



## I. Ethical and professional aspects

<b>1. Research freedom</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>Research at DkIT is founded upon excellence with an emphasis on research which possesses real societal and economic impact while addressing current global challenges. The Institute's strategic focus is in three key areas:</p> <ul style="list-style-type: none"> <li>○ ICT, Health &amp; Ageing</li> <li>○ Energy &amp; Environment</li> <li>○ Creative Arts.</li> </ul> <p>Research is undertaken by the Institutes Research Centres and Research Groups each of which is characterised by the required critical mass of world class researchers whose research outputs are internationally benchmarked; interdisciplinary research of a translational nature; using state of the art infrastructure and facilities. The research activity of the Research Centres and Groups is subject to regular external panel review.</p> <p>For the period <b>2014-2016</b> the Institute will concentrate on the following six strategic imperatives:</p> <ul style="list-style-type: none"> <li>• Drive Research Excellence in prioritised areas,</li> <li>• Focus on research led by global needs that has societal and economic impact,</li> <li>• Ensure the learning and teaching agenda remains research informed,</li> <li>• Engage and Support Researchers,</li> <li>• Identify and Build Strategic Partnerships</li> <li>• Enhance the visibility and impact of our research</li> </ul>	<p>In carrying out their research all academic staff members must abide by the highest standards and work in accordance with the Institutes specific research framework and structures including:</p> <ul style="list-style-type: none"> <li>○ <a href="#">Research Ethics Policy</a></li> <li>○ <a href="#">Ethics Committee Standard Operating Procedures</a></li> <li>○ <a href="#">Intellectual Property and Research Commercialisation</a></li> <li>○ Institutional Research Sub-Committee</li> <li>○ Research Centre Review Committee</li> <li>○ <a href="#">DkIT Research Strategy 2014-2016</a></li> <li>○ <a href="#">DkIT Mission and Vision</a></li> <li>○ <a href="#">Programmatic Review Process</a></li> </ul>	<p>1. Develop a Researchers Induction Manual to include</p> <ul style="list-style-type: none"> <li>○ Academic Research Freedom</li> <li>○ Ethical Principles and Practices</li> <li>○ Responsibility and accountability</li> <li>○ Intellectual Property</li> <li>○ Good Laboratory Practices</li> <li>○ Dissemination and Communication</li> <li>○ Data Protection</li> <li>○ Misconduct and Complaints</li> <li>○ Supervision</li> <li>○ Research Management including personal safety</li> <li>○ Probationary period and Performance review</li> <li>○ Publications</li> </ul> <p>2. Enhance the accessibility to Institutional Policies and procedures by updating DkIT website with one central repository for all researcher relevant document, policies and procedures</p>	<p>1. Head of Research (HoR) Research Office HR Manager Registrar <b>Dec 2016</b></p> <p>2. Research Office IT Manager Communications <b>Jan 2016</b></p>

<b>2. Ethical principles</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The framework for the Ethical conduct of research within the Insitute is guided by the Institue Ethics Committee and the individual Schools Research Ethics Committees. These are guided by the principals of dignity, respect and care for others, honestly, integrity, accountability and leadership. The objective is to safeguard the health, welfare and rights of human participants and researchers in research studies and to afford dignity to the handling and treatment of biological materials, taking into account the scientific procedures and concerns of the local community.</p> <p>For any research proposal to gain ethical approval it must be necessary and of a design that minimises predictable risk to both the research participant and the researcher.</p> <p>All post-graduate researchers are required to undertake researchers Ethics Training as part of DkITs structured PhD programme.</p> <p>The Institute Animal Care and Use Committee (IACUC) is dedicated to ensuring that animal care and research within DkIT is conducted in a respectful and sensitive manner and is compliant with legal requirements.</p>	<p>In carrying out their research all academic staff members must abide by the highest standards of research ethics and work in accordance with the Institutes specific research framework and structures including:</p> <ul style="list-style-type: none"> <li>○ <a href="#">Research Ethics Policy</a></li> <li>○ <a href="#">Ethics Committee Standard Operating Procedures</a></li> <li>○ Ethics in Research Workshop as part of the DkIT Structured PhD</li> </ul>	<p><b>No specific action required:</b></p> <p>DkITs Research Ethics Policy was reviewed and updated in 2015.</p> <p>DkIT will review regularly and update in accordance with national or European legislation and guidance.</p>	<p>Institute and Schools Ethics Committees</p> <p><b>Ongoing</b></p>



<p>DkIT is fully committed to safeguarding the well-being of all the children and young people with whom we work. The Institutes policy on Child Protection is in accordance with This Policy is based on “Children First – National Guidelines for the Protection and Welfare of Children” (2011) and “Our Duty to Care – The Principles of Good Practice for the Protection of Children and Young People” (2004). Both of these policies were published by the Dept. of Health and Children.</p> <p>DkIT is committed to promoting the rights of the child including the participation of children and young people in matters that affect them.</p> <p>In accordance with the National Vetting Bureau (Children and Vulnerable Persons) Act 2012 DkIT will ensure that safe recruitment practices are in place to recruit staff with the required competencies to protect children and promote their welfare. Under this act all DkIT staff recruited after July 2015 will be fully vetted through the National vetting Bureau.</p> <p>A dedicated Child Protection Officer (CPO) has been appointed to act as a liaison with outside agencies. The CPO will act as a resource to any member of the Institute who has child protection queries or concerns. The CPO also has designated responsibility for ensuring that the Child Protection Policy is promoted and implemented. Each School in DkIT and Student services has also appointed a designated Child Protection Contact Person. The role CPCP is to provide information and advice on child protection to staff and students within their area as required and to ensure that any incidents of which they are made aware within their area are reported to the CPO. Each Child Protection Contact Person and the Child Protection Officer are members of the Institute Child Protection Committee</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Child Protection Policy</a></li> </ul>	<p><b>No specific action required :</b></p> <p>DkIT will review regularly and update in accordance with national or European legislation and guidance.</p>	<p>HR Office Child Protection Committee and Officer</p> <p><b>Responsible:</b></p>
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<b>3. Professional responsibility</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkIT is dedicated to the highest standards of scholarship and values honesty of endeavour. Professional integrity is recognised as one of the most important attributes of an academic community. By displaying integrity, the community and society can have trust in the Institute and in its graduates.</p> <p>In carrying out their research, all members must abide by the highest standards of research ethics, and work and as such DkIT has adopted the Irish University Association Quality Boards Guidelines for Good Practice in organisation of PhD programmes in Irish Higher Education.</p> <p>Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously undertaken elsewhere. They must avoid plagiarism of any kind and abide by the principle of DkIT Academic Integrity Policy.</p> <p>Academic Integrity is a key element in the formation of a graduate and is as important an attribute as any technical skill. There are specific detailed guidelines for ethical behaviour in each of the professional programmes offered by the Institute but there are also a number of generic attributes underpinning ethical behaviour. These can be grouped together as the elements of Academic Integrity.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">DkIT Academic Integrity Policy</a></li> <li>○ <a href="#">Intellectual Property and Research Commercialisation</a></li> <li>○ <a href="#">Roles and Responsibilities for Researchers</a></li> <li>○ <a href="#">Postgraduate Degree Regulation</a></li> <li>○ IUA Quality Boards Guidelines for Good Practice in organisation of PhD programmes in Irish Higher Education</li> </ul>	<p><b>No specific action:</b></p> <p>DkIT will continue to provide ongoing Training and mentoring for researchers and Supervisors</p> <p>Ongoing review to ensure DkIT policy on Academic Integrity aligns with national and EU policy</p>	<p>Research Sub-Committee</p> <p>Heads of Schools</p> <p>Head of Research</p> <p><b>Ongoing</b></p>

