



UoC HRS4R First Action Plan: INTERNAL ASSESSMENT

Based on the following tenets: *(still valid)*

1. All reasonably practicable measures should be taken to ensure that the mechanism and procedures are in place to ensure observance of ethical and professional principles;
2. Researchers need to be informed about their rights and responsibilities;
3. Comprehensive guidance and support of IPR and related issues needs to be developed;
4. Policies and university-wide services to improve the position of researchers and the research environment need to replace current *ad hoc* practices;
5. Research training and continuous professional development are central elements of the University's educational mission that need to be promoted and monitored accordingly.

Coordination in monitoring the implementation of the Action Plan is undertaken by the Directorate of Planning & Development in consultation with all relevant stakeholders and services.

ACTIONS	How	By Who	When	Did we achieve our target? If not, why not?	New actions/follow-up
1 Ethical & Professional Provisions					
1.1 Professional Ethics :university-wide organizational structure and procedures clarified	Review institutional provisions for internal appeals & disciplinary procedures.	Vice Rector of Academic Affairs, in consultation with Deans and University legal services.	Initial report and recommendations by December 2012. Follow-up: periodic	DONE: (see also 2.1) <i>Fed into draft plans for re-organization of the University's administration (structures & procedures) including re-drafting of the University's internal regulations (nearing completion)</i> <u>Professional ethics & integrity provisions clearly codified in Section Θ (pp112-120) Draft Plan UoC Organization (ΠΡΟΣΧΕΔΙΟ ΟΡΓΑΝΙΣΜΟΥ) (10-VIII-2014)</u>	NEW ACTION: <i>Monitor adoption & implementation of professional ethics & integrity provisions with particular reference to the provisions for an institutional ethics committee</i>

					<p>Concurrent development: -Appointment (Feb 2013) of Students' Ombudsman [as provided in N4009/2011 s18(8)]</p>	
1.2	<p>Research Ethics Committee (REC)– operational body and University-wide procedures to be fully operational</p>	<p>Constitutional arrangements for REC –approved at July 2012 Synod. To follow asap: formation of REC; collation & codification of existing protocols and approval mechanisms</p>	<p>Research Committee up to initiation of the Research Ethics Committee (REC), and subsequently the REC.</p>	<p>REC appointed by October 2012. Fully operational by the end of the academic year 2012-13</p>	<p>DONE - First university-wide REC appointed and began work October 2012 (Senate 305/30-08-2012 & 307/25-10-2012) – see UoC site Ηθική & Έρευνα/ Research Ethics pages of UoC site.</p>	<p>NEW ACTION: Status evaluation & assess development options (including intranet); promote application procedures & research ethics support services.</p>
1.3	<p>SWOT analysis of health and safety (H&S) organization, guidance, procedures and training at all levels</p> <p>Concurrent: negative developments following Ministerial directive to dismiss personnel in staff categories of guards & technical personnel (mechanics, electricians, et al). Pending a solution, maintaining safety & security on the University campuses & in its' buildings & labs is challenging.</p>	<p>Review – a) General (fire/earthquake drills) b) Specific environmental (waste disposal/pollution control) c) Specific occupational (lab H&S)</p>	<p>Workgroup chaired by Vice Rector of Infrastructure, including as required Technical Directorate, Deans, Heads of Dept and Clinic/Lab Pls</p>	<p>Report by end of the academic year 2012-13 (July 2013)</p> <p>Follow-up as required</p>	<p>DONE University H&S Review Group established with defined remit under Vice Rector for Academic Affairs in collaboration with Deans, Heads of Departments, and P&D Directorate; commissioned reports/shortlist feedback on existing organization, provisions & procedures including defined responsibilities for (a) to (c). Rectors Council (21st/03-09-2013) approved new campus level coordination structure, defined composition & responsibilities of Departmental H&S Committees + codification of the general H&S rules. Departmental H&S Committees augmented as & where required (e.g. new Departmental Committees in Humanities); new general H&S Guidance Notes produced for all students & staff and incorporated in general induction programmes for new students; +seminar/lecture series initiated on general H&S (first aid; fire; earthquake)</p>	<p>NEW ACTION: Monitor adoption & implementation of new internal regulations on H&S & in particular establishment of new Department of Environment, Health & Safety as provided for (under HR) in section Z6(3) of Draft Plan UoC Organization (10-VIII-2014)with remit for monitoring & coordinating relevant services.</p>

