How to prepare for the Initial Phase & Interim Assessment
What to do & How to prepare

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

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

Interim Assessment
1. Showing progress through actions and embedding
2. OTMR Policy
3. Keep the Award!
An effective and committed WG is very important

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

Statement of Purpose included in Terms of Reference

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

- Plenty of examples on the Euraxess Website [HERE](#)
Gap Analysis
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<tr>
<td>3. Professional Responsibility</td>
<td>Researchers are expected to ensure that their research is original and not duplicate work published elsewhere. They should also adhere to the guidelines and joint data protection standards carried out in other institutions and/or other research. New observations are reproduced to eliminate plagiarism, provide new ideas, and are explicitly credited. If any aspect requires additional help, a competent person to verify the research and ensure proper use of UCC disciplinary procedures.</td>
<td></td>
<td><a href="http://www.ucc.ie/en/SupportandAdministration/PoliciesandProcedures/HumanResources/EmployeeRelations/DisciplinaryProcedures/">Disciplinary Procedures</a></td>
<td>Action 1, UCC HR54R Action Plan: Ethical and Professional Aspects</td>
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<tr>
<td>Status</td>
<td>Title Action</td>
<td>Timing</td>
<td>Responsible Unit</td>
<td>Indicator/Target</td>
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<td>Ethical and Professional Aspects</td>
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<td>✔️</td>
<td>1. UCC will actively contribute to the discussion on National protocols and facilitate implementation of National Protocols for Research Integrity (RI) / Responsible Conduct of Research (RCR)</td>
<td>2013</td>
<td>National Protocol Committee including Professor Anita Maguire, Mr Michael Farrell and Professor Alan Kelly of UCC. Professor Anita Maguire Vice President for Research and Innovation</td>
<td>Launch of National Policy Statement on Ensuring Research Integrity in Ireland in 2014 Professor Anita Maguire, UCC Vice President for Research and Innovation is Chair of the Irish National Forum on Research Integrity. See link to website</td>
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<td>33. Teaching</td>
<td>Teaching is an essential component of the dissemination of knowledge and considered a valuable part of the academic path. However, this role can become excessive and should be balanced with the beginning of early stage research. The University has a firm commitment to supporting its teaching and researchers in their professional development.</td>
<td>Action 4.8, UCC HRS4R, Action Plan, Establish a Working Group to identify requirements and policy for researchers to contribute to teaching.</td>
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3. The Staff Enhancement and Development Committee will establish a working group to identify institutional requirements and develop policy for researchers who wish to develop skills in teaching and learning.

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<th>3. <strong>Gap takes 7 years to meet Action Plan!</strong></th>
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<td><strong>Staff Enhancement and Development Committee</strong> will establish a working group to identify institutional requirements and develop policy for researchers who wish to develop skills in teaching and learning.</td>
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<td><strong>Academic Staff Enhancement and Development Committee</strong></td>
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<td><strong>Guidelines approved by Academic Council on 26/06/2020</strong></td>
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<td>In Preparation</td>
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Action Plan

Where to begin?

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

Where to begin?

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

Where to begin?

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

Where to begin?

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

For example:

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

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

- Much more than that and it may be difficult for your organisation to complete prior to the self assessment in 2 years.
Remember: your organisation will be in a better position to demonstrate progress and will be able to plan for the next phase using the gaps that were not addressed initially in the action plan.

Gaps identified versus Actions to be undertaken

Mary O’Regan November 2021
OTMR Checklist
Initial Phase

- Complete the checklist [See HERE]
- From this you will have identified suitable actions to encourage and implement change
- You will include these actions in your action plan
Focus groups and (survey results)?

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

Highlight areas for improvement.

Highlight areas where you have a good result.

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

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

**Fulfilment:** Action Plan etc ✓

**Innovation:** New training programmes ✓

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

**Formal:** Policies and Strategy ✓
Our ambition is to:

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

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

• I know this sounds easy but I also know its not!
Complementary Policies

Remember:

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

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

- Assessors will be cognisant of your starting place as an organisation.

Mary O’Regan November 2020
OTM-R Policy

UCC example of what this looks like in practice
Areas to address when starting out and progressing!

- Gap Analysis
- Working Groups and/or Surveys
- The Action Plan Actions going forward *(interim phase)*
- Embedding/Ambition *(interim phase)*
- OTM-R Checklist Policy *(interim phase)*
WEBSITE: at every stage!!!

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

BE PATIENT.
Good things take time.

It's an evolving process!