<b>4. Professional attitude</b>			
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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>It is the responsibility of the supervisor/principal investigator to instruct and inform the researcher of the funded project goals. Guidelines on the Roles and Responsibilities for Researchers are provided by DKIT Research Office. In addition DkIT operates a bi-annual programme of Postgraduate Induction.</p> <p>All researchers, across all Schools and Departments applying to any funding body for support of their research or proposal are requested to follow the DkIT Standard Operating Procedures and related use of the Research Application Management System (SmartSimple).</p> <p>The Research Application Management System ensures that the researcher seeks and obtains the necessary reviews and approvals for funding applications prior to submission.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Roles and responsibilities for Researchers</a></li> <li>○ DKIT Research Application System User Guide</li> <li>○ <a href="#">Assignment Guidelines and Criteria for Written work</a></li> <li>○ <a href="#">Academic Integrity Policy</a></li> <li>○ SoP for interaction with the Research Office</li> <li>○ Postgraduate Induction Policy programme</li> <li>○ Research oriented Staff Induction programme</li> </ul>	<p><b>No specific action required :</b></p> <p>DkIT will review regularly and update in accordance with national or European legislation and guidance.</p>	<p>HR Manager</p> <p>Head of Research</p> <p><b>Ongoing</b></p>

<b>5. Contractual and legal obligations</b>			
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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>All employees are issued with contracts of employment which list all required conditions under national legislation and cover all Institute policies and procedures. Staff are notified of any new policies and procedures introduced by DkIT.</p> <p>DkIT provides direction to all staff, students and external parties on what they must comply with in order to maintain DkITs legal and statutory compliance and to maintain the good reputation and standing of DkIT.</p> <p>All researchers undergo training on IP as part of their Structured PhD programme co-ordinated by the Research Office</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Intellectual Property and Research Commercialisation</a></li> <li>○ <a href="#">Academic Integrity Policy</a></li> <li>○ <a href="#">DkIT Statement of Health and Safety</a></li> <li>○ <a href="#">Compliance policy</a></li> </ul>	<p><b>No specific action required:</b></p> <p>DkIT will review and update IP policy update in accordance with national or European legislation and guidance.</p>	<p>Head of Research</p> <p>TTO</p> <p><b>Ongoing</b></p>

6. Accountability			
<p>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.</p> <p>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.</p>			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>Induction is provided for all staff and researchers in DkIT. An Induction Manual is also provided and is a step-by-step introduction to work, systems and life in DkIT.</p> <p>In addition, Supervisors are provided with training on supervising new researchers into life at DkIT.</p> <p>Proposals are developed in consultation with the Research Office Financial Officer and the Research Office. Following this DkIT conducts two tiers of review of the proposal to ensure (Head of School and TTO followed by HoR) to ensure that DkIT commitment to delivery of the project are accurate.</p> <p>Procedures for good financial management are supported by the Finance Department in DkIT. DkITs records retention process is in full compliance with all audit requirements</p>	<ul style="list-style-type: none"> <li>○ Postgraduate Induction Policy programme</li> <li>○ Research Supervisors Training Programme</li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> <li>○ Standard Operating Procedures for interaction with the Research Office</li> </ul>	<p>Develop a Researchers Induction Manual to include</p> <ul style="list-style-type: none"> <li>○ Academic Research Freedom</li> <li>○ Ethical Principles and Practices</li> <li>○ Responsibility and accountability</li> <li>○ Intellectual Property</li> <li>○ Good Laboratory Practices</li> <li>○ Dissemination and Communication</li> <li>○ Data Protection and management of Research Data</li> <li>○ Misconduct and Complaints</li> <li>○ Supervision</li> <li>○ Research Management including personal safety</li> <li>○ Probationary period and Performance review</li> <li>○ Publications</li> </ul>	<p>Head of Research Research Office HR Manager Registrar <b>Dec 2016</b></p>

7. Good practice in research			
<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>			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The DKIT Statement of Health and Safety provides guidance to the greater Institute population to help ensure compliance with health and safety legislation. The Safety Office prepares guidance documents, advises on risk assessments, arranges external safety audits and in conjunction with Human Resources works with Research Centres and Units to identify safety training needs and the required courses in order to ensure that the activities of the Institute do not pose an undue risk to the health and safety of staff, students and all other third parties.</p> <p>The Information Security Policy underpins all of the Institutes activities. Security of information is an integral element of the Institutes operation and structure and this policy has been created to ensure continuity of business and legal compliance to protect DkIT from financial and reputational loss.</p> <p>The Data Governance Policy provides direction on the classification, ownership and retention of data for DkIT. It also clarifies accountability for data.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">DKIT statement of Health and Safety</a></li> <li>○ <a href="#">Privacy Policy</a></li> <li>○ <a href="#">Data Governance Policy</a></li> <li>○ <a href="#">Information Security Policy</a></li> </ul>	<p>Develop a Researchers Induction Manual to include</p> <ul style="list-style-type: none"> <li>○ Academic Research Freedom</li> <li>○ Ethical Principles and Practices</li> <li>○ Responsibility and accountability</li> <li>○ Intellectual Property</li> <li>○ Good Laboratory Practices</li> <li>○ Dissemination and Communication</li> <li>○ Data Protection and management of Research Data</li> <li>○ Misconduct and Complaints</li> <li>○ Supervision</li> <li>○ Research Management including personal safety</li> <li>○ Probationary period and Performance review</li> <li>○ Publications</li> </ul>	<p>Head of Research Research Office HR Manager Registrar <b>Dec 2016</b></p>