2	Researchers Rights and Responsibilities					
2.1	Preparation of 'rule book', information and guides documenting rights and responsibilities of researchers (with dedicated webpage)	Based on 1.1-1.3	Vice Rector of Academic Affairs, in consultation with the Research Committee, REC, and Deans.	Basic guide on-line by July 2013. Follow-up supplementation as required	<i>On-going (see 1.1-1.3) Scope for better dissemination. Dedicated webpage to be developed. Note: concurrent re-organization of ICT services is impacting on web site functionality</i>	<i>On-going New timeline for on-line package</i>
2.1.2	Specific guidance package on plagiarism	Guidance package on-line.	Vice Rector of Academic Affairs, in consultation with the Research Committee, REC	Basic guide on-line by July 2013. Follow-up supplementation as required	<i>On-going (see 1.1 & 2.1) Guidance leaflet prepared for dissemination to all new students (approved by Rector's Council 2st1/3-9-2013)</i>	<i>On-going New timeline for on-line package</i>
2.1.3	Examine feasibility of University-wide research training induction course	Mandatory/optional. Review existing provision	Vice Rector of Academic Affairs, in consultation with Deans and the Bioethics course organizers	Report by July 2013	<i>Review revealed wide variations in Departments' C&P. Note: a framework of common core elements for all <u>general</u> induction courses in all the University's Departments has been developed. Pending: to develop appropriate modules for research training for final year undergraduate & for all new graduate students (with particular ref to transferrable skills) (see 5 below)</i>	<i>Follow-up doc for consultation on best practices & core modules</i>
3	Intellectual Property Rights					
3.1	Clarification of 'third mission' with specific reference to IPR and development thereof	Policy document	Rector, in consultation with Research Secretariat, Property Management Services, Legal Services	December 2012	<i>In progress. Aims set out in mission section of Draft Plan UoC Organization (10-VIII-2014). Work has begun on briefing documents as pre-requisite for policy development/strategy on knowledge transfer & impact. This involves a great deal of work in mapping of current 'third mission' /public engagement activities throughout the University, impact assessment, & SWOT analyses.</i>	<i>New timeline</i>

					<i>Concurrent: Property Management Services + UoC staff have been participating in regional initiatives for RIS3</i>	
3.2	IPR: review of contractual and legal rights and obligations	Review existing provisions in employment and grant contracts; draft 'model' agreement on IPR (including joint authorship and copyright) for research projects at all levels specifying and safeguarding the rights & obligations of the co-researchers and the University.	Research Secretariat and Property Management Services in consultation with Legal Services,	Ongoing: proposals for model agreements by October 2013	<i>Status: review & inclusion of detailed code provisions in 06 of the Draft Plan UoC Organization (10-VIII-2014) Simple means of both informing researchers & obtaining formal commitment is, at outset of any research project, to require e-signature that has read, understood & accepts these articles.</i> <i>Requires good dissemination & intra-net.</i>	<u>NEW ACTION</u> <i>Monitor adoption & dissemination of new code provisions</i>
3.3	IPR: comprehensive guidance package on-line	Follows from 3.2 & links to 3.4	Research Secretariat and Property Management Services in consultation with Legal Services	By July 2014	<i>Significant preliminary work has been done. Lagging due to HR (particularly legal) resource limitations.</i>	<u>MERGE ACTIONS</u> <i>Monitor: Status reports & targets reviewed accordingly</i>
3.4	IPR: development of guidance and support services	Review and report on current C&P particularly for patents & spin-offs (including mapping of IPR profile) with recommendations on feasible options for development of support services geared to the commercial exploitation of results which also safeguard institutional rights (patents office?)	Rectorate, in consultation with Research Secretariat, Property Management Services, Legal Services	Report with recommendations on feasible options by July 2014	<i>As for 3.3. Proposals in draft for inter-institutional MoU in access to existing expertise & commercialization support services i.e. TTO & incubator facilities + disseminating info on availability of these IP services rather than attempting duplication</i>	
4	Researchers' Position & the Research Environment					
4.1	Policy statement on research and strategic objectives	Drafting based on current profiles as well as objectives	Rector, in consultation with Research Committee.	By December 2012	<i>In progress (see also 3.1) Aims set out in mission section of Draft Plan UoC Organization(10-VIII-2014)</i>	<i>New timeline</i>

