

**From Personnel Agenda to Human Resource
Development: HR in the Academic Environment
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**Implementing Human Resource Strategies
for Researchers following EU principles**

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Outline

- **Background: Charter and Code for Researchers**
- **Human Resources and the European Research Area**
- **Why implementing Charter and Code?**
- **Institutional HR Strategy for Researchers (HRS4R)**
- **Summary of five steps and some hints**
- **HRS4R Experiences of CESAER members**
- **HRS4R Practical aspects, issues and core elements**
- **HRS4R Benefits**
- **Commission priorities and initiatives**
- **Summary**

Charter and Code

- **2000: European Research Area (ERA)**
- **2005: Charter and Code for Researchers**
 - European Charter for Researchers
 - Recognition of research as a profession
 - Career development
 - Value of mobility
 - Code of Conduct for the Recruitment of Researchers
 - Principles: Transparent, fair and merit based recruitment
 - Selection criteria
 - Postdoctoral appointments
- http://ec.europa.eu/eracareers/pdf/am509774CEE_EN_E4.pdf

Charter: General Principles & Requirements

Applicable to researchers

- **Research freedom**
- **Ethical principles, professional responsibility**
- **Contractual and legal obligations**
- **Accountability**
- **Good practice in research**
- **Dissemination, exploitation of results**
- **Public engagement**
- **Relation with supervisors**
- **Supervision and managerial duties**
- **Continuing professional development**

Charter: General Principles & Requirements

Applicable to employers and funders 1

- **Recognition of the profession**
- **Non-discrimination**
- **Research environment**
- **Working conditions**
- **Stability and permanence of employment**
- **Funding and salaries**
- **Gender balance**
- **Career development**
- **Value of mobility**
- **Access to research training & continuous development**
- **Access to career advice**

Charter: General Principles & Requirements

Applicable to employers and funders 2

- **Intellectual Property Rights**
- **Co-authorships**
- **Supervision**
- **Teaching**
- **Evaluation/appraisal systems**
- **Complaints/appeals**
- **Participation in decision-making bodies**
- **Recruitment**

Code for the Recruitment of Researchers

General Principles & Requirements

- **Recruitment**
- **Selection**
- **Transparency**
- **Judging merit**
- **Variations in the chronological order of CVs**
- **Recognition of mobility experience**
- **Recognition of qualifications**
- **Seniority**
- **Postdoctoral appointments**

ERA Communication of 17 July 2012

Numerous references to Charter & Code and HRS4R:

- **Member States** invited to create an enabling framework for the **implementation of the HRS4R** as described in final report by the SGHRM WG on HR issues
- **Research stakeholders** invited to implement **open, transparent and merit based recruitment** in line with Charter & Code, and to develop strategies to support the career development of researchers in line with the **HRS4R**
- **Commission** will support the setting up of a **European accreditation mechanism for Charter & Code-based HR management** in universities and publicly-funded research institutions

The Council of the European Union

Draft Council Conclusions regarding the ERA Roadmap (May 2015)

... UNDERSCORES the role of the human potential in the advancement of the ERA and therefore CALLS ON the Member States and research organisations to develop and strengthen comprehensive human resources strategies taking into account the importance of mobility of researchers, including from outside the EU, the empowerment of young researchers by providing them with attractive career pathways and the need to address the persistent gender bias in careers.

Why implementing Charter & Code?

