

HRS4R

The Human Resources Strategy for Researchers - Benefits and impact for institutions and researchers and practical aspects of the process

Assist. Prof. Corina Abraham-Barna, PhD
BUASVM Timisoara



How can we help you?

I am

Please select



I want

Please select



SEARCH

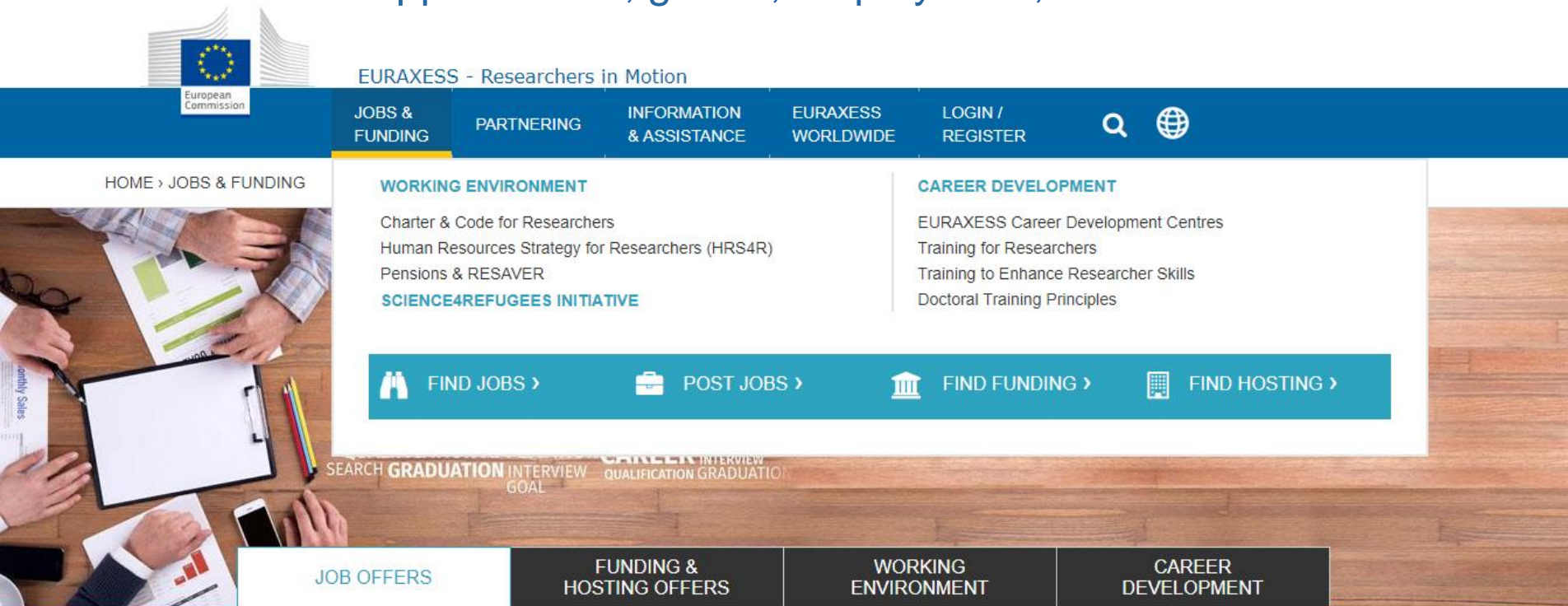
Welcome

EURAXESS - Researchers in Motion is a unique pan-European initiative delivering information and support services to professional researchers. Backed by the European Union and its Member States, it supports researcher mobility and career development, while enhancing scientific collaboration between Europe and the world.

9%



recruitment tool with job opportunities, funding opportunities, grants, employment, etc.