**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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
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<p>DkIT Library staff runs regular training and workshops geared to opening up the range of library services and resources to the research community. This function also supports getting published and is available on an individual basis to advise on the publication process from finding the right journal to submit to through to assessing the impact of your publication output once you are an established author.</p> <p>DkIT has a Social Media Management policy which directs the creation, management and moderation of its social media presence on appropriate websites including social media platforms such as Twitter and Facebook</p> <p>DkITs institutional repository and access to research STOR - preserves and makes freely available scholarly communications (i.e. peer-reviewed articles, working papers, conference papers and PhD theses) created by the DkIT research community. Where material has already been published it is made available subject to the open-access policies of the original publishers. STOR is also crawled by Google Scholar, and can expose DkITs research to the widest possible audience. Increasingly public funding bodies are demanding that scholarly communication related to funded research should be made available under open access and STOR provides DkIT authors with an easy and convenient way to comply with these funder mandates. All PhD and Masters theses are made available on STOR. STOR is now integrated with RIAN – the National Research publication repository.</p> <p>DkIT has endorsed the Campus Engage Ireland initiative. Campus Engage aims to promote civic engagement as a core function of Higher Education by better enabling Higher Education Institutions, their staff and students across all disciplines, to engage with the needs of the communities they serve. The Technology Transfer Officer (TTO) has responsibility for the commercialisation of intellectual property arising from the research outputs of the Institute and for the development of partnerships with industry. DkIT also has the Regional Development Centre (RDC) a dedicated innovation centre which houses new knowledge intensive and technology companies.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Social Media Management Policy</a></li> <li>○ <a href="#">DkIT policy on the use of Social Media</a></li> <li>○ <a href="#">Compliance Policy</a></li> <li>○ <a href="#">Information Security Policy</a></li> <li>○ <a href="#">Open Access Policy</a></li> <li>○ <a href="#">DkIT Times</a></li> <li>○ <a href="#">IT strategy</a></li> <li>○ Campus Engage Ireland</li> <li>○ <a href="#">Research Focus</a></li> <li>○ <a href="#">The Link</a></li> </ul>	<p>Develop a communications, Dissemination and Public Outreach policy</p> <p>Establish a calendar of events and activities and display this on the DkIT website.</p> <p>Establish a Research Day across the Institute</p> <p>Update of the DkIT website</p>	<p>Communications Manager</p> <p>Research Office</p> <p>Heads of School</p> <p>IT Manager</p> <p><b>April 2016</b></p>
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<p>The Research Office, the RDC and the Communications office publish internal and external publications:</p> <p>Research Focus– research magazine</p> <p>DkITs Regional Development Centre (RDC) publishes ‘The Link – where Research &amp; Innovation meet enterprise ‘to disseminate the activities of their ongoing initiatives and also the start-ups supported by the RDC.</p> <p>DkIT Times – is the staff newsletter and informs the wider DkIT community of the research and innovation activities ongoing in the Institute.</p> <p>Electronic copies of all of the above publications are freely available online.</p> <p>The Institute, it’s Schools, Research Centres and Research Units regularly participate and engage in outreach projects on local, regional, national or international platforms. In particular, DkIT recognises its central role in promoting science and research in the North-East and Boarder regions of Ireland and this can be seen in the range of workshops, festivals and showcases that the research community organises to engage the public, particularly schoolchildren e.g. SciFest</p> <p>The Communications Office works closely with researchers across the Institute to promote our research activities to the public in interesting and engaging ways. Press releases and photos of our research activities are issues regularly to national, regional and local newspapers and agencies.</p>			
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9. Public engagement			
<p>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>			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkITs Research Focus magazine showcases recent achievements by researchers and illustrates the impact of our research activities. Research Focus is published biannually and is produced by the Research Office.</p> <p>DkIT utilises its website and social media such as &amp; Facebook, Twitter to engage with the wider community.</p> <p>The Institute and its Schools, Research Centres and Units regularly participate and engage in outreach projects on local, regional, national or international platforms. In particular, DKIT recognises its central role in promoting science and research in the North-East and Border regions of Ireland and this can be seen in the range of workshops, festivals and showcases that the research community organises to engage the public, particularly schoolchildren. Schools and Departments engage in Research Open Days</p> <p>The Communications Office works closely with researchers across the Institute to promote our research activities to the public in interesting and engaging ways.</p> <p>The Section of Music establishes a programme of public performances and recitals throughout the academic year.</p> <p>DkIT has endorsed the Campus Engage Ireland initiative. Campus Engage aims to promote civic engagement as a core function of Higher Education by better enabling Higher Education Institutions, their staff and students across all disciplines, to engage with the needs of the communities they serve.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Research Focus</a></li> <li>○ <a href="#">Social Media Management Policy</a></li> <li>○ <a href="#">Compliance Policy</a></li> <li>○ <a href="#">DkIT Times</a></li> <li>○ <a href="#">Open Access Policy</a></li> <li>○ School Liaison Officer</li> <li>○ Campus Engage Ireland</li> </ul>	<p>Develop a communications, Dissemination and Public Outreach policy</p> <p>Establish a calendar of events and activities and display this on the DkIT website.</p> <p>Update of the DkIT website</p> <p>Establish Research Day across the Institute</p>	<p>Communications Manager</p> <p>Research Office</p> <p>Heads of School</p> <p>IT Manager</p> <p><b>April 2016</b></p>

<b>10. Non discrimination</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
DkIT is fully committed to develop, maintain and support a comprehensive access policy predicated on respect for the values of equality, inclusion and diversity. The Equality Act 1998-2011 – supports the implementation of this principle. DkIT	<ul style="list-style-type: none"> <li>○ <a href="#">Equal Access and Participation Policy</a></li> <li>○ <a href="#">Privacy Policy</a></li> <li>○ <a href="#">Mission Statement</a></li> </ul>	<b>No specific action:</b> DkIT will review and update internal procedures and policies in accordance with national or European	HR Manager Registrar's Office <b>Ongoing</b>



