU Dublin for students with an intellectual disability.</p> <p>The Women-leaders-in-higher-education programme (WLHE) aims to empower and enable women, trans, and gender non-conforming people in TU Dublin to identify and achieve their development goals. This also ties in with the Women in Technology United (WITU) project, which aims to progress initiatives in TU Dublin which retain women, trans, and gender non-conforming students in technology courses and increases gender diversity in technology courses.</p> <ol style="list-style-type: none"> 6. In 2022, TU Dublin was awarded an Athena SWAN Bronze Institutional Award, in recognition of our progress, and our plans to accelerate change, towards gender equality. In line with the Gender Pay Gap Information Act 2021, TU Dublin published its TU Dublin Gender Pay Gap Report. The Gender Pay Gap is an equality measure that shows the difference between the average earnings of all men versus that of all women in an organisation. 7. The Graduate Reserach School also provides professional skills training to all PhD students throughout their programme which includes sessions dedicated to EDI and Bystander Interventions.

<p>Implementation:</p> <p>++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The University is continuing to improve and enhance its intervention in this area.</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Strategic Intent 2030 Strategic Intent 2030 PDF Doc</p> <p>TU Dublin Equality Statement (2019-2022)</p> <p>Athena SWAN Charter of Principles</p> <p>Sustainability Statement 2022-2025.</p> <p>TU Dublin Gender Pay Gap Report</p> <p>TU Dublin Wstem project EU wstemproject</p> <p>Women in Technology United; Anti-racism-reading-groups ; Building-Multistories ; Embedding-anti-racism ; EDI-funding-call-awardees ; Learning-together-programme ; Women-leaders-in-higher-education</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 12a. To publish revised a TU Dublin’s Equality Statement 2023-2028</p> <p>Action 12b. To implement a TU Dublin’s Equality, Diversity & Inclusion Equal Opportunities Policy</p>
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<p>11. Evaluation/ appraisal systems</p> <p>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. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.</p>
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. With regards Evaluation/Appraisal, TU Dublin is signed up to COARA, Coalition for Advancing Research Assessment. 2. Evaluation / appraisal systems are integral in TU Dublin promotional opportunities for academics from AL to L, and L to SL grades. Part of the criteria is that candidates are evaluated on their research track record, by virtue of their publication record and/or exploitation of research outputs for use in commercial or other societal settings.

3. TU Dublin has a dedicated programme of training for Researchers embedded in the Researcher Career Development Programme. The Career Researcher Development supports the continuing professional development of our researchers to enable them to develop and sustain a career in research.
4. In addition, researchers are invited to participate in the Researcher Mentoring Programme. Early stage researchers can be assigned a mentor while senior researchers and PIs can put themselves forward as Mentors.
5. The Employee Recognition Awards have been introduced to provide a formal process for the recognition, acknowledgement and celebration of exceptional achievements.
6. A People Development Manager has been appointed to oversee the development and implementation of the staff Learning and Development programme. The new People Development team will deliver the University's training and development strategy in line with the Strategic Intent 2030 3 pillars of *People, Planet and Partnership*. Initial steps that have been taken towards achieving the goals of the strategy are as follows: The Induction process has been enhanced to include a variety of online material, regular orientation events, practical information, checklists and further opportunities to network with new staff.
7. The People Development Team also offers the following support to Staff including Researchers:
 - Leadership Development Programme
 - Aurora Leadership Programme for women in leadership roles
 - Performance Management & Development System (PMDS) policy
 - License to lead a project (training).
8. The University's PMDS provides an opportunity to create and deliver on a shared vision for the University with the engagement of all staff. It is an opportunity for managers and staff to work together to clarify the University's strategic objectives and the team development plan and to identify the role which each staff member plays in delivering these objectives. The University has links to online learning for a number of modules which can help prepare for PMDS.
9. Each year, all Year 1 and 3 PhD students are required to complete a Student Annual Progress form and their supervisors are required to complete a Supervisor Annual Progress] form returning both to the Faculty Head of Research. These students are then required to attend an Annual Evaluation event coordinated by the Faculty Head of Research, during which the graduate student is required to present a seminar on their work to staff, fellow students and other invited guests. The assessment panel, which must include the lead supervisor, Head of relevant School (or nominee) and relevant Head of Research, assesses the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought.
10. All Year 2, all PhD projects are required to undertake an assessment by an examiner, external to TU Dublin, usually international and independent of the project, the supervisor(s) and the graduate student. The relevant Head of Research will co-ordinate the examination including all arrangements for the examiner, venue and documentation. At least 5 weeks prior to the proposed examination the student should submit to their Head of Research an electronic copy of their report which must contain
 - A comprehensive description of the research work carried out to date;
 - A detailed written plan of the future research including the rationale and timeframes.
 The student undertakes an oral examination in private session which is solely attended by the examiner, the supervisor(s) and the relevant Head of Research (or nominee) who will act as a chairperson. Normally the examination will commence with a brief 15 minute (max) presentation by the student. The examiner will assesses the quality and progress of the research work to date and the quality and feasibility of the proposed programme of work for the award sought.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum) No Gap	Links to TU Dublin Policies and Procedures COARA Graduate Research Regulations PDF	Action Plan (Free text 200 words maximum) No Action
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		<p>(Graduate Research Regulations PDF Doc)</p> <p>Research Student Handbook (The Student Handbook for 2022-23 is currently being updated)</p> <p>https://www.tudublin.ie/for-staff/human-resources/people-development/</p>	
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Recruitment and Selection

Items listed here correspond with the Charter and Code. In addition, TU Dublin have completed the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at 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.

Current Status: Initiatives already undertaken / new proposals

1. The University is guided by the National Researchers Career Development & Employment framework ([IUA Researchers Career Framework](#)) and has implemented the provisions of that framework, through a number of policies and Standard Operation Procedures (SOP). The Irish Universities Association (IUA) represents, supports and advocates on matters of shared sectoral concern for its University members.
2. TU Dublin supports equality of opportunity, diversity and inclusion and encourages and accommodate underrepresented groups candidates with disability to make applications and accommodates candidates with disability to apply for All posts. The University has a high regard for the recommendations set out in the National Review of Gender Equality in Irish Higher Education Institutions (2016). Recruitment, selection and appointment are conducted in compliance with the Employment Equality Acts 1998-2015 and TU Dublin's Equality, Diversity & Inclusion policy.
3. TU Dublin's policy on Recruitment, Selection and Appointment provides the policy framework under which the University recruits and appoints all new staff including researchers. This policy specifically indicates the university's support for equality of opportunity, diversity and inclusion and the commitment to equality of opportunity for all job applicants and selects those suitable for employment solely on the basis of merit.
4. TU Dublin also has in place a 'Research Staffing Manual' (SOP document) to assist all recruiting line managers in the recruitment process. The SOP sets out the background information including job descriptions and person specifications for all levels of research employment posts.
5. TU Dublin has a Selection Procedures document which outlines the regulations and procedures governing the selection processes. The regulations cover the specific requirements for Selection Board members to participate in research staff recruitment. The selection procedures also specify the requirements for gender balance on boards. The Selection Board members must also complete the University's 'License to Recruit' training which includes the university's training session on unconscious bias and awareness of all the discrimination grounds listed under national legislation.

6. A candidate brief is attached to all job vacancies which clearly outlines the appropriate requirement and criteria for entry to the University. The document clearly specifies the appropriate essential and desirable criteria for each role as the University is committed to equality of opportunity and welcomes applications from all.
7. The University has a Disabilities policy and a Gender Identity & Gender Expression Policy for Staff and Students.
8. TU Dublin is also proud to hold an Athena Swan full Institutional Bronze Award in recognition of the University's commitment to advancing gender equality for women in science, technology, engineering and mathematics (STEM) and for bringing about organisational and cultural change.
9. The Graduate Research School policy document for the 'Code of Conduct for ensuring Excellence in Research Integrity' in TU Dublin applies to all levels of researchers.
10. The Graduate Research Regulations describe the processes for admission, progression and examination of PhD students. The regulations stipulate the admission's requirements. In making an application to pursue graduate research studies, a candidate is required to provide a transcript of the examination results, from a test taken within the previous 2 years, indicating proficiency in English. The Graduate Research School Office verifies the equivalency of non-Irish qualifications.
11. The Graduate Research Regulations describe processes for Recognition of Prior Learning which acknowledges, and gives value to, learning achieved prior to registering for a programme. Prior learning may be a result of successful participation in a formal learning programme for which certification has been awarded. (Accreditation of Prior Certificated Learning (APCL)) and/or may also be an outcome of non-formal or informal learning achieved through workplace training, voluntary sector activities or private study, which are not certified (Accreditation of Prior Experiential Learning (APEL))

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The University meets the requirements of this principle for continuing improvement purposes, the University intends to consolidate the research recruitment requirements into a dedicated policy and revised procedure document which deals specifically with the recruitment, selection and appointment of researchers.</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Recruitment,-Selection-and-Appointment--Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p> <p>Licence-to-Recruit-HRP016---December-2019 (Licence-to-Recruit-HRP016 PDF Doc)</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>Code-of-Conduct-for-Employees.pdf (Code of Conduct for Employees PDF Doc)</p> <p>Supporting Staff with Disability Policy PDF Doc</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 7. To review and update the recruitment, selection and appointment policy for researchers</p> <p>Action 10. To implement a formal system to measure / monitor HR recruitment, selection and appointment procedures to ensure OMT-R compliance</p>
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		<p>Gender-Identity-and-Gender-Expression-Policy-for-Staff-and-Students PDF Doc</p> <p>TU-dublin-celebrates-athena-swan-milestone</p> <p>https://www.tudublin.ie/explore/news/tu-dublin-receives-prestigious-gender-equality-award-.html</p> <p>Managers-Guide-to-Preparing-the-Person-Specification (Managers Guide to Preparing the Person Specification PDF Doc)</p> <p>Managers-Guide-to-Preparing-the-Interview-Evaluation (Managers Guide to Preparing the Interview Evaluation PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Managers Guide to Shortlisting PDF</p> <p>'Research Staffing Manual' (SOP document (new separate procedure document research planned)</p>	
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin's policy on Recruitment, Selection and Appointment for Researchers provides the policy framework under which the University recruits and appoints new research staff. This policy stipulates that the University is committed to implementing good practice in our recruitment, selection and appointment procedures that is free from inherent or potential bias, open and transparent, monitored, analysed and reviewed periodically so that a strategic and professional approach is followed at all times.