The screenshot shows the Euraxess website interface. At the top left is the European Commission logo. The main navigation bar includes: JOBS & FUNDING (highlighted), PARTNERING, INFORMATION & ASSISTANCE, EURAXESS WORLDWIDE, and LOGIN / REGISTER. There are search and globe icons on the right. Below the navigation bar, the breadcrumb path is HOME > JOBS & FUNDING. The main content area is divided into two columns: WORKING ENVIRONMENT and CAREER DEVELOPMENT. The WORKING ENVIRONMENT section lists: Charter & Code for Researchers, Human Resources Strategy for Researchers (HRS4R), Pensions & RESAVER, and SCIENCE4REFUGEES INITIATIVE. The CAREER DEVELOPMENT section lists: EURAXESS Career Development Centres, Training for Researchers, Training to Enhance Researcher Skills, and Doctoral Training Principles. Below these sections is a teal bar with four buttons: FIND JOBS >, POST JOBS >, FIND FUNDING >, and FIND HOSTING >. At the bottom, there is a dark navigation bar with four buttons: JOB OFFERS, FUNDING & HOSTING OFFERS, WORKING ENVIRONMENT, and CAREER DEVELOPMENT. A small blue box in the bottom right corner shows '38%' with a downward arrow.

The Human Resources Strategy for Researchers



HR EXCELLENCE IN RESEARCH

The 'HR Strategy for Researchers' supports research institutions and funding organisations in the implementation of the Charter & Code in their policies and practices. The concrete implementation of the Charter & Code by research institutions will render them more attractive to researchers looking for a new employer or for a host for their research project. Funding organisations implementing the Charter & Code principles will contribute to the attractiveness of their national research systems and to the attractiveness of the European Research Area more generally. The 'HR Excellence in Research' award, attained after a thorough analysis of an institutions HR policies is carried out, will identify the institutions and organisations as providers and supporters of a stimulating and favourable working environment for researchers.

Charter & Code (C&C)
and
**the Human Resources Strategy
for Researchers (HRS4R)**

WHY should you know about this?

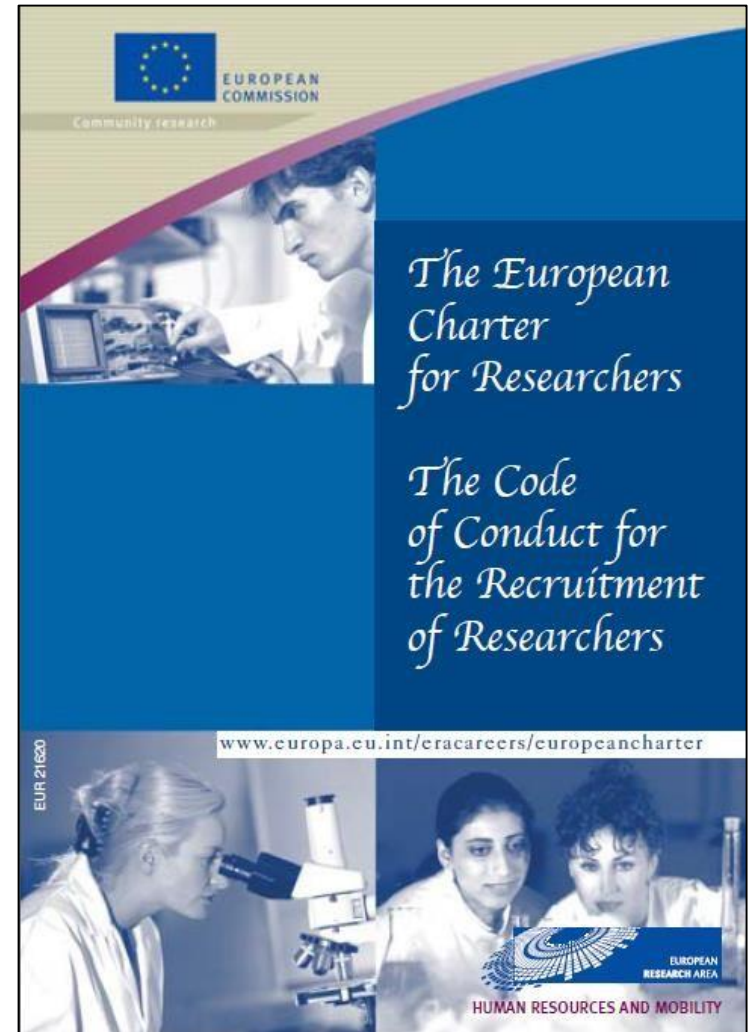
... CHARTER & CODE?