<p>reviews policies and procedures to ensure that they do not, directly or indirectly discriminate against members of staff and potential staff on any ground protected by Equality legislation and in accordance with the Institutes Mission Statement.</p> <p>DkIT is an Equal Opportunities employer and is committed to equality of opportunity for existing and potential employees. DkIT has an Equal Opportunities policy to support this principle in practice in line with the Equal Status Act (2000)</p> <p>DkIT has nominated two Access Officers. One based in HR who is the Access Officer for staff and prospective staff, and another in Student services (Disability Officer) who is the Access Officer for students and prospective students. Members of the public who do not fall under either of these categories who have an enquiry under the Act should contact the HR access officer in the first instance.</p> <p>Under the Disability Act 2005 and the Equal Status Acts 2000-2008, the Institute is obliged to ensure equity of access and participation for students with disabilities.</p> <p>The Disability Officer has responsibility for providing assistance to people with disabilities in accessing the services of the Public Body and to act as a point of contact for students with disabilities who wish to access the service. The Disability Support Service promotes inclusive practices throughout the campus community. Students who register with the service can avail of learning support, assistive technology and reasonable accommodations in examinations etc.</p> <p>Information about disability is classed as 'sensitive personal' data. Information regarding students' disabilities is processed in accordance with the Data Protection Acts 1988 &amp; 2003 and the Institutes Data Governance Policy and the Privacy Policy.</p> <p>All staff and students unions have fully committed to creating an environment within the Institute that is free of bullying and harassment and which promotes personal integrity and dignity and free of discrimination on grounds of gender, marital status, family status, race, religious beliefs, sexual orientation, disability age or membership of any ethnic group, in accordance with relevant legislation.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Statement of Access policy</a></li> <li>○ <a href="#">Data protection Policy</a></li> <li>○ <a href="#">Privacy policy</a></li> <li>○ <a href="#">Bullying an Harassment Policy</a></li> </ul>	<p>legislation and guidance.</p>	
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11. Evaluation/ appraisal systems			
Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkIT has drafted a Research Career Framework which outlines probationary periods terms and conditions of employment and responsibilities of the researcher. The Framework also details the Professional development training modules that must be completed to progress to the next level. All researchers are subject to a probationary period in their first year of employment and this process is managed between the PI and the individual researcher with guidance from HR.</p> <p>Every research student has a supervisory team, whose roles and responsibilities are provided in the Institutes Academic Regulations for Postgraduate Research Degrees. The Supervisor must review the research student's performance annually. Less experienced supervisors are supported by a mentor – more experienced researcher.</p> <p>The purpose of these guidelines is to provide students, supervisors, examiners and other Institute staff with the necessary information to ensure best practice in the management of the research degree process.</p> <p>PDMS supports staff in realising their maximum potential, to the benefit of both the individual and to the Institute. It consists of a self evaluation by the individual researcher followed by review with Supervisor</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Academic Regulations for Postgraduate Research Degrees</a></li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> </ul>	Develop a Research Career Framework with structured Performance Review	<p>Head of Research HR Manager Head of School Research Centre Managers <b>Sept 2016</b></p>

## II. Recruitment

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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>All employment opportunities for researchers are open to both internal and external applicants. Advertisements are proofed and authorised by HR to ensure compliance with best practice and legislation.</p> <p>DkIT is an equal opportunities employer.</p> <p>Employment decisions are based on merit, qualifications, skills, abilities, knowledge and attitude required to perform the job effectively and efficiently.</p> <p>Recruitment and selection policies, promotion policies and training and development policies and all associated documentation reflect DkITs commitment to this policy.</p>	<ul style="list-style-type: none"> <li>○ HR Recruitment Policy</li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> <li>○ <a href="#">Roles and Responsibilities for contract researchers</a></li> </ul>	<p><b>No specific action required,</b></p> <p>DkIT will continue to review and update procedures and policies in line with National and EU legislation and guidance</p>	<p>HR office</p> <p><b>Ongoing</b></p>

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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkIT has a comprehensive recruitment practice in place for the purpose of recruiting research staff. This practice is tailored to suit the needs of research centres/groups of the Institute and allows them to advertise in an expert and expedient manner. The person recruiting (Principal Investigator 'PI') and the Research HR Manager work together to initiate the recruitment process.</p> <p>The PI submits</p> <ol style="list-style-type: none"> <li>1. a draft advert which includes details of the post on offer</li> <li>2. Title of post, location, duration, salary, project / research details, essential and desirable skills required, etc.</li> <li>3. Details on the funding agency, bio-pages of the PI and other background information is also included</li> <li>4. A post initialising form is also submitted by the PI which lists the essential and desirable skills for the post holder, the purpose of the post, where they wish to advertise names and contact details of board members and proposed dates for closing/shortlisting/interview. Closing dates/range is specified in the recruitment policy.</li> <li>5. PI's are encouraged to also include, in the advert, an opportunity for applicants to contact them for further information</li> </ol> <p>All recruitment campaigns are subject to both internal and external audit by regulatory agencies and funding bodies.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Request to Advertise for Research and Development</a></li> <li>○ HR Recruitment policy</li> </ul>	<p><b>No specific action required</b></p> <p>DkIT will continue to review and update process and policy in light of National and EU legislation and guidance</p>	<p>HR office</p> <p><b>Ongoing</b></p>

14. Selection (Code)			
Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	When/Who
<p>All postgraduate recruitment is conducted through the Research Office. The Head of School, Head of Research and the HR office work closely to form an interview panel. For research posts the interview panel must consist of a minimum of three interviewers and have gender balance. The interview board can have up to five or six interviewers especially in the case of more senior posts. Representatives from funding agencies and partner research institutes can participate as board members if desired. The board should be adequately trained and familiar with the interview process and HR representatives sit on any board where the majority of the board are not.</p> <p>Although there is a preference for face to face interviews, audio visual interviews are allowed to facilitate applications from international candidates. The Institute has a wide range of audio-visual facilities to assist PI's with their recruitment</p>	<ul style="list-style-type: none"> <li>○ HR Recruitment Policy</li> <li>○ Role of HR and Interview Panel</li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> </ul>	Training on the use of Audio-visual tools for interview purposes	HR Manager Research Office Graduate Studies Office International Office <b>Dec 2016</b>