2. In line with the commitment to sourcing the best people for research roles, research roles are advertised in an open and transparent fashion, to give widespread access both nationally and internationally. All vacancies are advertised on our website <https://www.tudublin.ie/explore/jobs/> , we also advertise on Euraxess, Irishjobs and Jobs Ireland.
3. Research posts in TU Dublin progressively follow the nationally recognised grading for research roles as supported by the Irish University Association (IUA) [IUA website](#) and set out in the National Researchers Career Development & Employment framework ([IUA Researchers Career Framework](#)). The TU Dublin Research Staffing Manual (SOP document) outlines the template job descriptions and person specification for specific research roles. Hiring managers can then augment these templates to reflect and support their own role requirements.
4. TU Dublin has in place an online e-recruit system for advertising of vacancies and application processes.
5. Under OTMR guidelines within the university, research posts are advertised and open for sufficiently long to allow time for applicants to consider the role and make an application (minimum 2 weeks). To assist the application process, for roles that are not short term in nature, the advertisement of the role is supported by a candidate brief document to give prospective candidates sufficient information on the role. The candidate brief includes:
 - Information on the University
 - Information on the specific location seeking to hire (Faculty or Research hub)
 - Role overview / Job description
 - Person specification (including essential and desirable criteria)
 - Main terms & conditions of employment for the role
 - Details of the application process
 - Further information for candidates applying.

The preparation of the Candidate Brief is a critical management process, which is used for recruitment advertising and which directly influences shortlisting and selection at interview. Adequate time is set aside for this activity – up to 1 to 2 weeks. The Candidate Brief provides significant promotional opportunity for the functional area and is considered a valuable opportunity to attract the best possible applicants.

6. All PhD opportunities (both funded and non funded) are advertised in an open and transparent fashion, to give widespread access both nationally and internationally. The Graduate Research School webpage, Euraxess, Find a PhD webpage and occasionally the national press depending on funding.

<p>Implementation:</p> <p>++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p> <p>The University meets the requirements of this principle. For continuing improvement purposes, the University intends to consolidate the research recruitment requirements into a dedicated policy and revised procedure document which deals specifically with the recruitment, selection and</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p> <p>Recruitment,-Selection-and-Appointment--Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Managers-Guide-to-Preparing-the-Person-Specification</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 7. To review and update the recruitment, selection and appointment policy for researchers</p>
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	<p>appointment of researchers including PhD students.</p>	<p>(Managers Guide to Preparing the Person Specification PDF)</p> <p>Managers-Guide-to-Preparing-the-Interview-Evaluation (Managers Guide to Preparing the Interview Evaluation PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p>	
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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.

Current Status: Initiatives already undertaken / new proposals

1. The University is committed to implementing good practice in our recruitment, selection and appointment procedures that is free from inherent or potential bias, open and transparent, monitored, analysed and reviewed periodically so that a strategic and professional approach is followed at all times.
2. The University's policy for the composition of Selection Boards can be found within the policy on Recruitment, Selection and Appointment, and Selection Procedures document. The Selection procedures document outlines the principles of selecting Selection Board members, the shortlisting process, the conduct of the Selection Board and in particular the key role of the Chair of the Selection Board.
3. The University provides recruitment training entitled "License to Recruit" which must be completed by all Selection Board members to promote diversity, integrity and fairness. The composition of Selection Boards has provision for members from diverse background and different sectors. External Selection Board members are required to sign a declaration document before they can sit on the Selection Board. This declaration affirms the appropriate knowledge of equality legislation, the University's policies and responsibilities as a Selection Board member.
4. Gender balance is ensured by the requirements for the composition of Selection Boards described in the University's Selection Procedures.
5. The primary method of selection in the University is by means of an interview process (which may include a presentation) carried out by the Selection Board, of no fewer than three members, with appropriate gender balance. This can involve a two-stage interview process. Every candidate is offered the same opportunity to give the best of themselves, to demonstrate their suitability for the role and to ask questions. Other techniques or tools may be used to complement the selection, insofar as they will be used to test the competencies expressed in the Candidate Brief and candidates are notified in advance if this arises.
6. TU Dublin is committed to recruiting the best candidate for a role. It is the University's preference that candidates attend for interview in person. However, for candidates residing outside the island of Ireland or who are temporarily abroad, TU Dublin facilitates online interviews with prior arrangements. It is the candidate's responsibility to ensure that they can provide the conditions appropriate to an interview setting at the agreed interview date and time, and that they have access to compatible technology to allow the interview to take place.

7. For PhD students, the proposed programme of research work must be appropriate for the research award for which they are registering. The programme of research work may be approved: 1) through the TU Dublin scholarship assessment process or 2) by a recognised external funding agency (e.g. Science Foundation Ireland, Irish Research Council, Health Research Board) or 3) by application to the relevant School. The selection processes after advertisement for PhD students are the responsibility of each Supervisor of a project and/or the funding agency. The supervisor/Principal investigator matches the skillset and educational background of the student to the project.
8. Prospective students are encouraged to make informal contact with potential supervisors prior to registration. This contact will permit assessment of the feasibility of carrying out a research programme at the level sought, as well as allowing a thorough discussion of the proposed research project with the supervisor(s). It will facilitate discussion of funding arrangements, the availability of laboratory accommodation and other requirements. Expressions of interest in postgraduate research at TU Dublin can be submitted to <https://www.tudublin.ie/research/postgraduate-research/prospectivestudents/how-to-apply/>, using the PGR1A registration form. Applicants for the Doctorate in Music (Dmus) programme are requested to attend for audition interview in person.

<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The University has identified a gap in the existing selection protocol allowing for wider external participation in Selection Board committees</p> <p>The University has identified a gap in the information for PhD supervisors especially first time supervisors. A guide to assist with the selection of PhD students will be developed as an aid to supervisors, to complement the information already provided in the Graduate Research Regulations document.</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Recruitment,-Selection-and-Appointment-Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p> <p>Licence-to-Recruit-HRP016---December-2019 (Licence-to-Recruit-HRP016 PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Role of the Chair of a Selection Board PDF Doc</p> <p>Graduate Research School PGR Forms PGR-1A-Student-Registration Form PDF Doc</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 8a. To review existing Selection protocol for Research posts with the view towards wider participation of external board members</p> <p>Action 8b. To review and update the Research manual (an SOP for research managers and researchers)</p> <p>Action 9. To develop a new candidate guide for researchers – information pack for candidates</p> <p>Action 11. To implement formal Guidelines for the selection of PhD students.</p>
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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.

Current Status: Initiatives already undertaken / new proposals

1. Each recruitment campaign is underpinned by a robust planning process conducted prior to advertisement. The objective of good planning is to ensure TU Dublin can give as much information as possible to potential candidates to support the recruitment process. The Candidate Brief is the main source of information and is the focus for candidates in understanding TU Dublin, the role itself, the number of vacancies, the experience, knowledge, skills, abilities and competencies required/desired, the terms and conditions associated with the post, the application process and contact details for further information.
2. Candidates are informed at application stage of the recruitment process. The selection criteria are clearly stated in the Candidate Brief and applicants are assessed based on the selection criteria.
3. The number of available positions is clearly outlined in the job description and whether the post is part-time or full-time.
4. Interview feedback is considered an important part of the recruitment process, and it is constructive and helpful. The selection board record the rationale, after shortlisting and interview, so that feedback can be given to candidates. Feedback is factual and accurate and relates to the candidate's overall application and performance at interview. The Chair of the Selection Board (or another nominated selection board member) may provide feedback to unsuccessful candidates if requested.
5. Progression through the levels in the research career path is by way of open competition which is a transparent process based on research excellence and merit.
6. The University provides a mechanism for a candidate to appeal two key decisions within the recruitment and selection process 1) the Shortlisting decision and 2) the Selection Board decision. Details of this appeal process is provided to candidates in the candidate brief document.
7. The University provides a mechanism for a PhD student to appeal against decisions in respect of withdrawal, transfer, annual evaluation, confirmation for PhD registration, recommendations of examination boards or decisions of Academic Council. The procedure is described in the Postgraduate Regulations and is initiated by submission of the PGR5G form, both available on the University website.

Implementation:
++ = fully implemented

GAP between the principle and current practice in TU Dublin.
(Free text 300 words maximum)

No gap

Links to TU Dublin Policies and Procedures

[Recruitment,-Selection-and-Appointment-Policy-14.08.23.pdf](#)

(Recruitment, Selection and Appointment HRP008 PDF Doc)

[Selection Procedures -COVID-19](#)

[HRSOP001](#)

(Selection Procedures HRSOP010 PDF Doc)

Candidate Brief Template [HERE](#)

Managers Guide to Shortlisting PDF Doc

Also see [here](#)

Action Plan
(Free text 200 words maximum)

No Action

		Managers-Guide-to-Preparing-the-Person-Specification (Managers Guide to Preparing the Person Specification PDF)	
		Managers-Guide-to-Preparing-the-Interview-Evaluation (Managers Guide to Preparing the Interview Evaluation PDF Doc)	
		Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)	
		PGR-5G-Student-Appeal PDF Doc Graduate Research School PGR Forms	

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.