**The European Charter for
Researchers**

&

**The Code of Conduct for the
Recruitment of Researchers**

*Commission Recommendation
adopted on 11 March 2005!*



.....

(6) New instruments for **career development of researchers** should be introduced and implemented, thus contributing to the **improvement of career prospects for researchers** in Europe.

.....

(9) MS should endeavour to **offer researchers sustainable career development systems at all career stages**, regardless of their contractual situation and of the chosen R&D career path, and to **ensure that researchers are treated as professionals** and as an integral part of the institutions in which they work.

.....

BENEFITS FOR RESEARCHERS

40 principles of Charter and Code which can be summarised to **4 broad principles**:

- **Ethical & professional aspects**, incl. research freedom and accountability, non-discrimination, evaluation/appraisal
- **Recruitment**, incl. transparency of the process, judging merit, recognition of value of mobility and of qualifications
- **Working conditions & social security**, incl. research environment, stability of employment, gender issues, career development, and representation in governance
- **Training**, incl. supervision, continued professional development and access to training

General Principles and Requirements (for researchers):

1. Research Freedom
2. Ethical Principles
3. Professional responsibility
4. Professional Attitude
5. Contractual and legal obligations
6. Accountability
7. Good practice in research
8. Dissemination, exploitation of results
9. Public engagement
10. Relation with supervisors
11. Supervision and managerial duties
12. Continuing professional development

General Principles and Requirements (for employers/funders):

13. Recognition of the profession
14. Non-discrimination
15. Research environment
16. Working conditions
17. Stability and permanence of employment
18. Funding and salaries
19. Gender balance
20. Career development
21. Value of mobility
22. Access to research training and continuous development
23. Access to career advice
24. Intellectual property rights
25. Co-authorship
26. Supervision
27. Teaching
28. Evaluation/appraisal system
29. Complaints/appeals
30. Participation in decision-making bodies
31. Recruitment

General Principles and Requirements (for the code of conduct):

32. Recruitment
33. Selection
34. Transparency
35. Judging merit
36. Variations in the chronological order of CVs
37. Recognition of mobility experience
38. Recognition of qualifications
39. Seniority
40. Postdoctoral appointments

BENEFITS FOR THE INSTITUTIONS

WHY

should institutions implement these principles ?

BECAUSE:

- it **leads to benefits** for researchers and the institution
- it **potentially impacts** the institution
- it **adds credibility** – internally and externally, national authorities, funders etc.
- it **adds to the institution's reputation**
- it **contributes to the institution's visibility**
- because of your **participation in H2020** projects and contracts (*article 32*)

Horizon 2020 Grant Agreement(s) *

RECRUITMENT & WORKING CONDITIONS for researchers

32.1 **OBLIGATION** to take measures to implement the 'European Charter for Researchers and Code of Conduct for the Recruitment of Researchers' *

- *working conditions*
- *transparent recruitment processes based on merit*
- *career development*


32.2 **CONSEQUENCES** of non-compliance
(*application of any of the measures described in Chapter 6*)

* Commission Recommendation 2005/251/EC of 11 March 2005 (OJ L75, 22.3.2005, p. 67)



http://ec.europa.eu/research/participants/data/ref/h2020/grants_manual/amga/h2020-amga_en.pdf

All beneficiaries of H2020 **should sign and implement** the Charter & Code

 For guidance, see the *'Human Resources Strategy for Researchers'* tool developed by the Commission.