					<i>Work has begun on evaluating impact & outcomes of previous (2002-12) strategic plan + preparation of briefing documents (mapping activity) as pre-requisite for policy development.</i>	
4.2	Development of on-line directory	Development of central database (ref Library program underway); web availability.	Rectorate, in consultation with Library, Research Secretariat, e-services	By October 2013	<i>A great deal of work has been done by Library Staff & P&D Directorate towards development of an on-line directory. Linking of different registries and domains is an ongoing challenge (ICT architecture & resource issues)</i>	<i>Monitor: ref resource limitations</i>
4.3	Clarify how the Commission descriptors for researchers correspond to the UoCs researcher community.	Profiling	QA Committee	By December 2013	<i>Preliminary work has been done by the P&D Directorate. New classification criteria introduced in 2013 for short-term contract applications (ELKE) will assist in this task. Still requires a great deal of work to simplify short-term contract descriptors, to reconcile these with EC descriptors, & to fully map first stage & recognized researchers working throughout the University (incl on a non-salaried/non-scholarship basis).</i>	<i>New timeline. Note HR limitations</i>
4.4	Provide systematic and targeted dissemination of information on research funding, opportunities and calls, including scholarship & other funding options available to young researchers	Research & Liaison support services – to utilize & develop existing expertise – to utilize international and national RSS feeds (<u>EC, EKT, Help-Forward</u>) & <i>NCP networks</i>	Research Secretariat for research calls ; Liaison Office (DASTA) for scholarship opportunities targeting young researchers	Fully operational by December 2013 Follow-up: periodic review	<i>Status: workshops. Information/training sessions involving NCPs organized by ELKE (H2020, MS-C Actions); information days organized by Liaison Office. Effective targeting stalled pending development of researcher directory (See also 4.2) Draft Plan UoC Organization (10-VIII-2010): Under Research & Development Directorate s.Z10(2) makes provision for unit with specific remit for support actions related to research</i>	<i>Pending: staff HR dependent</i>

					<p>partnerships, ethics & dissemination of research results. Further actions: stalled due to HR resource limitations.</p>	
4.5	Improve support services in proposal preparation and project management (ELKE Help-Desk)	Research support services - to utilize & develop existing expertise - unit within ELKE	Research Secretariat	Help-Desk to be fully operational by July 2014	<p>(See 4.2 & 4.4 above) Status: initial steps; stalled by resource limitations</p>	Pending: staff HR dependent
4.6	Upgrade university-wide mobility support services for researchers (EURAXESS Help-Desk)	Improve central information resources and services of the EURAXESS Help Desk.	Initially Planning & Development Directorate in consultation with ELKE; once fully operational, International Office.	Upgrades fully implemented by July 2014	<p>IN PROGRESS: -Creation of EURAXESS Helpdesk + mobility register template approved by the Rectors Council (37th/06-02-2014); - May 2014: stipend allocated for student part-time assistant (appointment pending) for incoming researchers (Heraklion) + via KEME administrative support staffer (Rethymnon). (Note resource limitations-HR)</p>	New timeline
4.7	Institute a series of awards for postgraduates (e.g. best publication)	Establish clear criteria, nomination/ application procedures and transparent award selection procedures.	Rector, in consultation with Deans & Research Committee	Series to be announced by March 2013	DONE. Young Researchers' Award initiated (with cash prize) & successfully completed 2 cycles (2013 & 2014) see HRS4R – <u>Awards</u> page of website	To continue & promote visibility
4.8	Institute awards for faculty members for significant successes (e.g. publication, winning a major research grant, etc)	Establish clear criteria, nomination/ application procedures, and transparent award selection procedures.	Rector, in consultation with Deans & Research Committee	Series to be announced by March 2013	DONE. Honorary Research Award see HRS4R – <u>Awards</u> page of website	<u>MERGE Follow-up Actions</u>
4.9	Review policy for internal research awards (ELKE)	Review criteria and independence of allocation mechanisms to support research excellence.	Research Committee	Ongoing; guidelines review by September 2013 Follow-up: periodic review	DONE. Periodic reviews	Highlight on website all awards/achievements & also the University's own research & teaching awards
4.10	Investigate options for start-up funds for new faculty together with reduced teaching duties in the first year of appointment	Review options	Rectorate	Report with recommendations by September 2013	Stalled: resource limitations	