Current Status: Initiatives already undertaken / new proposals

1. The Research Staffing manual provides guidance to the range of skills and experience required at different levels of research roles. Hiring managers can augment these templates to reflect and support the requirements of the specific role for each project.
2. The University provides for a varied selection process in our Selection policy, and this process takes into consideration the whole range of experience of candidates, their overall potential as researchers; their creativity and level of independence. Principal Investigators / hiring managers are required to identify in advance the required essential and desirable criteria for selection and to assess all candidates against these criteria for shortlisting for interview. At interview, all criteria can again be assessed.
3. The Essential Criteria for R2 to R4 research levels include the appropriate mix of knowledge, experience, skills, talent and abilities, as outlined in the National Researchers Career Development & Employment framework:
For example; for a Post-Doctoral Researcher, these criteria include;
 - An Honours Degree from an approved degree awarding institution or equivalent in an appropriate discipline
 - A PhD or equivalent
 - Evidence of a research profile and publication record within the requisite subject area.
 - Knowledge of research techniques and methodologies.
 - Commitment to high quality research.
And for a Research fellow, these criteria include the appropriate mix of knowledge, experience, skills, talent and abilities as outlined below:
 - An Honours Degree from an approved degree awarding institution or equivalent in an appropriate discipline.

- Research degree, normally PhD or equivalent.
And
- Significant Post-doctoral research experience or equivalent research experience (five years) in the public or private sector.
- Evidence of strong research publication record and national/international recognition of achievement within the requisite subject area.
- Effective written and verbal communication skills with ability to present complex information effectively to a range of audiences.
- Record of having secured independent, competitive research funding.
- Extensive knowledge of research techniques and methodologies.

These criteria are in line with the National Researchers Career Development & Employment framework

4. The work experience of the candidates, in either public or private sectors, is taken into account in the assessment of candidates.
5. The entry requirements for the PhD programme include as follows:
 - A Minimum of a 2.1 honours degree (level 8) in a relevant discipline
OR
 - Transfer from the research Master's degree (level 9)
6. Evaluation criteria for student scholarship awards are typically in four categories Applicant 40 %, Project 40 %, Career Plan 10 %, Infrastructure 10 %. The Applicant category includes the whole range of experience of the candidates such as their track record and research potential, their key achievements, taking their personal statement into account, match between their profile and the proposed research project and Evidence of independent thinking.
7. The Graduate Research School (GRS) also recognises prior learning. Recognition of Prior Learning (RPL) is a process which acknowledges, and gives value to, learning achieved prior to registering for a programme or prior to seeking an award. Prior learning may be a result of successful participation in a formal learning programme for which certification has been awarded. In this case, the process is called Accreditation of Prior Certificated Learning (APCL). Prior learning may also be an outcome of non-formal or informal learning achieved through workplace training, voluntary sector activities or private study, which are not certified. The process of using this type of learning for higher education purposes is called Accreditation of Prior Experiential Learning (APEL).

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Candidate Brief Template HERE</p> <p>Managers Guide to Shortlisting PDF Doc Also see here</p> <p>Recruitment,-Selection-and-Appointment- -Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>
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		Managers-Guide-to-Preparing-the-Person-Specification (Managers Guide to Preparing the Person Specification PDF)	
		Managers-Guide-to-Preparing-the-Interview-Evaluation (Managers Guide to Preparing the Interview Evaluation PDF Doc)	
		Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)	
		Role of the Chair of a Selection Board PDF Doc	

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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin operates an open competition for research posts by which applicants log on to the University's eReruit online system to make an online application and upload a CV and covering letter. All applications are collated by the system when the competition closes. The system allows applicants to put as much or as little information in their application as they choose to. There is a contact email for PIs / hiring managers and a HR contact person included in the candidate brief to allow applicants the opportunity to seek more details if desired.
2. Candidates are assessed and awarded merit, based on all the qualification and experience on CVs which meets the selection criteria identified in the candidate brief for the advertised position. All applications must meet the essential criteria as listed in the advertisement to be shortlisted.
3. Selection interviews will look at the candidate's qualification and experience and may include competency based questions on the wider skills based interview process. These interviews, which may (or may not) require a presentation by the candidate, are based on judging merit against the essentials and desirable criteria identified for the position. All selection board members are involved in the selection and interview process. The Selection Board will make a recommendation as to the most meritorious candidate following interview.
4. Prospective PhD students are assessed and awarded merit, based on all their qualification and experiences on CVs which meets the selection criteria of the project. Prior learning is recognised in awarding merit.
5. Career breaks and/or gaps in CVs are not penalised. The online application form category includes the whole range of experience of the candidates such as their experience, and research potential, their key achievements, taking their personal statement into account, the match between the applicant's profile and the proposed research project and evidence of independent thinking.
6. The Graduate Research School also recognises prior learning. Recognition of Prior Learning (RPL) is a process which acknowledges, and gives value to, learning achieved prior to registering for a programme or prior to seeking an award. Prior learning may be a result of successful participation in a formal learning programme for which certification has been awarded. In this case, the process is called Accreditation of Prior Certificated Learning (APCL). Prior learning may also be an outcome

of non-formal or informal learning achieved through workplace training, voluntary sector activities or private study, which are not certified. The process of using this type of learning for higher education purposes is called Accreditation of Prior Experiential Learning (APEL).

7. The University has a provision in the research SOP for equivalencing of qualifications. Most posts have a minimum qualification that the applicant must have achieved to be eligible to apply. In instances where the Academic Qualification has not been achieved, but applicants can demonstrate relevant experience inside or outside academia, this experience may be deemed equivalent to having obtained the required qualification.

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Candidate Brief Template HERE</p> <p>Recruitment,-Selection-and-Appointment-Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has a comprehensive Recruitment, Selection & Appointment policy and a Research Staffing manual that is committed to removing any mobility experience barriers in research staffing. The HR policy helps to conduct a fair, open and internationally competitive recruitment & selection processes.
2. Agreed standard job descriptions for Research Assistant, Post-Doctoral Researcher and Research Fellow positions are included in the Research Staffing manual. These standard set of criteria must be included in the job description with an allowance to add further competencies which are relevant to the position and project. Where mobility experience is considered to be an essential or desirable criterion for the position, this will be taken into account by the selection board members in the same way as the other criteria and scored accordingly in line with the recruitment policy.
3. Mobility is encouraged and facilitated at postgraduate level and is considered as an added-value when there is a clear scientific justification.
4. The University's mentored training for post-doctoral fellowship encourages researches to complete their fellowship with the University and take up employment as a fully autonomous researcher with another employer.
5. The work experience of the candidates in either public or private sectors is taken into account in the assessment of candidates.

6. TU Dublin hosts visiting academics from other higher education institutions and other organisations who spend time at the University contributing to its teaching, research and professional activities. Such visits are an opportunity for dialogue and networking. A visiting position encourages academic staff mobility and enhances the range of relationships and partnerships established with other higher education institutions, research organisations, industry and other organisations.
7. TU Dublin also facilitates mobility through the Hosting Agreement scheme. This is a scheme for the admission of non-EEA Researchers into Irish institutions and . implements a European Union Directive on the admission of third country nationals for the purpose of conducting research. Details of the scheme can be found [Hosting Agreement Leaflet.pdf](#) and [Euraxess .](#)

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Hosting Agreements leaflet PDF Doc</p> <p>Policy for Visiting Scholars, Adjunct Staff and Emerita/Emeritus Fellows at TU Dublin PDF Doc</p> <p>Candidate Brief Template <u>HERE</u></p> <p>Recruitment,-Selection-and-Appointment--Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>
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19. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal 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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has qualification requirements outlined in job descriptions in our Candidate Briefs. For certain applicants that have international qualifications, equivalencies are considered and assessed for suitability.
2. Where a specific qualification and/or professional experience is an essential criterion, candidates will be required to provide original academic transcripts, parchment and original statements from previous employers. The University reserves the right to verify documentation with the relevant bodies/employers.
3. Clarification for Human Resources / Graduate Research School can be sought from the University's Academic Affairs office regarding verification of qualifications.
4. Our standard operating procedures for recruitment of employed researchers include details by which equivalencing experience may be taken into account, whereby the applicant can demonstrate experience inside or outside academia.
5. PhD studentship advertisements follow the requirement of projects. The GRS carry out a qualification check on all CVs. For non-Irish qualification, Quality & Qualifications Ireland have a unit called a [National Academic Recognition Information Centre](#) (NARIC). NARIC Ireland provides advice on the academic recognition of a foreign qualification by comparing it, where possible, to a major award type and level on the Irish National Framework of Qualifications (NFQ).

Implementation:
++ = fully implemented

GAP between the principle and current practice in TU Dublin.
(Free text 300 words maximum)

No Gap

Links to TU Dublin Policies and Procedures

[Recruitment,-Selection-and-Appointment-Policy-14.08.23.pdf](#)
(Recruitment, Selection and Appointment HRP008 PDF Doc)

[Graduate Research Regulations PDF](#)
(Graduate Research Regulations PDF Doc)

'Research Staffing Manual' (SOP document) (new separate procedure document research planned)

Action Plan
(Free text 200 words maximum)

No Action

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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has in place a 'Research Staffing Manual' (SOP document) to assist all Principal Investigators / hiring managers in the recruitment process. The SOP sets out the background information including job descriptions and person specifications for all levels of research posts.

2. The person specification and description are in line with the National Researchers Career Development & Employment framework, which outlines the appropriate mix of knowledge, experience, skills, talent and abilities for each level and these are referred to as essentials or desirables.
3. There is a progressive nature of essential qualifications required for each level of post.
4. The selection criteria for both the job and person specification relate only to the requirements of the job in line with the University's policy and these are the main basis for assesment.
5. Qualifications are a requirement for all positions; however, equivalencies may be considered for certain applicants with international qualifications and/or experiences. Most posts have a minimum qualification that the applicant must have achieved to be eligible to apply. In instances where the Academic Qualification has not been achieved, but applicants can demonstrate relevant experience inside or outside academia, this experience may be deemed equivalent to having obtained the required qualification.
6. Recruitment, selection and appointment are conducted in compliance with the Employment Equality Acts 1998-2015 and other relevant legislation.