EVIDENCED by:

- > **900 individual endorsements & commitments**
- > **40 countries** involved (*& various Inter-national / European organisations*)
- > **1200 individual institutions** represented (*including universities, research institutes, funding bodies, umbrella organisations and professional associations*)

The
Human Resources Strategy for Researchers
(HRS4R)

**How to implement the principles of
Charter and Code?**



HRS4R NEW APPLICATION MODALITIES

Please note that as of 1 January 2017, the 'strengthened' HRS4R implementation procedure has been entering in force. ALL institutions already involved in or 'newcomers' to the process will switch to the strengthened process as soon as their next assessment is coming up. Important elements are:

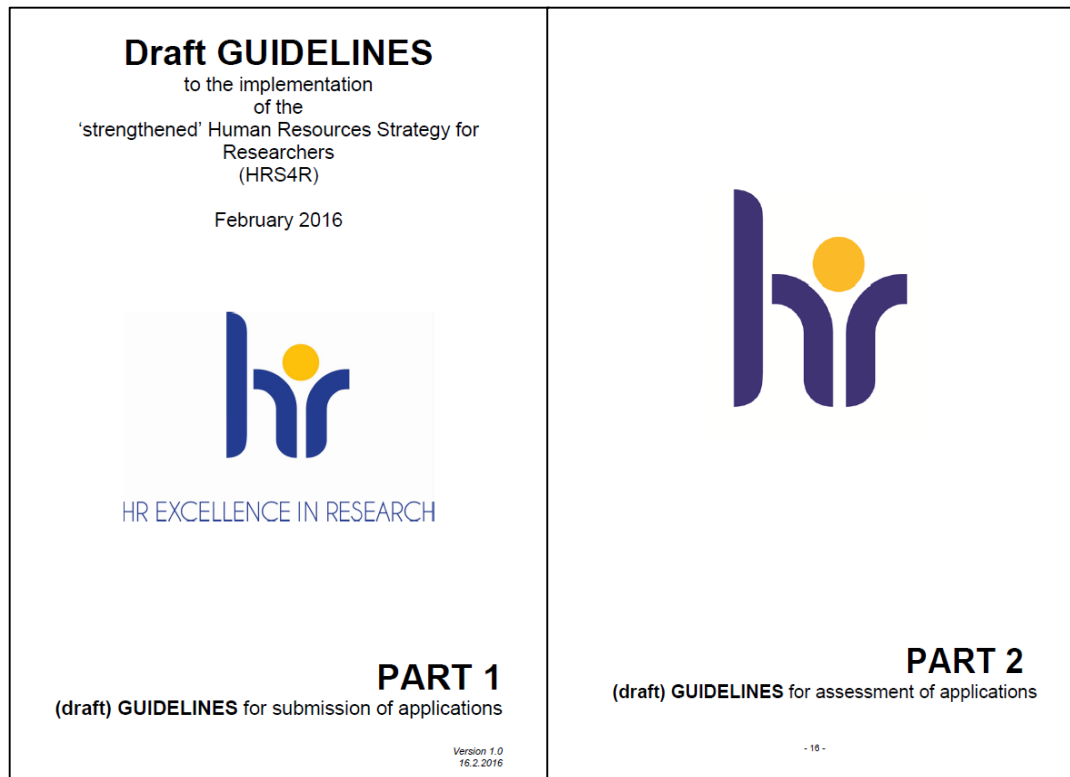
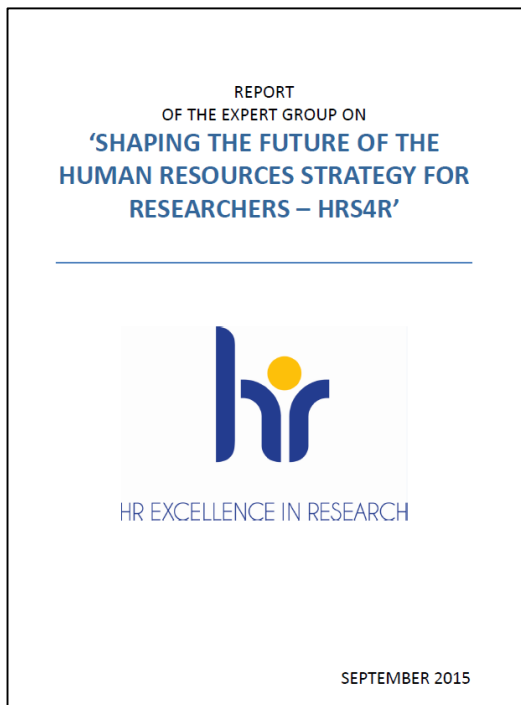
1. to start the process an **endorsement AND commitment letter** is now mandatory
2. a **well-defined timeline** applies throughout the whole process
3. the use of **templates** for **the gap analysis** and **the action plan** is now MANDATORY

Special information for UK institutions entering the process as newcomers, or switching from "The Concordat" to the HR implementation via the European HRS4R, the following documents need to be submitted:

- **Full actual gap-analysis** (template 1)
- **Action plan** (template 2) – backwards and forward looking
- **Internal Assessment** (template 3 - depending on the level of implementation)
- **Confidential information** on previous assessments and the **way the institutions intends to articulate both dynamics** when switching to the European process are most welcome.