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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The criteria used for selection and the number of posts available are listed in the published advertisement and the interview board must document how they selected the candidates by completing a short listing form. Recruitment policy and policy statements are available on the HR website. Candidates who are not shortlisted are given the reason they did not meet the criteria.</p> <p>Shortlisted candidates are invited to interview and the invitation letter/notice provides further information. Candidates are given contact details and are encouraged to make contact with any queries or special requirements they might have.</p> <p>Post-interview candidates are notified of the result and are offered an opportunity to receive feedback on their performance at interview.</p> <p>The Institute is governed by the provisions of the Freedom of Information Act 1997. This act confers on individuals a legal right of access to their own personnel information held by the Institute and to their own employment records. It also confers on individuals a legal right to have made known to them in writing the reasons for decisions made by the Institute that have materially affected them.</p> <p>The Chairperson of every Selection Board will therefore be required to document the reasons for the decisions made by the Selection Board in respect of each candidate, both at shortlisting and final selection stage for release to candidates on request.</p> <p>HR retains records of all recruitment campaigns in compliance with FOI Act.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Freedom of information- legislation</a></li> <li>○ <a href="#">Recruitment and employment of Research Staff</a></li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> </ul>	<p><b>No specific action required</b></p> <p>DkIT will continue to review and update policy and procedure in line with National and EU legislation and guidance</p>	<p>HR Manager</p> <p>Head of Research</p> <p><b>Ongoing</b></p>

**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, and 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The selection process at DkIT is based on the Research Career Framework and includes an assessment piece which lists a variety of competencies. In addition to candidate qualifications, relevant experience, presentation skills, intellectual ability, interests, motivation and special factors (pertaining to the job on offer) are also included in the selection process.</p> <p>A PhD or a minimum of four years industrial experience is required for the level of postdoctoral researcher/research associate.</p> <p>For higher levels such as Research Fellow additional skills and experience are required. These include;</p> <ul style="list-style-type: none"><li>• contributing to the application for a research grant(s)</li><li>• successfully managing research projects including the co-supervision and mentoring of more junior staff.</li><li>• Contribute to teaching /tutoring/mentoring in an associated school and under the supervision of an Academic Faculty member (as appropriate).</li><li>• publishing on a regular basis in a high quality peer reviewed journal(s)</li><li>• Evidence of financial and budget management</li></ul>	<ul style="list-style-type: none"><li>○ <a href="#">Recruitment and employment of Research Staff</a></li></ul>	<p>Develop a Research Career Framework and structured Performance Review</p> <p>.</p>	<p>Responsible: Head of Research HR Manager Head of School Research Centre managers</p> <p><b>Sept 2016</b></p>

**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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>All applicants for research posts submit a CV and covering letter to the person recruiting the Principal Investigator (PI). The application must meet the criteria as listed in the advertisement. The applicant can put as much or as little information as they wish in their application. The option to discuss the post with the PI or his/her nominee is also included in the advert which allows the applicant an opportunity to discuss the post in more detail if desired.</p> <p>All interviews at DkIT are competency and skills based interviews and candidates are awarded merit for the following:</p> <ul style="list-style-type: none"> <li>• Academic/Professional qualification</li> <li>• Interpersonal, communication skills</li> <li>• Research Experience/ Industry experience</li> <li>• Interest and Motivation</li> <li>• General Ability and potential</li> </ul>	<ul style="list-style-type: none"> <li>○ HR Recruitment Policy</li> </ul>	<p>DkIT to develop a Researcher Career Framework defining qualifications and experience needed to meet research grades</p>	<p>Head of Research HR Manager Head of School <b>Sept 2016</b></p>

**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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>Mobility experience is valued at DkIT.</p> <p>If mobility experience is deemed to be one of the criteria necessary for the the post then it will be considered by the interview board in the same manner as the other criteria and scored accordingly in line with the recruitment procedure. Mobility at post-graduate level is considered as an added value when there is clear scientific justification.</p>	<ul style="list-style-type: none"> <li>○ HR Recruitment Policy</li> </ul>	<p>Develop a Research Career Framework that incorporates Research mobility (geographic mobility as well as intersectoral mobility)</p>	<p>Head of Research HR Manager Head of School <b>Sept 2016</b></p>

<b>19. Recognition of qualifications (Code)</b> Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkIT Human Resources Office request the original qualifications of all applicants at offer stage of post, regardless of the awarding institute(s).</p> <p>All postgraduate student applications are processed through the Head of Research and Graduate Studies Office. Each School requests examination transcripts for non-DkIT graduates (not necessary for DkIT graduates as they are available locally in Schools).</p> <p>The entry requirements and application procedures is:</p> <ol style="list-style-type: none"> <li>1. To be eligible to enter on a programme of study and research for the degree of PhD a candidate must have reached a high honours standard at the examination for the primary degree or presented such other evidence as to well satisfy the Head of School and the Institute of his/her fitness.</li> <li>2. The application, together with the recommendation of the Head of School, shall be considered by the Institute in which the programme is to be pursued.</li> </ol> <p>The title of the thesis, or a short description outlining the nature of the work, must be provided to the Institute when the candidate is being recommended for acceptance. If the candidate's application is approved by the Institute, he/she must register as a PhD candidate for the period set out at (a) or (b) or (c), as relevant, above.</p> <ol style="list-style-type: none"> <li>3. The Academic Council is empowered to withdraw the acceptance of any candidate on the recommendation of the School concerned.</li> </ol>	<ul style="list-style-type: none"> <li>o <a href="#">Postgraduate Degree regulations</a></li> </ul>	<p><b>No specific action required:</b> DkIT will continue to review and update procedures in line with National and EU legislation and guidance.</p>	<p>HR Manager <b>Ongoing</b></p>

<b>20. Seniority (Code)</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
A PhD is required for postdoctoral research positions and DkIT requests transcripts of all qualifications at offer stage. In addition to qualifications the selection criteria also includes relevant experience and achievements of the candidates which meet the criteria of the post on offer. The criteria for all research posts are evidence based and all applicants are scored using the same criteria to ensure transparency. The Institute also supports staff who wish to avail of training for professional qualifications, ie PhD.	<ul style="list-style-type: none"> <li>○ <a href="#">Staff development – funding supports</a></li> <li>○ Interview assessment form – research Posts</li> <li>○ HR Recruitment Policy</li> </ul>	Advertise Research supports and centralise on DkIT website	Research Office <b>Ongoing</b>