- **Conveys to researchers a commitment to fair and transparent recruitment and appraisal procedures**
- **Demonstrates institutional commitment to a stimulating and favorable work environment for researchers – increases the attractiveness**
- **Internal development of HR management quality**
- **Benchmarking towards best practice in Europe**
- **Brings you up to speed on EU policies in this area**
- **Provides a competitive advantage regarding Horizon 2020, e.g. Marie Skłodowska Curie Actions**
- **It is not (yet) a prerequisite for participating in Horizon 2020, *however...***

HR Strategy for Researchers (HRS4R)

- **Formalised process to commit to the Charter & Code**
- **Voluntary, based on self-assessment and mutual learning**
- **Open to all research organisations and funders**
- **Flexible validation approach, recognising the variety of situations across different institutions**
- **More than 200 institutions already taking part**
- **Aim of European Commission: include all major public employers and funders of researchers in Europe (critical mass, spill-over effects)**

HR Strategy for Researchers (HRS4R)

Five steps programme

- **Implemented via 5-step voluntary programme:**
 1. Internal gap analysis by institution assessing institution's alignment with principles of Charter and Code
 2. Development and publication of institutional HR strategy for researchers and action plan in response to gaps identified
 3. Acknowledgement of progress by Commission:
“HR Excellence in Research” Logo
 4. Self-assessment of implementation after at most two years
 5. External analysis after at most four years

HR Strategy for Researchers (HRS4R)

The five steps (1/5)

1. Internal gap analysis by the institution/organisation

- All institutional stakeholders should be involved (in particular the group of researchers employed/funded)
- Focus on institutional practices and policies.
- Analyze both level of importance (how serious is the issue?) and groups affected (keep in mind significant minorities!) => prioritization!
- Template available for internal use – should help structure work but is not a tick-off list!
- Analysis of legal framework where it could impede implementation of Ch&C or already fully covers some aspects
- Some principles may not apply to you; may need to be reinterpreted - Regrouping may be useful

HR Strategy for Researchers (HRS4R)

The five steps (2/5)

2. Institutional HR Strategy for Researchers - Action Plan

- Summarizes the key outcomes of gap analysis (strengths & weaknesses)
- Explains the approach (who was involved, how have stakeholders been consulted?)
- Action plan should be reasonably concrete with clear milestones
 - must include responsibilities (lead department/function) and target dates (where applicable) - important for steps 4 & 5!
- Include both short term items (“low hanging fruits”) and longer term strategic items (timeframe 4-5 years)
- Establish clear links to overall institutional strategy and vision
- Define How implementation will be monitored - Setting up of Steering Group / Monitoring Group? Internal reporting?
- Think about indicators!

HR Strategy for Researchers (HRS4R)

The five steps (3/5)

3. Application for Acknowledgement by the Commission

- HR Strategy document / Action Plan must be published in English on institutional website in visible/relevant location
- Creation of special page advisable (links to related institutional /national initiatives, to Ch&C document, EURAXESS Rights website, etc.) - post regular updates there / success notes / related press releases
- No need to publish the full gap analysis!
- Inform Commission (PO in charge) that documents have been published (provide links), or send them to the PO before publication
- Commission will assess compliance with process (panel of three assessors), provide feedback and award
- Logo awarded if assessment is positive

HR Strategy for Researchers (HRS4R)

The five steps (4/5)

4. Implementation phase and Self-assessment

- Based on continuous improvement (important role for your internal Steering Group / Monitoring Group!)
- Internal and external communication crucial (keep up dynamics)
- Regularly/at the latest 2 years after acknowledgement: Self assessment of progress made (use indicators defined in step 2)
- Should preferably be embedded in internal, existing Quality Assurance mechanisms
- Update action plan (and overall approach if necessary) and publish update (on the special page if created in step 2)
- Short notification to Commission (1 page), longer only if major difficulties encountered or major adjustments

HR Strategy for Researchers (HRS4R)

The five steps (5/5)

5. External assessment & renewal of acknowledgement

- At least every 4 years: preparation of a short report
- Demonstrate progress made towards the objectives of HR Strategy for Researchers and fulfilment of Action Plan
- Report evaluated either by panel of external reviewers or through national QA mechanisms, such as National Evaluation Agencies or peer review (*under development*)
- Within cohorts 1 & 2: Group members sufficiently advanced will benefit from external assessment organized by Deloitte based on peer review / site visits
- Renewal or withdrawal of acknowledgement / logo.