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Recruitment,-Selection-and-Appointment-Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p> <p>Managers-Guide-to-Preparing-the-Person-Specification (Managers Guide to Preparing the Person Specification PDF)</p> <p>TU Dublin Salary Scales</p> <p>TU Dublin's Equality, Diversity & Inclusion Statement and policy (Currently being developed)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin's career management structure for researchers clearly identifies the levels within the researcher career path which includes Research Assistant, Postdoctoral researcher, Senior Postdoctoral researcher, Research Fellow and Senior Research Fellow. (In line with the the National Researchers Career Development & Employment framework ([IUA Researchers Career Framework](#)))
2. TU Dublin's Postdoctoral phase is an early stage career role, designed to attract and develop researchers through the provision of mentored research training opportunities available in the University. The Researcher gains practical experience working under the direction of a Principal Investigator. This structured training programme and career development is aimed to enable Postdoctoral researchers to acquire the skills and experience necessary to move through the research career pathway to become independent researchers or to pursue careers outside of the university in private enterprise or other areas of the public sector.
3. Progression through the levels in the research career path is by way of open competition which is a transparent process based on research excellence and merit.
4. The Postdoctoral researcher role is not proposed as a permanent career role, the role empowers researchers to complete their doctoral development and pursue a number of career trajectories, such as to become an independent researcher or to transition into private enterprise or to obtain an academic position.
5. To facilitate the above, TU Dublin offers a programme role of up to 5 years to all Post-doctoral researchers to give them stability of tenure during this early career stage and safeguard against the precarity of multiple short term contracts.

<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p> <p>Job Spec for a Post-Doc PDF</p> <p>Post Doctoral Researcher Contract PDF Doc</p> <p>Researcher Career Development Framework, established in 2019 and is currently under review. TU Dublin Researcher-Career-Development Frameworks/</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>
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Working Conditions and Social Security

22. Recognition of the profession

All researchers engaged in a research career should be recognised 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).

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin values all research students and employees and recognises the professionalism in the work they do. The university has established a Research & Innovation Academy to play a key role in the development of the university's research and innovation strategy, related policy development, promoting and advocacy for research within the university and for the evolution of supports for the research community. All levels of researchers are represented at the Academy.
2. The University has a dedicated organisation structure (OD) to support the Research activity. The OD structure has professional support in the form of a Research Support Services, together with dedicated managerial support for such areas as Ethics, Intellectual Property, Engagement & Impact.
3. Employment roles in the University are recognised by the alignment with the Irish University Association (IUA) grading structures for professional researchers (Levels R2 – R4). TU Dublin fully supports the Researcher Career Development and Employment Framework (RCDEF) drafted by the IUA and which was approved by all stakeholders in 2019 (<https://www.iua.ie/for-researchers/researcher-salary-scales-career-framework/> (Link to IUA doc).
4. The University has implemented the concept of a 5 year postdoctoral researcher fellowship, as a mechanism to reduce the precarity of multiple short term contracts and to give the postdoctoral candidates more certainty in their employment tenure. We have extended this concept to other researcher levels such as Research Assistant and Research Fellows, when circumstances permit and the on-going pipelines of programme activity are more certain. Researchers can progress along the grading structure through open competition, whereby more senior roles are advertised and recruited to according to a competitive recruitment process.
5. TU Dublin Research and Innovation Awards are aimed at recognising and rewarding the positive contributions of the research & innovation community in the pursuit of their goals in pushing the boundaries of knowledge to create a better world for all. The awards are supported by the Vice President for Research and Innovation and seek to celebrate commitment to research and innovation excellence from all disciplines across the university.

Implementation:

++ = fully implemented

GAP between the principle and current practice in TU Dublin.

(Free text 300 words maximum)

No Gap

Links to TU Dublin Policies and Procedures

'Research Staffing Manual' (SOP document) (new separate procedure document research planned)

[Intranet Research & Innovation Academy Terms of Reference](#)
(Research & Innovation Academy Terms Of Reference PDF)

(Research Hubs Detailed Design Report PDF Doc)

[Research--innovation-awards/](#)

Action Plan

(Free text 200 words maximum)

No Action

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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin is undergoing an extensive re-development programme and a substantial part of that programme is the upgrading of research spaces and facilities. The new space will enhance the university's ability to continue to provide a stimulating and permissive research ecosystem. Our strategic Intent 2030 aims to provide dedicated space, time and infrastructure for research, to support major research programmes and grants, to foster interdisciplinary, stimulate and nurture the development of research groups.
2. The University strongly encourages collaborative and interdisciplinary research. This, inevitably, requires access to research networks including appropriate, secure remote networking which are in place in the University.
3. The University has a number of mandatory training requirements in place for all employees reflecting their role within the organisation. These include health & safety training, laboratory practise, etc in relation to research and researchers. The People Development programme works closely with the Health & Safety and Welfare office in delivering Safety, Health and Welfare training to staff. Under Health & Safety legislation, some training is required for all staff. In recognition of statutory obligations, TU Dublin has adopted a Safety, Health and Welfare training for Employees Policy. The Policy outlines the legal obligations of how to avail of training and provides details of the mandatory training.
4. The University supports research infrastructure within the University, Funders are additionally expected to provide adequate and sufficient resources (based on the PIs and supervisor's request) to support any agreed work programme.
5. Staff Induction and Research Student Induction are available to all new staff and research students and covers all aspects of research regulations and processes.
6. The People Development unit also offers a comprehensive programme of wellbeing and health promotion initiatives to support staff and students of the University. It seeks to empower individuals to increase control over their own wellbeing by providing skills & knowledge necessary to enjoy wellbeing to their full potential. TU Dublin is committed to creating a university where 'people love to work & learn'.
7. TU Dublin has prioritised its research activities in thematic clusters and built up Research Institutes and Centres of Excellence in selected areas founded in our fundamental research and applied expertise. Research teams work across the creative arts, sciences, engineering, business and technology arena to focus on areas that will benefit business and society in the following thematic areas:
 - a. Environment, Energy & Health
 - b. Information, Communications & Media Technologies
 - c. New Materials & Devices
 - d. Society, Culture & Enterprise.

The above is under the old structure, the new TU Dublin Research & Innovation strategy identifies research priorities as:

- a. Health and Wellbeing for a Flourishing Society
- b. Transformative Digital Solutions
- c. Sustainable Food Systems and Environmental Protection
- d. Materials and Technologies for Sustainable Transformation
- e. Culture, innovation and inclusivity in a Changing Society

8. TU Dublin has the expertise, techniques, and facilities that have, and can deliver excellent results to make significant influences regionally, nationally, and globally in our many Research Hubs, Centres and Groups. We also support and encourage individual researchers who are aligned to our identified strategic research priorities. We are already thinking ahead to the next generation of new areas in which to grow, and so we also foster research in the new thematic areas, and those that support bespoke industry-specific research collaborations.

9. TU Dublin's Research hubs include –

- **Centre of Applied Science for Health** - The Centre has a suite of biology, chemistry, engineering, sports science and innovation laboratory spaces for collaborative research. In addition, we have access to the Department of Applied Science Pilot Plant for R&D projects in bioprocessing and process improvements. Cycle 4 (2007) approx. 2000m² space.
- **Environmental Sustainability and Health Institute** – Specific laboratory facilities information include Core Laboratories; Molecular Biology Suite; Cell Culture Laboratory; Analytical Instrumentation Suite; Pathogen Laboratory; Microbiology Laboratory; Support Rooms; Vision Sciences and Optometry Facility; Biomedical Engineering and Assistive Technologies; Bio-Plasma Laboratory; Dublin Energy Laboratory (DEL). Cycle 5 (2011) – 2600m² space.
- **FOCAS Research Institute** - The core of the Institute is a suite of common shared laboratories . These provide essential services in: Spectroscopy, Microscopy and Sample Preparation & Analysis. Cycle 1 (1999), 2600m² space. Extended under Cycle 4 (2007) to 3200m².
- **ICE Research Institute** - The Information, Communication and Entertainment (ICE) hub is the home for TU Dublin's research across the ICT/digital media stack, and the domains that ICT intersects.

FOCAS, CASH and ESHI were funded by the HES Programme for Research in Third Level Institutions (1989- 2013) which was aimed at the strategic development of research capacity and capability in the academic sector. It had emphasis on Impact on Teaching and Learning at all levels. ICE was seeded and established by own funds.

10. TU Dublin's Research Centres include –

- **Dublin Energy Lab** - DEL has access to a wide range of research facilities across the TU Dublin which include: electric power, thermodynamics, transport and civil research laboratories and fabrication shops; multifunctional research spaces; extensive indoor and outdoor testing facilities for renewable devices, facade elements and materials; a wide range of building energy monitoring equipment; extensive software including energy systems modelling, CFD modelling, statistics, visualisation, thermodynamic modelling, structural modelling, life cycle assessment, traffic modelling, etc.; and advanced spectroscopic facilities for materials characterisation, and nanofabrication facilities.
- **Centre for Industrial and Engineering Optics** - The Centre for Industrial and Engineering Optics (IEO) specialises in holographic and interferometric techniques and has developed novel technologies with applications in product authentication, sensing, vibration measurement and optical device fabrication.
- **Nanolab** - The Nanolab Research Centre has unparalleled expertise in state-of-the-art nano material characterisation and the analysis of the interaction of Nanomaterials with biological systems, both mammalian and aquatic (fresh and marine water) systems.
- **National Centre for Franco - Irish Studies**
- **Photonics Research Centre** - The Centre houses state-of-the art equipment for optical fibre devices and sensors design, fabrication and characterisation. The Centre has 90 m² of dedicated laboratory space in the School of Electrical and Electronic Engineering
- **Centre for Psychology, Education & Emotional Intelligence.**
- **The Centre for Socially Engaged Practice-Based Research (SEPR)** - SEPR foregrounds lens-based and socially engaged art practice, together with ethnographic/participatory methods as a transdisciplinary orientation in the production, theorization and dissemination of new knowledge within and outside the academy.
- **RINCE** - AIB Research Centre on Inclusive and Equitable Cultures.