Submitting your applications to HRS4R assessment will commit you to implementation under the rules of the strengthened procedure and assessment by international peer reviewers.

READ the documents !



<https://euraxess.ec.europa.eu/useful-information/policy-library>

EU POLICIES	+
MOBILITY	+
RESEARCH CAREERS	-

- + RESEARCH CAREERS
- + ERAC MUTUAL LEARNING WORKSHOP ON HUMAN RESOURCES AND MOBILITY, 26 MARCH 2014
- + OPEN, TRANSPARENT AND MERIT-BASED RECRUITMENT OF RESEARCHERS (OTM-R)
- STRENGTHENED HRS4R PROCESS
 - [Expert report on the 'strengthened' HRS4R ec report](#) (914.82 KB)
 - [Process guidelines for the 'strengthened' HRS4R ec report](#) (277.56 KB)
 - [Template 1 - Gap Analysis ec report](#) (124 KB)
 - [Template 2 - Action Plan ec report](#) (65.5 KB)
 - [Template 3 - Internal Review ec report](#) (66.5 KB)
 - [Template A \(for experts only\) - initial assessment ec report](#) (57.5 KB)
 - [Template B \(for experts only\) - interim assessment ec report](#) (54 KB)
 - [Template C \(for experts only\) - renewal assessment ec report](#) (66 KB)