<b>21. Postdoctoral appointments (Code)</b> 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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
Duration of contract and salary are specified in the advertisement for all research posts. Contracts of employment are issued to all staff and refer to the specific purpose of the post. The IUA guidelines are used for guidance on salary scales. Consideration is given to funding availability, and experience.	<ul style="list-style-type: none"> <li>○ Fixed Term Workers Act 2003</li> <li>○ Redundancy Payments Act 1967-2012</li> <li>○ <a href="#">Advertising of Research Posts Policy</a></li> <li>○ <a href="#">IUA Salary Guidelines</a></li> </ul>	Develop a Research Career Framework outlining qualifications and experience needed to meet research grades and salary scales	Head of Research HR Manager Head of School <b>Sept 2016</b>



### III. Working conditions and social security

#### 22. Recognition of the profession

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

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
The Institute recognises the valuable contribution made by researchers to the Institution and treats researchers as professionals.		Encourage ESR and Established Researchers to establish a Researchers Forum	Head of Research Research Office Graduate Studies Office International Office <b>Ongoing</b>

### 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules. PhD programmes are organised as per IUQB Good Practice Guide and include Demystifying the Viva, Communication Skills, and IPR issues in research and knowledge transfer, Ethics: principles and practice etc.</p> <p>There are over 2,400m<sup>2</sup> of dedicated research space in DkIT, and researchers have access to 'State of the Art' research facilities and lab space.</p> <p>The DkIT Safety Office provides guidance to the greater Institute population to help ensure compliance with health and safety legislation. The Safety Office prepares guidance documents, advises on risk assessments, arranges external safety audits and in conjunction with Human Resources works with Research Units to identify safety training needs and the required courses in order to ensure that the activities of the Institute do not pose an undue risk to the health and safety of staff, students and all other third parties.</p> <p>DkIT library Staff offer research support assistance to researchers</p> <p>Student Services provide a comprehensive campus students service which includes support in areas for example chaplaincy, health, medical &amp; career guidance to all registered students of the Institute in a professional, courteous, and confidential manner.</p>	<ul style="list-style-type: none"> <li>○ DkIT Structured PhD provision</li> <li>○ Target research training Workshops</li> <li>○ <a href="#">Research Supports</a></li> <li>○ <a href="#">DkIT Statement of Health and Safety</a></li> <li>○ <a href="#">DkIT Student Services</a></li> <li>○ <a href="#">DkIT Library</a></li> <li>○ IUQB Good Practice Guide to PhD programmes</li> </ul>	<p>1.DkIT to improve current IT infrastructure – improve network and Wi-Fi speed</p> <p>2. Develop Researcher Career Framework with structured Performance review</p>	<p>1. IT Manager Heads of School <b>Ongoing</b></p> <p>2. Head of Research HR Manager Head of School <b>Sept 2016</b></p>

## 24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>All employees including researchers are issued with a contract of employment which provides comprehensive information on employment conditions, policies and procedures. Researchers are also covered by any collective bargaining agreements and are in compliance with national legislation. Researchers have access to leave schemes in the same way as any other category of employee. Leaves such as career breaks, part-time working must be approved by the line manager as appropriate. Flexible working hours are available to research staff as appropriate.</p> <p>Only academic staff has access to sabbatical leave.</p> <p><b>Entitlement to Parental Leave</b></p> <p>From 8 March 2013 each parent is entitled to 18 weeks parental leave for each child to be taken before the child reaches the age of 13.</p> <p>DkIT offers support to people with disability through the Disability and Student Quality Office. A dedicated Disability Support officer will work to ensure that a learning disability does not disadvantage any individual from achieving their full academic potential</p>	<ul style="list-style-type: none"> <li>○ HR Policy</li> <li>○ <a href="#">DkIT Leave policy</a></li> <li>○ <a href="#">DkIT Parental Leave policy</a></li> <li>○ <a href="#">Maternity leave policy</a></li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> <li>○ <a href="#">DkIT Disability and Student Quality Office</a></li> </ul>	<p>Provide clarity and document</p> <ul style="list-style-type: none"> <li>• Maternity pay and leave entitlements for Researchers</li> <li>• Flexible working arrangements for Researchers</li> <li>• Research Employment Contracts</li> </ul>	<p>HR Manager Academic Council Financial Controller Head of Research <b>December 2015</b></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*.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
DkIT is fully compliant with the Fixed Term Workers Act 2003 All employees are given written employment contracts and contracts of indefinite duration are issued to staff as appropriate.	<ul style="list-style-type: none"><li>○ HR Policy</li><li>○ <a href="#">DkIT Leave policy</a></li><li>○ <a href="#">DkIT Parental Leave policy</a></li><li>○ <a href="#">Maternity leave policy</a></li></ul>	<p>Provide clarity and document</p> <ul style="list-style-type: none"><li>• Maternity pay and leave entitlements for Researchers</li><li>• Flexible working arrangements for Researchers</li><li>• Research Employment Contracts</li></ul>	HR Manager Academic Council Financial Controller Head of Research <b>December 2015</b>

## 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
Research employees are paid on IUA guideline salary scales. Research staff is also paid on fixed salaries as appropriate as in the case of Marie Curie, Irish Research Council and other personal fellowships. While some funding agencies do not allow funding to be used during sickness or maternity leave for research employees, the Institute as the employer must do so as it treats all employees in the same manner.	<ul style="list-style-type: none"><li>○ <a href="#">IUA Researcher Guideline Salaries</a></li><li>○ <a href="#">Sick Pay Policy</a></li></ul>	<p>No specific action required:</p> <p>DkIT will continue to review and update procedures in line with National and EU legislation and guidance.</p>	HR Manager Head of Research <b>Ongoing</b>

## 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>All recruitment and selection procedures are equality proofed and the Institute has a robust Equal access and participation policy. Job applicants are selected solely on the basis of merit (quality and competency).</p> <p>DkIT is committed to develop, maintain and support a comprehensive access policy predicated on a respect for the values of equality inclusion and diversity.</p> <p>All interview Boards have gender representation.</p>	<ul style="list-style-type: none"><li>○ <a href="#">Equal Access and Participation Policy</a></li><li>○ <a href="#">Statement of Access Policy</a></li></ul>	<p>No specific action required:</p> <p>DkIT will continue to review and update procedures in line with National and EU legislation and guidance.</p>	<p>HR Manager Head of Research <b>Ongoing</b></p>