4.11	Investigate options for greater support through University budget for core research facilities and activities	Review	Rectorate	by September 2013	<i>Stalled: budget cutbacks. Interim actions undertaken in analyses of Departmental budgets with view to best possible use of available limited resources.</i>	
4.12	Review existing contract laws and assess options for full and transferrable social security and pension rights.	Monitor legal and institutional changes governing provision; review options & implications vis-à-vis C&C principles.	University Legal Services	Report with recommendations by July 2014	<i>Stalled: overload on Legal Services in keeping pace with new regulations & directives</i>	TBA
4.13	Provide guidance package based on the results of 4.12	Based on 4.12 review	University Legal Services	By July 2014	<i>As above</i>	TBA
5	Research Training & Professional Development					
5.1	Promote quality of doctoral training (policy development)	Monitor developments - Innovation Union ERA supporting measures on 'Quality of Doctoral Training'; Policy commitment; guidance notes for new entrant PhD candidates	Vice Rector of Academic Affairs in consultation with QA Committee	Policy statement & guidance notes by December 2013	<i>Codification of best practice principles in Draft Plan UoC Organization (10-VIII-2010) lays groundwork for preparation of consultation paper with proposals for structured doctoral training programme (see 2.1.3 above).</i>	<i>NEW ACTION Consultation paper.</i>
5.2	Internal QA analysis to highlight strengths and weaknesses in doctoral training and existing departmental provisions	Internal evaluation reports analyzed	Departmental QA Committees, assisted by Directorate of Planning & Development	Ongoing; report by July 2014. Follow-up: periodic	<i>Good progress to date. Involves a great deal of detailed analyses (P&D Directorate) Selection of KPIs & initiation of feedback loops with Departments (May 2014) as a serious & positive development in internal QA. Procedures & to be clarified. On-going</i>	<i>On-going</i>
5.3	Review and where possible amend internal regulations for fixed-term research positions to follow best practice	Monitor legal & institutional changes and associated implications	Research Committee, in consultation with Legal Services, Liaison Office.	Report by December 2013	<i>Stalled: 2013 government directives for 'self-employed professionals' on short-term contracts have led to deterioration in terms. Incidental: Aug 2014 Draft Internal Regulations sE15 specifies frame 'visiting post-doctoral researchers': maximum contract period cannot exceed 3 years.</i>	<i>Continue monitoring</i>
5.4	Promote equitable access to career development opportunities	Monitor take-up of existing training and career development opportunities and review best practice in	QA Committee in consultation with HR Services and Careers Services	Report by July 2014 Follow-up: periodic	<i>On-going</i>	<i>Continue monitoring</i>

		terms of access by junior faculty and other researchers				
5.5	Periodic evaluation of professional performance of researchers	Review of quality indicators pending implementation of new legal provisions	Vice Rector for Academic Affairs in consultation with QA Committee	Long term – to begin September 2014	<i>Developments: Draft Plan UoC Organization (10-VIII-2010) s.E6 provisions for evaluation of senior faculty (every 5 years)</i>	Long term – to begin September 2014
EVALUATION						
	HRS4R Action Plan to be embedded in QA procedures	KPIs agreed and wherever possible included in QA templates for internal review	QA Committee (MODIP)	By June 2013	<i>Ongoing</i>	
	Internal assessment after 2 years	All proposed actions subject to evaluation and review (through MODIP) and updated at 2-year intervals	QA Committee (MODIP)	By June 2014	<i>Completed September 2014</i>	
	External assessment after 4 years	For those elements embedded in the QA procedures	External QA Evaluation Committee appointed by ADIP (National Authority)	By June 2016		
		For HRS4R <i>per se</i>	Independent external audit – to be determined			