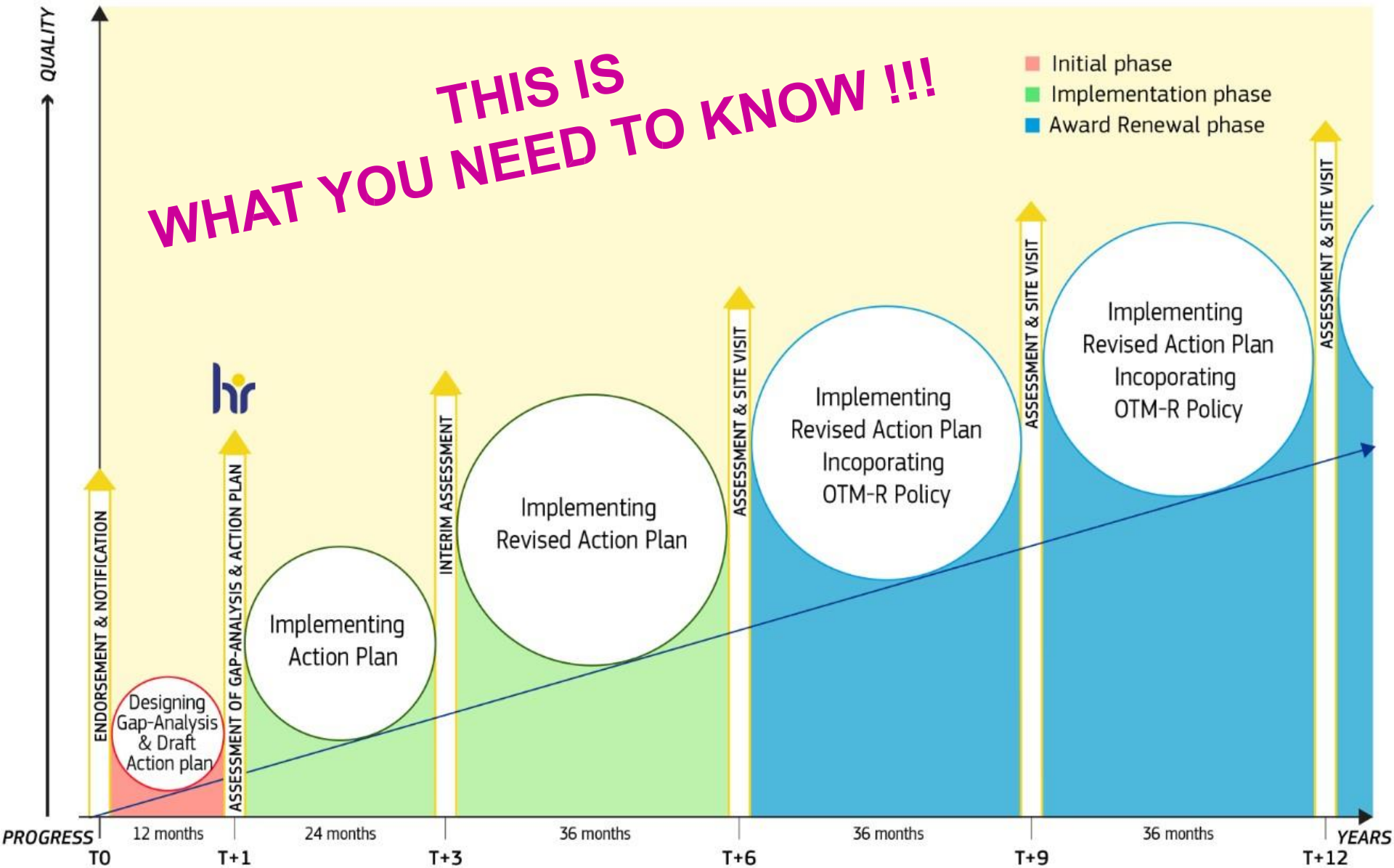


**TEMPLATES
for institutions**

**TEMPLATES
for assessors**

UNIVERSITIES	+
INTERNATIONAL STRATEGY FOR RESEARCH AND INNOVATION	+

HRS4R procedure



INITIAL phase

Template 1 = GAP-analysis including process description, checklist for C&C and OTM-R

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review:

Organisation's contact details:

SUBMISSION DATE:.....

DATE ENDORSEMENT CHARTER AND CODE:

Please provide the date when the organisation officially endorsed the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers.

DESCRIPTION (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The Charter is the basis for the Gap analysis. In order to aid cohesion, the 40 articles are divided into 10 sections under the following headings. Please provide the outcome of your analysis under each heading. If your organisation currently does not fully meet the criteria, please indicate why. National or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

1 The term 'Human Resources' is used in the largest possible sense, to include all researchers (Eurostat's definition: Proposed Standard Practice for Surveys on Research and Experimental Development, (Eurostat), Manual, OECD, 2002) disregarding the profile, career, level, type of contract etc. etc.
2 For a description of R1-R4, please see http://ec.europa.eu/eurostat/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

Endorsement date C&C

Process description: HOW did you carry out gap analysis?

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Status: to what extent does this organisation meet the following principles?	+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented	In case of -, +/-, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
--	--	--	---

Ethical and Professional Aspects

1. Research freedom			
2. Ethical principles			
3. Professional responsibility			
4. Professional attitude			
5. Contractual and legal obligations			
6. Accountability			
7. Good practice in research			
8. Dissemination, exploitation of results			
9. Public engagement			
10. Non discrimination			

40. Supervision

Any additional issues

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-lists

OTM-R Checklist for organisations	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/- Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or footnotes)
OTM-R system					[web link]
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x		
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x		[Date of latest update of staff]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x		- Existence of training - Number of staff
4. Do we make (sufficient) use of e-recruitment tools?	x	x			Web-based tool for (all) the stages of the recruitment process
5. Do we have a quality control system for OTM-R in place?	x	x	x		
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x		Trend in the share of applicants from outside the organisation
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x		Trend in the share of applicants from abroad

1 <http://ec.europa.eu/eurostat/index.cfm/services/researchPolicies>

C&C principles, assessment & gap identification

OTM-R checklist & gap identification

INITIAL phase

Template 2 = Action plan incl. organisational information, narrative, actions & implementation