## 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules. PhD programmes are organised as per IUQB Good Practice Guide.</p> <p>Current practice of career development for researchers is managed by the PI and the researcher. DkIT has a wide range of training courses and methods available to research staff to help enhance their career prospects but it is accepted that there is no formal career development plan for all researchers in place.</p> <p>Streamlining all training options for research staff should make the career planning process more effective and beneficial to both employer and employees.</p> <p>All staff upon commencing employment is given an induction pack which includes details of training courses and supports available at DkIT.</p> <p>The Institute also has a Centre for Excellence in Learning and Teaching (CELT) which is research-led and participates in international organisations and fora in the areas of teaching, evaluation, technology, civic engagement and higher education research. CELT has a wide range of services including Professional Development, individual courses and programmes to staff.</p>	<ul style="list-style-type: none"><li>○ <a href="#">MA teaching and Learning modules</a></li><li>○ Staff Manual</li><li>○ Skills for Graduate Teaching Assistants as part of DKIT Structured PhD</li><li>○ <a href="#">Academic Regulations for Postgraduate Research Degrees</a></li><li>○ Staff training and Development Policy</li></ul>	<p>Develop a Research Career Framework and structured performance review</p>	<p>Head of Research HR Manager Head of School <b>Sept 2016</b></p>

## 29. Value of mobility

Employers and/or funders must recognize 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
There is evidence to support that mobility experience is valued at DkIT. In 2015 a total of 450 International Students and 150 Erasmus+ exchange students attend DkIT. The Institute is committed to developing the services and programmes for the international student community and to creating a supportive, inclusive and caring environment for all overseas students and visiting staff.	<a href="#">International Office</a>	Mobility experience (transnational and intersectoral) to be included in Research Career Framework	Head of Research HR Manager Head of School <b>Sept 2016</b>

## 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
All research students are supported by The DkIT careers office. Researchers also have access to a wide variety of training courses through the Centre for Excellence in Learning and Teaching (CELT). Researchers and Principals Investigators can also request specific training courses as appropriate. Staff can discuss their career plans with HR staff and there is a dedicated Careers Office for career advice and planning.	<ul style="list-style-type: none"><li>○ <a href="#">Careers Office</a> Training Modules on Career Planning</li><li>○ <a href="#">HR Office</a></li></ul>	<b>No specific action required:</b> DkIT will continue to review and update procedures in line with National and EU legislation and guidance.	HR and HoR <b>Ongoing</b>

## 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
The DkIT Intellectual Property and Research Commercialisation Policy have been in operation since 2007. This policy was developed in accordance with best practice and is consistent with the Guidelines for Managing Research-Generated Intellectual Property and the National Codes of Practice. This Policy provides for commercial income to be distributed to the researchers and other creators of Intellectual Property. All researchers are required to engage with the Technology Transfer Officer to ensure all aspects of IP are considered.	<ul style="list-style-type: none"> <li>○ <a href="#">Intellectual Property and Research Commercialisation Policy</a></li> <li>○ <a href="#">TT Office</a></li> </ul>	Provide more regular training on IPR and issues	TTO and HoR <b>Ongoing</b>

## 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).

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
The issue of authorship is important in the context of good research Practice and must be in accordance with DkITs existing policies on Academic Integrity and Postgraduate Degree regulations. Training on getting Published and Journal selection is provided through DkITs Structured PhD programme. The Research Supervisors training also ensures Supervisors can mentor their students in aspects of publication.  Research Writing provided by Centre for Excellence in Learning and Teaching (CELT) is available to all researchers.	<ul style="list-style-type: none"> <li>○ <a href="#">Academic Integrity Policy</a></li> <li>○ <a href="#">Postgraduate Degree Regulations</a></li> <li>○ Structured PhD training programme</li> <li>○ Research Supervisors training</li> </ul>	Develop a Researchers Induction Manual to include <ul style="list-style-type: none"> <li>○ Academic Research Freedom</li> <li>○ Ethical Principles and Practices</li> <li>○ Responsibility and accountability</li> <li>○ Intellectual Property</li> <li>○ Good Laboratory Practices</li> <li>○ Dissemination and Communication</li> <li>○ Data Protection</li> <li>○ Misconduct and Complaints</li> <li>○ Supervision</li> <li>○ Research Management including personal safety</li> <li>○ Probationary period and Performance review</li> <li>○ Publications</li> </ul>	Head of Research (HoR) Research Office HR Manager Registrar <b>Dec 2016</b>



### 33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
Teaching & Learning provided by Centre for Excellence in Learning and Teaching (CELT) is available to all researchers. Researcher's contracts of employment do not include teaching hours.	<ul style="list-style-type: none"><li>○ <a href="#">MA Teaching and Learning Modules</a></li><li>○ <a href="#">Academic Regulations for Postgraduate Research Degree</a></li><li>○ <a href="#">Assessment and Learning Guidelines for DkIT</a></li><li>○ Staff Training and Development policy</li></ul>	Research Career Framework to outline an acceptable number of teaching hours for Researchers for the purposes of career development	1.Head of Research HR Manager Head of School <b>Sept 2016</b>

### 34. Complaints/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	When/Who
DkIT encourages the highest standard of conduct to ensure that all actions are lawful, ethical, honourable and transparent. It is committed to ensuring the dignity of each of its employees and that the workplace is free from bullying and harassment. Complaints by employees will be treated with fairness and sensitivity and where possible problems will be resolved in an informal matter through Heads of School/HR department. Where it is not possible to resolve these issues informally employees have the right to pursue the Grievance procedure.	The HR portal contains a full list of policies and procedures regarding all aspects of HR <ul style="list-style-type: none"> <li>○ <a href="#">Complaints procedure for staff</a></li> <li>○ <a href="#">DkIT Code of Conduct</a></li> <li>○ <a href="#">Grievance Policy and Procedure</a></li> <li>○ Disciplinary Policy and procedures</li> <li>○ <a href="#">Bullying and Harassment policy</a></li> </ul>	<ol style="list-style-type: none"> <li>1. Develop a Researchers Induction Manual to include <ul style="list-style-type: none"> <li>○ Academic Research Freedom</li> <li>○ Ethical Principles and Practices</li> <li>○ Responsibility and accountability</li> <li>○ Intellectual Property</li> <li>○ Good Laboratory Practices</li> <li>○ Dissemination and Communication</li> <li>○ Data Protection</li> <li>○ Misconduct and Complaints</li> <li>○ Supervision</li> <li>○ Research Management including personal safety</li> <li>○ Probationary period and Performance review</li> <li>○ Publications</li> </ul> </li> <li>2.. Centralise all Policies relevant to researchers in one repository on the website</li> </ol>	<ol style="list-style-type: none"> <li>1. Head of Research Research Office HR Manager Registrar <b>Dec 2016</b></li> <li>2. Research Office IT Manager Communications <b>Jan 2016</b></li> </ol>