- **Centre for Radiation and Environmental Science** - The Centre for Radiation and Environmental Science is a research centre in TU Dublin with ongoing research in the following areas: Radiation Biology, Biophotonics & Imaging, Environmental Toxicology and Testing of New Materials.

11. TU Dublin’s Research Groups include –

- CREATE Research Group
- Computer Science Inclusive
- Food Innovation Lab
- Molecular Design and Synthesis Group
- Human Factors in Safety & Sustainability (HFISS)
- Sustainable packaging & Bioproducts Research (SPBR)
- Critical Media Literacy
- Security Research Group
- Social Media Research Group
- Green Chemistry Biocatalysis

12. TU Dublin’s Enterprise Ireland Technology Gateways include –

- The Centre for Research in Engineering Surface Technology (CREST) is the only dedicated surface coatings laboratory in Ireland.
- MICRA-Biodiagnostics - MICRA is an industry-led research and development facility that focuses on the advancement of biosensor technologies.

13. TU Dublin has approved detailed organisational designs for Research Hubs, as part of the overall design of the TU Dublin Research & Innovation function.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	Research-institutes-centres-and-groups/ TU Dublin Safety, Health and Welfare Policy pdf doc Strategic Intent 2030 Strategic Intent 2030 PDF Doc Employee Wellbeing Student Wellbeing Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc) (Research Hubs Detailed Design Report PDF Doc)	No Action

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, parttime working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin issues all employees, including researchers with a contract of employment and all researchers have access to comprehensive information on the HR website on employment conditions, policies and procedures. Letter of offer are issued to PhD students detailing terms and conditions.
2. The University offers support to people with disability and ensures that staff and/or students with a disability have equal access to every aspect of the University including employment, training, promotion, and career development and that their safety, health, and welfare is appropriately supported. The Disability Support Services in TU Dublin aims to ensure that any student with a disability does not experience an educational disadvantage and that all students can access and equally participate in and benefit from educational opportunities in our University.
3. Access to comprehensive information on policies and procedures is available on the Intranet via <https://www.tudublin.ie/for-staff/human-resources/policies--forms/>. Researchers have access to policies in the same manner as every staff member commensurate with their legal status. TU Dublin has a range of policies covering work life balance e.g., different leave arrangements and working patterns including: maternity leave, paternity leave, study & exam leave, force majeure leave and special leave of absence.
4. Researchers (R2 to R4) have access to leave schemes in the same way as any other category of employee. Leave such as career breaks, carer's leave, part-time working must be agreed and approved by the line manager as appropriate. Each parent is entitled to Parental leave for each child in line with national statutory provisions.
5. The University has introduced the blended working arrangements to accommodate working from home. The University recognises that the blended working arrangements enable a better work/life balance for staff, reduce stress, improve employee motivation, performance and productivity, as well as enhance the attractiveness of the University as a place to work. The University recognises that the relevant health and safety regulations and employment legislation apply whether a staff member is working on campus or working remotely.
6. TU Dublin supports an inclusive working environment in which all staff are treated with dignity and respect are supported to reach their full potential. The University ensures that staff with a disability have equal access to every aspect of the University including employment, training, promotion, and career development and that their safety, health, and welfare is appropriately supported.

Implementation:	GAP between the principle and current practice in TU Dublin.	Links to TU Dublin Policies and Procedures	Action Plan
++ = fully implemented	(Free text 300 words maximum) No Gap However there is a continuous improvement initiative with the development of an EDI policy	(Free text 300 words maximum) Employee Wellbeing https://www.tudublin.ie/for-staff/human-resources/policies--forms/ (Adoptive Leave HRP031 PDF Doc) (Annual Leave HRP001 PDF doc) (Carers Leave HRP032 PDF Doc) (Force Majeure Leave HRP025 PDF Doc) (Maternity Leave HRP021 PDF Doc) (Parental Leave HRP024 PDF Doc) (Paternity Leave HRP022 PDF Doc)	(Free text 200 words maximum) Action 12a. To publish revised a TU Dublin's Equality Statement 2023-2028 Action 18. To carry out a review of the provision of additional office facilities for Researchers in the university, including a PhD student.

		<p>(Sick Leave and Managing Absences HRP009 PDF Doc) (Special Leaves of Absence Policy HRP033 pdf doc) (Supporting Staff with Disabilities Policy pdf doc)</p> <p>Disability-support-service for students</p> <p>TU Dublin's Equality, Diversity & Inclusion policy (Currently being developed)</p> <p>Blended-Working Blended Working Procedure PDF Doc Blended Working Policy HRP036 PDF Doc</p> <p>Supporting Staff with disability TU Dublin Policy Supporting Staff with Disabilities PolicyPDF Doc</p>	
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<p>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.</p>			
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. TU Dublin recognises the unstable nature of employment based on research activity and the external funding of individual projects. A research project is a time and objective limited piece of research work carried out on the basis of funding awarded specifically for the purposes of conducting that work. While many employment contracts still need to issue against individual projects, the Univeristy has introduced the concept of a research programme, which is longer term and strategic in nature with longer term aims as opposed to specific objectives, to reduce the precarity of mulitple short-term contracts. 2. A research programme consists of a number of discrete pieces of research sharing a common thread. These discrete pieces of work are normally research projects. Research staff are normally recruited to operate at a programme level and may be assigned to various research projects within that programme during their employment. This concept was initially introduced for Level 2 Post Doctoral Fellowships, but has been extended in certain cases to Senior Research Fellows, Research Fellows and Research Assistants. This allows the University to offer employment contracts of up to 5 years to provide more stability of employment to researchers. 3. Progression for researchers, to higher roles or new roles at existing levels, is available through competition which is the advertisement of new opportunities on the University's internal recruitment portal https://www.tudublin.ie/explore/jobs/ and/or on external websites. 			
<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin.</p>	<p>Links to TU Dublin Policies and Procedures</p>	<p>Action Plan (Free text 200 words maximum)</p>

	(Free text 300 words maximum) No Gap	https://www.tudublin.ie/explore/jobs/ https://www.tudublin.ie/for-staff/human-resources/policies--forms/ 'Research Staffing Manual' (SOP document) (new separate procedure document research planned)	No Action
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin aligns its salary scales for researchers with the sector wide norm as published by the Irish University Association (IUA) [IUA 4 Researchers Salary Scales-Career-Framework](#). The salary scales in use in the University are published on the HR webpage of the University and while aligned to the IUA do allow for some university specific flexibility in the recruitment of research assistants for which separate scales are in operation to allow for additional qualifications and/or increased experience.
2. Researchers who come to work in the university under specific grant conditions are awarded employment contracts in line with the grant award, e.g. Marie Sklodowska Curie Early Stage Researcher awards, or Marie Sklodowska Curie Experienced Researcher awards.
3. There is one difference in the application of the IUA scales for TU Dublin. At the moment the University is not encompassed by the Universities Act 1997 and thus is not permitted to allow access for staff on research grades entry into the public sector pension scheme. <https://www.irishstatutebook.ie/eli/1997/act/24/enacted/en/html> This is an anomaly which has existed historically and is being pursued with the University's governing state department. As an alternative, research staff are offered access to a Personal Retirement Savings Account (PRSA) in line with current legislation.
4. Some Research Students receive graduate student stipend payments as part of their PhD programme but this depends on the funding for their programme. There is a team dedicated to Research within the Finance Department. They are responsible for tasks such as setting up projects on TU Dublin's finance software platform; checking budgets; setting up graduate student's stipend payments; and submitting finance claims to funders. They also provide support to organisations undertaking audits on a regular basis on behalf of funders including Science Foundation Ireland (SFI), Enterprise Ireland and the Comptroller and Auditor General (C&AG).
5. For PhD students, Heads of School sign off on resources, which includes funding arrangements, the availability of laboratory, accommodation and other requirements.
6. Researchers employed in TU Dublin do pay social insurance and the university funds the employers contribution to have access to social security provisions in line with national legislation. Researchers also have access to the suite of HR policies in relation to statutory leave entitlements.
7. List of the statutory leave types
 - I. Annual Leave
 - II. Public Holidays
 - III. Maternity Leave
 - IV. Adoptive Leave
 - V. Carer's Leave

<p>VI. Parental Leave VII. Paternity Leave VIII. Force Majeure Leave</p> <p>8. On a national level, the Department of Further and Higher Education, Research, Innovation and Science is reviewing the stipend of PhD students. See more information www.gov.ie/ and here</p>			
<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>At the moment the University is not permitted to allow access for staff on research grades entry into the public sector pension scheme. The University to continue to engage with the government state department to rectify this for TU Dublin researchers</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>TU Dublin Salary Scales TU Dublin Policies & Forms (Adoptive Leave HRP031 PDF Doc) (Annual Leave HRP001 PDF doc) (Carers Leave HRP032 PDF Doc) (Force Majeure Leave HRP025 PDF Doc) (Maternity Leave HRP021 PDF Doc) (Parental Leave HRP024 PDF Doc) (Paternity Leave HRP022 PDF Doc) (Sick Leave and Managing Absences HRP009 PDF Doc) (Special Leaves of Absence Policy HRP033 pdf doc)</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 19a. The enrolment of researchers in a pension scheme</p> <p><i>NB: It should be noted that this issue is outside the remit of the university to approve. Continue to advocate for a reversal of a previous government decision that prevents staff on research contracts in the Technological University sector for being admitted to the university pension scheme.</i></p> <p>Action 19b. Review the current payment of stipends by the University to PhD students (tax free living allowance payments to R1 researchers) with a view to assessing the financial viability for increasing stipends. The review should also look at a broader advocacy of research funders to ensure the equality of treatment with regards to such stipends.</p>

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.