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under consideration:

Organisation:

Working title of the HR Strategy and Action Plan:

HRS4R weblink

SUBMISSION DATE:

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD students either full-time or part-time involved in research	*
Of whom are international (i.e. foreign nationality)	-
Of whom are externally funded (i.e. for whom the organization is host organisation)	*
Of whom are women	-
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	-
Of whom are stage R1 = in most organisations corresponding with doctoral level	-
Total number of students (if relevant)	-
Total number of staff (including management, administrative, teaching & research staff)	-
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	-
Annual organisational direct government funding (designated for research)	-
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU research)	-
Annual funding from private, non-government sources, designated for research	-
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	-

Key facts & figures

2. NARRATIVE (MAX. 2 PAGES)

Please provide an overview of the organisation, the current policy and practice under consideration in your organization.

Narrative (SWOT-analysis)

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

Examples:

Title action	Timing (at least by quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
e.g. Advertising all researcher vacancies on Europe	Spring 2016	HR recruitment unit	50% increase in applications
e.g. Granting postdoctoral researchers budgetary autonomy	December 2017	Finance Dept.	Board of Government endorsement for new regulation
e.g. Improve supervisor training for newly appointed tenure track staff	Continuous	Doctoral Schools	Min. 2 training courses on offer per term Continuous monitoring of effect: increase of positive evaluations from PhD students

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

4. IMPLEMENTATION (MAX. 1 PAGE)

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

- Do you have an implementation committee and/or steering group regularly overseeing progress?
- How do you involve the research community, your main stakeholders, in the implementation process?
- How will you ensure that the proposed actions will also be implemented?
- Is there evidence of alignment of the HRS4R with organisational policies? For example, is the HRS4R recognised in your organisation's research strategy, overarching HR policy?
- How will you monitor progress and external review?

Implementation plan

List of actions related to C&C

Specific actions related to OTM-R

What assessors do...

1. Eligibility criteria: *(usually EC checks eligibility)*

- If **C&C signed** more than 1 year before HRS4R submission: not acceptable for newcomers.
 - *If different setting, mention it*
- Is HRS4R **published on website in English**?
 - *If there but hard to find, make a recommendation (not a reason for penalizing)*
 - *Full gap analysis does not need to be published!*
- Is the **submission complete**, i.e. the two templates (Gap-analysis + action plan)?
- Is there a letter or other evidence of **institutional endorsement**?

2. Quality assessment

3. Overall judgment

4. Recommendations

Assessment CRITERIA:

1. Sufficient and clear **overview** of the organisation
2. Clear, detailed and comprehensive explanatory text (i.e. **narrative**) on the state of play of the four **thematic areas** of the Charter and Code at the institution
3. **Actions** for the implementation of the principles of the Charter and Code
4. Examples of how the implementation of the HRS4R Action Plan and the Charter and Code are being further **embedded** in the institution.

OUTCOME of the assessment :

Accepted

The **institution meets the criteria** and the 'HR Award Commission services. The experts may comment on and focus on a particular aspect/criterion, if appropriate. If they would like to see something addressed in the submission long the **submission meets the criteria** for the Award.



HR EXCELLENCE IN RESEARCH

Accepted pending minor alteration

The **institution broadly meets the criteria** but the external Assessment Panel has some concerns/questions about specific areas/criteria, in which case the institution should reflect on the feedback, **update** the documentation and revert to the relevant authority, ideally, **within 1-2 month**.

Declined pending (major) revisions

The **institution does not meet the criteria**, but the institution can make the appropriate changes and re-submit its application **after 9-12 months (NOT BEFORE)**. When these are implemented and positively assessed under a new assessment the HR award is granted.

Success!



- the process must fit with the organisational culture of the institution (es: HR office / Research office)
- No „one size fits all” process
- Size of the institution matters
- Involve researchers R1-R2-R3-R4 from Phd students to full professors (they have different needs and different sensibility)
- Find the best benefits for your institution
- Take care of indicators – „SMART”
- Actions: there are long actions and quick ones
- Work on what is feasible with your own forces
- Action plan has to be consistent with gap analysis