### 35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>The pillars of the organisational structure of DkIT are</p> <ul style="list-style-type: none"> <li>❖ Governing Body</li> <li>❖ Academic Council</li> <li>❖ Executive Board</li> </ul> <p>Researchers are represented on the Institutes governing Body, which is responsible for managing and controlling all the affairs of the Institute. Members are elected by means of ballot of all staff. There is also student representation.</p> <p>Researchers are also represented on the Research Sub-Committee which is chaired by the Head of Research and Graduate Studies.</p> <p>Researchers may also be members of recognised trade unions.</p> <p>Each school has established a Postgraduate Programme Research Boards</p>	<ul style="list-style-type: none"> <li>○ Institute Structure and Terms of Reference for <a href="#">Governing Body</a>, <a href="#">Academic Council</a> and <a href="#">Executive Board</a></li> <li>○ <a href="#">DkIT Strategic Plan</a></li> </ul>	<p>Encourage Researchers (ESR and Established) to establish a Researchers Forum</p>	<p>Head of Research Research Office Graduate Studies Office International Office <b>Ongoing</b></p>

#### IV. Training

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, and deliverables and/or research outputs.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
Every research student has a primary supervisor, whose roles and responsibilities are provided in the Academic Regulations for Postgraduate Research Degrees. The majority of postdoctoral researchers are employed for 2-3 years and researchers have a probationary period. During this period the PI and researcher must formally meet for the specific purpose of managing performance and also to allow the researcher to set their own career objectives. HR provides PIs and researchers with template career development forms and support. Individual career development plans need to be in place for all research staff.	<ul style="list-style-type: none"><li>○ <a href="#">Academic Regulations for Postgraduate research Degrees</a></li><li>○ <a href="#">Assessment and Learning Policy</a></li><li>○ DkIT Research Supervisors training</li><li>○ <a href="#">Researcher Roles and Responsibilities</a></li><li>○ <a href="#">Student Voice Policy</a></li></ul>	Formal Structure of Researcher performance review to be institutionalised	Head of Research HR Manager Head of School Research Centre Manager <b>Sept 2016</b>

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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>DkITs Research Career Framework and Research supervisors training modules outlines the expectations of senior researchers with regards to ensuring less experienced researchers meet their full potential.</p> <p>Centre for Excellence in Learning and Teaching (CELT) provides a Postgraduate Student Supervision module which is available to academic/research staff.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">Centre for Teaching and Learning</a></li> <li>○ Research Supervisors Training</li> <li>○ <a href="#">Assessment and Learning Policy</a></li> <li>○ <a href="#">Researcher Roles and Responsibilities</a></li> <li>○ <a href="#">Student Voice Policy</a></li> </ul>	Develop a Research Career Framework and structured Performance Review	<p>Head of Research HR Manager Head of School Research centre Managers <b>Sept 2016</b></p>

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.			
Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>Training for researchers and supervisors is provided by the Office of the Head of Research and Graduate Studies, and Centre for Excellence in Learning and Teaching (CELT). CELT provides a wide portfolio of training opportunities in the areas of teaching, learning and wider academic practice, ranging from single workshops to standalone module, to full credit-bearing postgraduate qualifications Research staff can avail of these opportunities. Online materials are also available to support those new to teaching. DkIT also provide a framework for peer-observation of teaching and other student feedback mechanisms which can be used for professional development purposes. CELT also provides a module on Postgraduate Supervision and Research and this covers topics including managing students, academic writing/integrity, etc.</p> <p>All teaching in the Institute is governed by the The Assessments and Learning Policy for DkIT and also the Staff training and development policy</p> <p>DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules. PhD programmes are organised as per IUQB Good Practice Guide. DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">CELT Office</a></li> <li>○ Staff Training and Development policy</li> <li>○ <a href="#">Assessment and Learning Policy</a></li> <li>○ <a href="#">Student Learning and Development Centre</a></li> <li>○ Conference/workshop support programme</li> </ul>	<p>1. Develop Research Career Framework with structured performance review</p> <p>2. Provide Research Skills Training (including IPR and Media Training) in webinar format and host on the DkIT website</p> <p>3. Provide details of all Institutional Supports for researchers in one area of the website and advertise supports regularly</p>	<p>1. Head of Research HR Manager Head of School <b>Sept 2016</b></p> <p>2 Head of Research Graduate Studies Office IT Manager <b>Ongoing</b></p> <p>3. Head of Research Research Office HR Office Head of Schools <b>April 2016</b></p>

### 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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
<p>Centre for Excellence in Learning and Teaching (CELT) provides a wide portfolio of training opportunities in the areas of teaching, learning and wider academic practice, ranging from single workshops to standalone module, to full credit-bearing postgraduate qualifications Research staff can avail of these opportunities. Online materials are also available to support those new to teaching. We also provide a framework for peer-observation of teaching and other student feedback mechanisms which can be used for professional development purposes. CELT also provides a module on Postgraduate Supervision and Research and this covers topics including managing students, academic writing/integrity, etc.</p> <p>All teaching in the Institute is governed by the The Assessments and Learning Policy for DkIT and also the Staff training and development policy</p> <p>DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules. PhD programmes are organised as per IUQB Good Practice Guide. DkIT Structured PhD programmes provide both advanced discipline-specific and professional skills modules.</p>	<ul style="list-style-type: none"> <li>○ <a href="#">CPD workshop/seminars in learning provided by CELT Office</a></li> <li>○ Staff Training and Development policy</li> <li>○ <a href="#">Assessment and Learning Policy</a></li> <li>○ <a href="#">Student Learning and Development Centre</a></li> </ul>	<p>Provide Research Skills Training (including IPR and Media Training) in webinar format and host on the DkIT website</p>	<p>Head of Research Graduate Studies Office IT Manager <b>Ongoing</b></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.

Existing DkIT rules and/or practices	Policies and Procedures	Actions required	Timeline and Responsibility
All PhD students have a primary supervisor and Graduate Research Committee, whose roles and responsibilities are described in the Academic Regulations. The supervisor/line manager for all staff is specified in the employment contract of all staff. All contract Researchers are appointed a PI to report as per their contract. Postgraduate researchers have a dedicated supervisory team.	<ul style="list-style-type: none"><li>○ <a href="#">Academic Regulations for Postgraduate Research Degrees</a></li></ul>	Develop a Research Career Framework and structured performance review	Head of Research HR Manager Head of School <b>Timeline: Sept 2016</b>