Current Status: Initiatives already undertaken / new proposals

1. The University has a functional area, Equality Diversity and Inclusion (EDI) unit (led by a Director of EDI) which works across the university to advance EDI and to ensure we build an inclusive culture, promote equality, prevent discrimination and protect the human rights of staff, students, and everyone affected by our policies and plans. The unit has published a Equality Statement for the University and is currently working on its policy.
2. TU Dublin is committed to advancing equality, including gender equality, in all aspects of its work. The equality work of the University benefits from being informed by the UN Sustainable Development Goals, including SDG 5 'Achieve gender equality and empower all women and girls'.
3. The Athena Swan Bronze Award recognises a University's commitment to change and its plans to address systemic gender inequality. TU Dublin was awarded a full institutional Bronze award since 2022, to be renewed every four years. The associated action plan demonstrates the university's commitment to accelerate change at all levels towards gender equality, in particular in section 2.3 in relation to Research Profile Supports.
4. The School of Mathematics and Statistics was the first school to achieve the Athena Swan Bronze award.
5. In the recruitment process, the University ensures that persons involved in making employment-related decisions are aware of their responsibilities, University policies, related procedures, and legal requirements. The mandatory Licence to Recruit training for all employees who sit on a selection board includes training on unconscious bias and HR policies.
6. TU Dublin is committed to equality of opportunity for all job applicants and selects those suitable for employment solely on the basis of merit.
7. The issue of gender representation is a clear requirement for Selection Boards in the researcher recruitment process of the university and is set out in the Selection Procedures document for all hiring managers approved by the Governing Body of TU Dublin. document for all hiring managers. The Gender Representation required for all Selection Boards – 40% Female, 40% Male in the recruitment policy for employees.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	EDI thenaSwan -Action-Plan (Athena Swan Action Plan 2022 – 2025 pdf doc) School of Mathematics and Statistics Athena Swan Bronze award Mathematics-and-statistics athena-swan-bronze-award TU Dublin Equality, Diversity, and Inclusion Mission https://www.tudublin.ie/explore/about-the-university/equality-and-diversity/ EDI Equality Statement EDI Equality Statement PDF Doc	Action 12. TU Dublin's Equality, Diversity & Inclusion policy (Currently being developed) (Principle 10 and 27)

		TU-dublin-celebrates-athena-swan-milestone Recruitment,-Selection-and-Appointment--Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc) Selection Procedures -COVID-19 HRSOP001 (Selection Procedures HRSOP010 PDF Doc) Licence-to-Recruit-HRP016---December-2019 (Licence-to-Recruit-HRP016 PDF Doc) TU Dublin's Equality, Diversity & Inclusion policy (Currently being developed)	
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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.			
Current Status: Initiatives already undertaken / new proposals			
<ol style="list-style-type: none"> 1. TU Dublin provides a structured programme of training to all researchers through the Researcher Career Development Framework. This was established in 2019 and is currently being reviewed. It is currently available to all researchers but in particular those on Postdoctoral and Research Fellows contracts. 2. Some of the modules and wider information events are also available to other research staff, e.g. Research Assistants. 3. An orientation event for all research staff is held at least once a year. 4. A mentorship programme is currently being piloted for all researchers. 5. The Graduate Research School provides a comprehensive and structured Professional Skills Development for all graduate research students (R1 researchers) enrolled in TU Dublin. 			
Implementation: +/- = almost but not fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)

	<p>While the University provides a range of training and development opportunities for researchers (R2 to R4), this service is being reviewed under the research career development framework to give researchers additional opportunities including mentoring.</p>	<p>Skills Training & Graduate Research Modules</p> <p>Professional-Development-Modules-2022-2023.pdf (PhD Students Professional Skills Development 2022 – 2023 pdf doc)</p> <p>Researcher Career Development Framework, established in 2019 and is currently under review TU Dublin Researcher-Career-Development Frameworks/</p>	<p>Action 13a: To implement a Mentoring programme</p> <p>Action 13b. To develop Researcher Career Development Training Programme modules geared for different levels of career stage</p> <p>Action 14a. To deliver Orientation for all new researchers (to be performed by the PI)</p> <p>Action 14b. To run a Networking event each year</p>
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29. Value of mobility

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

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin holds information sessions on mobility opportunity for several funders, including Fulbright, Ulysses, Irish Research Council (IRC) and other funders. [Marie-Sklodowska-Curie](#); [Euraxess Ireland](#); [Fulbright-irish-scholar-awards/](#).
2. Graduate Research Students are encouraged to travel and undertake internships within industry. A specific mechanism is in place to ensure their time to completion and scholarships are not affected.
3. TU Dublin has a comprehensive Recruitment, Selection & Appointment policy and a Research Staffing manual that is committed to removing any mobility experiences barriers in research staffing. The HR policy helps to conduct a fair, open and internationally competitive recruitment & selection processes.
4. Agreed standard / generic job description for Research Assistant, Post-Doctoral Researcher and Research Fellow positions are included in the Research Staffing manual. These set of criteria must be included in the job description with an allowance to add further competencies which are relevant to the position and project. Where mobility experience is considered to be an essential or desirable criterion for the position, this will be taken into account by the selection board members in the same way as the other criteria and scored accordingly in line with the recruitment policy.
5. Mobility is encouraged and facilitated at both postgraduate level and R2 to R4 level. We have over 400 international R1 to R4 researchers in the university.
6. TU Dublin Post-Doctoral Researcher's contracts are designed to attract and develop researchers through the provision of mentored research training opportunities available in the University. It is intended that these research opportunities will provide qualified, skilled and experienced researchers for Irish industry.
7. The University welcomes researchers who have secured research grants in their own name and wish to be hosted by the university, subject to compatibility.

<p>8. TU Dublin values mobility by facilitating it through the Hosting Agreement scheme. This is a scheme for the admission of non-EEA Researchers into Irish institutions and . implements a European Union Directive on the admission of third country nationals for the purpose of conducting research. Details of the scheme can be found Hosting Agreement Leaflet.pdf and Euraxess</p>			
<p>Implementation: ++ = fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>No Gap</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Recruitment,-Selection-and-Appointment--Policy-14.08.23.pdf (Recruitment, Selection and Appointment HRP008 PDF Doc)</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p> <p>Hosting agreement</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>No Action</p>

<p>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.</p>			
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. The Researcher Career Development Framework includes career planning and advice for all researchers through workshops and one to one advice sessions. A template for career planning is available to all researchers. 2. An intensive 1 day in person workshop is delivered for researcher career planning, highlighting the career opportunities available to researchers within and outside academia with possible links from industry. 3. The University has a dedicated webpage - Career Development Centre, where there is access to a wide variety of resources regarding career advice. There is also a dedicated team / career coaches available to all students by appointment. 4. Employed researchers have access to the recruitment portal to view all emerging new job opportunities within the university. 5. R2 to R4 have access to a range of training opportunities through the people development unit. 			
<p>Implementation: -/+ = partially implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p>	<p>Links to TU Dublin Policies and Procedures</p>	<p>Action Plan (Free text 200 words maximum)</p>

	The University has identified a gap where stronger links with industry are needed to build job pathways outside academia	Researcher Career Development Framework, established in 2019 and is currently under review. TU Dublin Researcher-Career-Development Frameworks/ Students Career Development Info Secondment-Policy-17.08.23 TU Dublin Policy Secondment Policy PDF Doc	Action 15. To organise Career Planning Day and invite industry Action 16. To establish industry links – training programme by linking in with TU Dublin Innovation and partnership VP
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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.			
Current Status: Initiatives already undertaken / new proposals <ol style="list-style-type: none"> 1. The latest version of the TU Dublin Intellectual Property Policy was approved by the Governing Body of the University in March 2022 and this policy will be reviewed at least every three years and more often if needed, including within six months of the publication of any new or updated National IP Protocol or change in other relevant national policy or guidance. 2. TU Dublin regards appropriate protection of intellectual property (IP) rights as central to good research practice. Researchers must clarify issues of IP at the outset of a project particularly in the case of collaborative research, and they should pay due regard to refraining from publication or disclosure until it is clear that any necessary protection has been secured. Protection listed in the policy also includes copyright. 3. The University supports the freedom to publish research findings, and the University will take action it deems necessary and possible to support freedom of expression. 4. In negotiating contracts with external funders, the right to publish the results should be protected. 5. The Graduate Research School provides professional skills training to all PhD students throughout their programme which includes Intellectual Property Rights regulations, Graduate Research Regulations and the requirements to deliver the required results and thesis. Details, terms and conditions are provided in the letter of offer to each PhD student. 6. TU Dublin Innovation is the award winning Innovation & Knowledge Transfer Office (formerly HOTHOUSE). The office has helped to create TU Dublin Spinouts; Kastus®, Micron Agritech and Ocumetra and are responsible for the commercialisation of intellectual property arising from University research. 			
Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. No Gap	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum) No Action

		TU-Dublin-Code-of-Conduct-for-Research-Integrity TU-Dublin-Code-of-Conduct-for-Research pdf doc Intellectual-property Policy 2023 (TU Dublin IP Policy 2023 pdf doc) Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)	
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32. Co-authorship
Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