HRS4R – Experiences 1

CESAER member institutions with Logo

- **Aalto University**
 - http://www.aalto.fi/en/about/careers/human_resource_strategy_for_researchers/
- **Delft University of Technology**
 - <https://intranet.tudelft.nl/op-de-campus/organisatie-en-diensten/universiteitsdienst/hr/hr-strategie-organisatie/hr-excellence-in-research/>
- **NTNU Norwegian University of Science and Technology**
 - <http://www.ntnu.edu/charter-and-code>
- **Politecnico di Torino**
 - http://www.polito.it/ricerca/carta_europea/?lang=en
- **Technion Israel Institute of Technology**
 - http://www.liaison.trdf.co.il/Researchers%27_Mobility_Portal/Code+of+Conduct
- **Université Catholique de Louvain**
 - <http://>
- **University College Dublin**
 - <http://www.ucd.ie/research/about/officeofthevpforresearchinnovationandimpact/hrstrategyforresearchers/>

HRS4R – Experiences 2

- **HRS4R – a process to be managed**
 - Leadership and operations – choosing the right actors
 - Vice-Rector, HR Task Force, Steering Group, Committee, ...
 - HR Department
 - Ensuring participation of academic staff
 - Involving deans, department heads, researchers, administrators
 - Discussion based, interactive, seeking consensus
 - Information gathering, gap analysis
 - Comparing Ch&C principles with state of play
 - Questionnaire survey, working or focus groups (junior, senior)
 - Gathering information from different levels of the institution
 - Towards HR strategy and an action plan
 - Gap analysis, HR strategy, action plan

HRS4R – Experiences 3

- **HRS4R – part of institutional development**
 - Task of institutional leadership needing commitment
 - Institutional change - not an administrative exercise
 - A move towards professionalising HR development & management
 - Needing appropriate resources: time, persons, budget
 - Building on existing strategies and practices, combining them into one concise strategy
 - Developing an attractive working environment
 - Actions not always easy to be implemented...
 - You must not do it for the EC but for your institution

HRS4R – Practical aspects and issues

- **Importance of commitment by the leadership!**
- **Putting HRS4R in context of institutional**
 - Principles already implemented
 - Principles that cannot be applied because of legal framework
 - Principles that can be adopted and implemented
- **Defining realistic and feasible targets and actions**
 - Actions and services, responsibilities, timeline
- **Participation: Involving researchers in the process**
 - Interviews, groups, survey, opportunities for feedback
- **Regular monitoring and assessment**
 - Define sustainable institutional HR management structure
 - E.g. yearly indicators, biannual surveys and reports

HRS4R – Some core elements

- **Open, transparent and merit based recruitment**
- **Implementing career systems**
 - E.g. Tenure track, lecturer track, staff scientist
- **Career coaching, mentoring**
- **Structured opportunities for feedback**
- **Gender equality plan, strategy and actions**
- **Continuing education and professional development**
- **Leadership training**
- **Performance review/assessment, feedback**
- **International mobility and staff exchange**

HRS4R - Benefits

- **Supporting researchers and research careers**
- **Draws attention on researchers and increases awareness and support for HR management**
- **Opportunity for researchers articulating concerns**
- **Raises attractiveness of institutions and increases international visibility**
- **Benchmarking with other institutions**
- **Finding sources of funding for career development**
- **Assessment criteria for MSC actions are embedded in Charter & Code: Advantage for MSCA, COFUND**

Commission priorities and initiatives

- **Open, transparent, merit based recruitment**
- **Innovative Doctoral Training**
- **Strategies for career development of researchers**
- **Feasibility study: Certification mechanism for Charter and Code based on HR management in universities and publicly funded research institutions**
- **HRS4R as preparatory phase for certification**
- **Pan-European Pension Fund for researchers**

Summary

- **HR for research: a priority for institutions and the EU**
- **Management of HR for research is a core task of modern institutional university management**
- **HRS4R is not just another bureaucratic exercise...**
- **Defining attractive career paths as key issue...**

Thank you for your attention!

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