Current Status: Initiatives already undertaken / new proposals

1. The right of researchers to be recognised for their research contribution is fully supported by Technological University Dublin and the Code of Conduct for Ensuring Excellence in Research Integrity outlines the importance of authorship.
2. Appropriate assignment of authorship is an important facet of good research practice. Definitive rules for authorship are difficult to formulate and TU Dublin supports the general approach taken by each discipline area. TU Dublin requires that all those listed as authors should have made a significant contribution to the work, are familiar with its content, and can identify their contribution to it. Guidelines are available from the Committee on Publication Ethics (COPE) See link [here](#)
3. The practice of honorary authorship is unacceptable. It is good practice to discuss authorship at the start of collaborative projects, rather than when submitting for publication/presentation. All those who have made a significant contribution to the work should be included as authors. Normally, the ordering of names should reflect the weight of individual contributions. However, it is recognised that there is no uniform convention across disciplines for doing so.
4. Authorisation for publication of results must be sought from the Principal Investigator. Authorisation should cover both the content of the publication (integrity of results, adequacy of internal peer review, appropriate protection of intellectual property, appropriate authorship) and the intended place of publication.
5. TU Dublin acknowledges the role of collaborators and other participants in research. The contributions of formal collaborators and other researchers who contribute to the research must be properly acknowledged. This is especially true for work conducted during the supervision process or work conducted jointly by supervisors and research students.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum) No Gap	Links to TU Dublin Policies and Procedures TU-Dublin-Code-of-Conduct-for-Research-Integrity TU-Dublin-Code-of-Conduct-for-Research pdf doc Graduate Research Regulations PDF	Action Plan (Free text 200 words maximum) No Action
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		(Graduate Research Regulations PDF Doc) Principles-of-Ethics—Integrity pdf doc Academic-Integrity web link	
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<p>33. Teaching</p> <p>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.</p>			
<p>Current Status: Initiatives already undertaken / new proposals</p> <ol style="list-style-type: none"> 1. The University recognises that teaching is a valuable skill for researchers to develop. However, opportunities for researchers to contribute to teaching can depend on the nature of the research project or area in which a researcher is based. In addition, Research staff are encouraged to contribute to supervision of Postgraduate and/or undergraduate research projects. They can be formally added to a research supervisory team through the PGR 5C. 2. The University is mindful that teaching responsibilities should not be excessive and should not prevent researchers from carrying out their research activities. The researcher posts (Post Doctoral Researchers, Senior Post Doctoral Researchers, Research Fellow, Senior Research Fellow) have provision for teaching as part of their job description expressed as number of hours per week. Since the primary objective of these posts is research, the teaching should not be timetabled in such a way as to impede the progress of their research work. These posts do not set, examine or correct papers. The PI should liaise with the relevant Head of School as appropriate with regards to teaching. 3. The University has identified that there is a need to develop a policy and guidelines in this regard for clarity and provide researchers with opportunities to obtain experience in teaching if they wish in order to develop and to progress their careers. 4. Researchers have access to services from the the University’s Learning, Teaching and Assessment Unit. The Post Graduate Certificate in University Learning and Teaching is designed for all staff new to teaching who do not already have a teaching qualification and there is a requirement for participants to have teaching hours in order to be able to complete the assessment. 			
<p>Implementation: +/- = almost but not fully implemented</p>	<p>GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)</p> <p>The University has identified the requirement to update the current guidelines in realtions to researchers undertaking teaching duties.</p>	<p>Links to TU Dublin Policies and Procedures</p> <p>Graduate Research Regulations and PGR Forms</p> <p>‘Research Staffing Manual’ (SOP document) (new separate procedure document research planned)</p>	<p>Action Plan (Free text 200 words maximum)</p> <p>Action 17. To develop a policy regarding teaching for Research staff as part of their development</p>

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 (ombudsmantype) person to deal with complaints/ appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has a Code of Conduct for Employees and a Code of Conduct for Researchers. Both documents set out guidance to employees on how to perform their duties, having regard to the Ethics in Public Office Acts, 1995, the Standards in Public Office Act, 2001 and the policies and procedures of the university including those related to Equality; Dignity & Respect at Work (protection of employees from Bullying, Harassment and Sexual Harassment); Grievance Procedures, Health & Safety; Ethics in Research.
2. While the conduct of employees is primarily governed by the contract of employment, employees are required to comply with the Technological Universities Act, 2018, as well as TU Dublin's policies and procedures (Dignity & Respect at Work policy) and (Appeals procedure in Graduate Regulations).
[Ethics in Public Office Act, 1995 - https://www.irishstatutebook.ie/eli/1995/act/22/enacted/en/html](https://www.irishstatutebook.ie/eli/1995/act/22/enacted/en/html) ;
[Standards in Public Office Act, 2001 - https://www.irishstatutebook.ie/eli/2001/act/31/enacted/en/html](https://www.irishstatutebook.ie/eli/2001/act/31/enacted/en/html)
[Technological Universities Act 2018 - https://www.irishstatutebook.ie/eli/2018/act/3/enacted/en/html](https://www.irishstatutebook.ie/eli/2018/act/3/enacted/en/html)
3. The Code of Conduct for Researchers sets out Procedures in the event of Suspected Research Misconduct. This can be used to resolve any issues or difficulties and to ensure that complaints are handled in a timely manner and that a good employee relations atmosphere is maintained in the workplace.
4. Following receipt of a complaint or request, the Research Integrity Officer, together with the Chair of the Research Ethics and Integrity Committee and one other independent person appointed by the Research Integrity Officer for that purpose, will conduct a preliminary review. This review will be conducted in a timely manner and the Research Integrity Officer may seek advice from such persons as s/he or they consider appropriate having regard to the nature of the complaint or dispute. There is a dedicated HR Business partner and a dedicated Research Career Development Manager.
5. The University has a grievance policy for all employees who wish to raise a concern in relation to workplace issues.
6. PhD students can register a grievance through form PGR5D.

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	<p>The HR portal contains a full list of policies and procedures regarding all HR issues</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity TU-Dublin-Code-of-Conduct-for-Research pdf doc</p> <p>Code of Conduct for Employees (Code of Conduct for Employees pdf doc) Dignity & Respect at Work (Dignity & Respect at Work HRP003 pdf) Grievance Procedures (Grievance Procedures HRP005 pdf doc)</p>	No Action

		https://www.tudublin.ie/intranet/health-and-safety/ Supporting-Staff-with-disabilities (Supporting Staff with Disabilities Policy HRP037 pdf doc) Gender-Identity-and-Gender-Expression-Policy-for-Staff-and-Students (Gender Identity and Gender Expression Policy for Staff and Students pdf doc) Graduate Research Regulations PDF (Graduate Research Regulations PDF) Graduate Research School PGR Forms Students' Grievance Form PGR5D PDF	
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35. Participation in decision-making bodies Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.			
Current Status: Initiatives already undertaken / new proposals <ol style="list-style-type: none"> 1. The University promotes and encourages representation of researchers in all levels of decision making relating to research and innovation. 2. The University's Research and Innovation Academy is responsible for translating the institutional vision and strategy into a University Research and Innovation (R&I) strategy, and for overseeing the implementation of this strategy. The Academy advises the University Executive Team (UET) on matters relating to research and innovation. 3. Decisions are made by the consensus of members of the Research & Innovation Academy. Led and chaired by the VP Research and Innovation, the Research and Innovation Academy is composed of members from across the University R&I community. This membership consists of 2 contract researcher representatives, appointed on a 2 year rotating basis; and 2 research postgraduate student representatives, appointed on a 2 year rotating basis; the size of the R&I Academy should not exceed 30 people. Excluding the chairperson, the gender representation on the Research and Innovation Academy is a minimum of 40% of each gender. 4. Each faculty in the university has a Head of Research who sits on the Faculty Executive team. 5. PhD students have representatives on the Graduate School Board; 6. PhD student representattive also sit in on the Graduate Programme Board; 7. The Faculty Board meetings have PhD students representative as well as the head of research. 			
Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum) No Gap	Links to TU Dublin Policies and Procedures Intranet Research & Innovation Academy Terms of Reference (Research & Innovation Academy Terms Of Reference PDF)	Action Plan (Free text 200 words maximum) No Action

		Faculty-Board-Terms-of-Reference-28-March-2023.pdf Faculty Board Terms of Reference PDF Doc Graduate Programme Board Graduate School board	
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Training and Development

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.

Current Status: Initiatives already undertaken / new proposals

1. Academic supervision is central to the successful completion of graduate research work. Supervisors play a key role in designing the research project, mentoring the graduate student in their work, maintaining the general direction of the research, setting appropriate academic targets and standards to be attained by the student and assessing when they have achieved them. Although more than one supervisor may be appointed, one is designated as the lead supervisor, who must be a current full-time or pro-rata member of staff of TU Dublin.
2. The research teams, inclusive of the graduate student and their supervisors, meet initially to discuss the research question(s) and methodologies to be used. The team also assesses any skills training the graduate research student may require in order to effectively implement the methodologies and answer the identified research question(s), and to take into account the acquisition of particular skills at appropriate times. The skills training should also take account of any future professional needs and career plan of the student. Following the initial meeting, the research team develop the research programme with reference to any project plan which may have been developed as part of a funding application, through the mechanism of a research and professional development plan (RPDP) (PGR2A form).
3. The RPDP [Form PGR 2A] is reviewed annually by the student in consultation with the supervisor(s). In addition, the student is required to complete an annual progress report [Form PGR 2B] and attend an annual evaluation event, at which research and progress is assessed by an evaluation panel.
4. Students and supervisors maintain a written record of meetings and progress. The research logbook shows the list of meetings held during the year and is used to record the progress of the research work and the broad decisions made at each stage in the work.
5. There is also a Code of Conduct for all researchers which applies to all levels of researchers.
6. TU Dublin also has a code of conduct for all staff and this applies to employed researcher staffs.
7. The University's PMDS supports staff and managers to work together to review the staff member's achievements against previously agreed goals and objectives. People Development provides training and support for reviewing managers to understand the PMDS process and how to facilitate the Performance Development Plan (PDP) meeting. Training is also provided for staff to support them to prepare for their PDP meeting to ensure they understand the process and can accurately identify their past achievements and future training and development needs.

Implementation: +/- = almost but not fully implemented	GAP between the principle and current practice in TU Dublin.	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
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	<p>(Free text 300 words maximum)</p> <p>The University has identified a gap in recognising that there is no formal system to ensure that R2 to R4 complete written record of meetings (no template for logbook of meetings with their PIs) especially in the early career stages of their employment contract.</p>	<p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Student Logbook (Student Logbook PDF Doc)</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>Code-of-Conduct-for-Employees.pdf (Code of Conduct for Employees PDF Doc)</p> <p>Performance Management & Development System (PMDS) https://www.tudublin.ie/for-staff/human-resources/people-development/pmds/</p> <p>Graduate Research School PGR Forms PGR 2A Research and Professional Development Plan</p> <p>PGR2B Student Annual Progress Report PDF Doc</p> <p>Researcher Career Development Framework, established in 2019 and is currently under review TU Dublin Researcher-Career-Development Frameworks/</p>	<p>Action 21a. To establish licence to Lead a Research Project for PIs</p> <p>Action 22. Clarify the responsibilities / roles for PIs as researchers' line managers</p>
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37. Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Current Status: Initiatives already undertaken / new proposals

1. The People Development Team offer the following support to Senior Management, including Senior Researchers:
 - Leadership Development Programme
 - Aurora Leadership Programme for women in leadership roles
 - Mentoring Programme
 - Career development framework training (specific aspects aimed at managerial responsibilities)
 - License to lead a research project – pilot programme in 2023.
 - The PMDS system (process)
 - PMDS Training
2. In accordance with Section 1.7 of the Graduate Research Regulations all those who Supervise Research Degrees at the University must have a Licence to Supervise. (Supervisors who have not previously supervised a research student to successful completion at the level of the award being sought must, within 12 months of the student's first registration, undertake the Licence to Supervise course, including training in Research Integrity, offered by the Graduate Research School Office. This includes training in Research Integrity and also covers the recruitment of research students, the role and responsibilities of supervisors, and the overview of the TU Dublin Graduate Research Regulations).
3. The University has forms for supervision of students available on the Graduate Research School webpage, the PGR2C form is a Supervisor Annual Progress Report.

Implementation:

+/- = almost but not fully implemented

GAP between the principle and current practice in TU Dublin.

(Free text 300 words maximum)

The University has identified the gap in the training of experienced researchers to manage and lead a research project.

Links to TU Dublin Policies and Procedures

[Graduate Research Regulations PDF \(Graduate Research Regulations PDF Doc\)](#)

[Licence to Supervise training intranet \(for R1 level of researchers\)
 https://www.tudublin.ie/for-staff/human-resources/people-development/professional-development/courses-and-workshops/licence-to-supervise/](#)

[Performance Management & Development System \(PMDS\)
 https://www.tudublin.ie/for-staff/human-resources/people-development/pmds/](#)

Action Plan

(Free text 200 words maximum)

Action 20. To review and update existing Researcher Logbook for meetings with their PI

Action 21b. To expand the leadership training programme to include spaces for Lead Researchers

		<p>PMDS Training for managers</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>Graduate Research School PGR Forms PGR2C Supervisor Annual Progress Report PDF Doc</p> <p>'Research Staffing Manual' (SOP document) (new separate procedure document research planned)</p>	
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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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has appointed a dedicated Researcher Career Development Manager.
2. TU Dublin has a Researcher Career Development Framework (RCDF) which supports researchers to identify the key knowledge, skills, and personal attributes they need to develop and enhance as they progress through their research careers. The Researcher Career Development Framework was established in 2019 and is currently under review. It is included in the action plan. [TU Dublin Researcher-Career-Development Frameworks/](#)
3. TU Dublin has a dedicated programme of training for Researchers embedded in the Researcher Career Development Framework. This includes a suite of modules developed around 4 areas of competencies, namely Professional Research Skills, Teaching & Learning, Career Development and Personal Effectiveness, Innovation and Commercial Skills.
4. Researchers also have access to all other training offered to TU Dublin staff by the People Development Team, including mandatory training in Health and Safety, Performance Management Development System and other areas linked to their specific area of research.
5. The People Development team offer a suite of online training modules through the LinkedIn training platform.
6. Many of these modules are delivered in a blended format, with in person workshops followed or preceded by online training.
7. Attendance/participation at conferences is encouraged and pursued through the respective research groups/centres.
8. Training in Research Integrity (RI) is compulsory for all research students and the module is approved for 5 European Credit Transfer and Accumulation System (ECTS). Additional training in professional skills development is delivered to each graduate research student at TU Dublin in a 1 week intensive training block, delivered on 3 occasions each year.
9. There are also additional workshops during the year to coincide with funding applications to the Irish Research Council (IRC) and applications to the Fulbright commission [Fulbright Irish Awards](#) etc

10. The National Framework for Doctoral Education [National Framework for Doctoral Education pdf](#) endorses the skills and attributes employed by TU Dublin in training & Development, and these are also key educational objectives for all graduates of TU Dublin research programmes.
11. TU Dublin's People Development team via the Researcher Career Development Manager organises Open day events for Researchers such as the Researcher Training Summer workshops held this year [People-development Calendar of events](#).
12. Research Support Services supports the development of our Post-Doctoral Researchers by helping researchers access the [SFI-IRC Pathway Programme](#) SFI-IRC Pathway Programme. The SFI-IRC Pathway Programme supports talented postdoctoral researchers from all research disciplines to develop their track record and transition to become independent research leaders. The programme welcomes research proposals from any discipline within Science, Technology, Engineering and Mathematics (STEM) and Arts, Humanities, and Social Sciences (AHSS).

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc) Research Student Handbook TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc) Research Summer Workshops TU Dublin Research News Researcher Career Development Framework, established in 2019 but is currently being reviewed TU Dublin Researcher-Career-Development Frameworks/	

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.

Current Status: Initiatives already undertaken / new proposals

1. TU Dublin has a dedicated programme of training for Researchers embedded in the Researcher Career Development Programme. This includes a suite of modules developed around 4 different competencies.

2. Researchers also have access to all other training offered to TU Dublin staff by the People Development Team, including mandatory training in Health and Safety, Performance Management Development System and other areas linked to their specific area of research.
3. The People development offer a suite of online training modules through the Linkdlen training platform.
4. The training that is provided to researchers is assessed periodically through Feedback from researchers.
5. TU Dublin appointed the Researcher Career Development Manager specifically for Researchers in January 2023.
6. Performance Management and Development System (PMDS) process focuses on the development of staff throughout their career in TU Dublin.
7. All training courses provided have evaluation processes built in to assess the suitability and their effectiveness.
8. TU Dublin's Peoples Development Team via the Researcher Career Development Manager organises Open day events for Researchers such as the Researcher Training Summer workshops held this year.
9. The University has organised of conferences such as 'the Action Research Colloquium 2023' organised by ARGI (Action Research Group Ireland), see more information [here](#)

(Refer to Principle 38)

Implementation: ++ = fully implemented	GAP between the principle and current practice in TU Dublin. (Free text 300 words maximum)	Links to TU Dublin Policies and Procedures	Action Plan (Free text 200 words maximum)
	No Gap	<p>Graduate Research Regulations PDF (Graduate Research Regulations PDF Doc)</p> <p>Research Student Handbook</p> <p>TU-Dublin-Code-of-Conduct-for-Research-Integrity (TU-Dublin-Code-of-Conduct-for-Research pdf doc)</p> <p>People Development website https://www.tudublin.ie/for-staff/human-resources/people-development/</p> <p>Action Research for a Sustainable Future training https://www.tudublin.ie/explore/faculties-and-schools/arts-humanities/culinary-arts--food-technology/research/conferences/conference-1/</p> <p>Researcher Career Development Framework, established in 2019 and is currently under review</p>	

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.

Current Status: Initiatives already undertaken / new proposals

1. All early stage Researchers, including PhD students, are assigned a senior researcher with whom they work closely in the delivery of their project.
2. In addition, researchers are invited to participate in the Research Mentoring Programme. Early stage researchers can be assigned a mentor while senior researchers and PIs can put themselves forward as Mentors.
3. There is a code of conduct for ensuring excellence in research.
4. All leadership/supervision training available in TU Dublin is open to Research managers.
5. For the supervision of research students, researchers and academics are offered the Licence to Supervise training which covers the recruitment of research students, the role and responsibilities of supervisors, and an overview of the Dublin Graduate Research Regulations.
6. There is a very clear system for annual reviews of all PhD students, detailed in the Graduate Research Regulations.

Implementation:

-/+ = **partially** implemented

GAP between the principle and current practice in TU Dublin.

(Free text 300 words maximum)

The University has identified the gap in formalising a minimum set of responsibilities for PIs in the management and supervision of researchers (R2 to R4).

Links to TU Dublin Policies and Procedures

[People Development website
https://www.tudublin.ie/for-staff/human-resources/people-development/](https://www.tudublin.ie/for-staff/human-resources/people-development/)

[Licence to Supervise training intranet
https://www.tudublin.ie/for-staff/human-resources/people-development/professional-development/courses-and-workshops/licence-to-supervise/](https://www.tudublin.ie/for-staff/human-resources/people-development/professional-development/courses-and-workshops/licence-to-supervise/)

[TU-Dublin-Code-of-Conduct-for-Research-Integrity](#)
(TU-Dublin-Code-of-Conduct-for-Research pdf doc)

[Graduate Research Regulations PDF](#)

Action Plan

(Free text 200 words maximum)

Action 22. To clarify the responsibilities / roles for supervision of researchers

Action 23. To review of the use of the EU competency framework to support the recruitment & training of researchers in the University

Action 24. To give frequent updates on recent development on supervision (Graduate Research School to work with People Development on events)

		(Graduate Research Regulations PDF Doc) 'Research Staffing Manual' (SOP document) (new separate procedure document research planned)	
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