



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

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Anette Bjornsson
Deputy Head of Unit
DG RTD B.2
Open Science and ERA Policy



1. More effective national research systems
2. Transnational Cooperation and Competition
3. An **Open Labour Market for Researchers**
 - **Charter & Code, HR Strategy for Researchers**
 - Innovative doctoral training
 - Open, transparent and merit-based recruitment
 - Pensions (RESAVER)
 - EURAXESS
 - Scientific visa package
 - Working with Member States & monitoring
4. Gender Equality
5. Access and Circulation of Knowledge

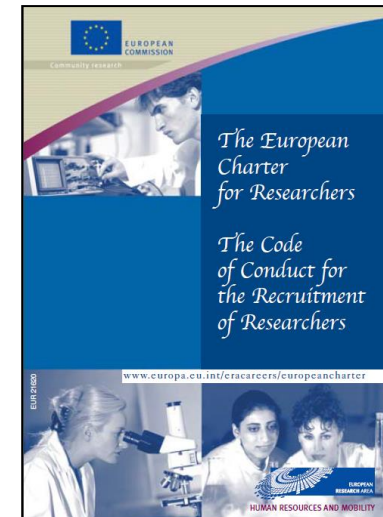
11 March 2005:

EC adopted a **‘European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers’**
(*Charter and Code*)

40 principles on the :

- roles,
- requirements and
- entitlements of researchers, funders and employers

for **more attractive research careers** in an open European labour market.





Reference framework for rights and obligations of researchers, their employers and funders:

The **EUROPEAN CHARTER FOR RESEARCHERS** covers (amongst others):

- Recognition of the profession
- Career development
- Value of mobility

The **CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS** covers (amongst others):

- Recruitment principles
- Selection criteria
- Postdoctoral appointments

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*)



NEW

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)




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*)
- > **410 institutions progressing** with the implementation of the C&C principles



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

The Human Resources Strategy for Researchers HRS4R

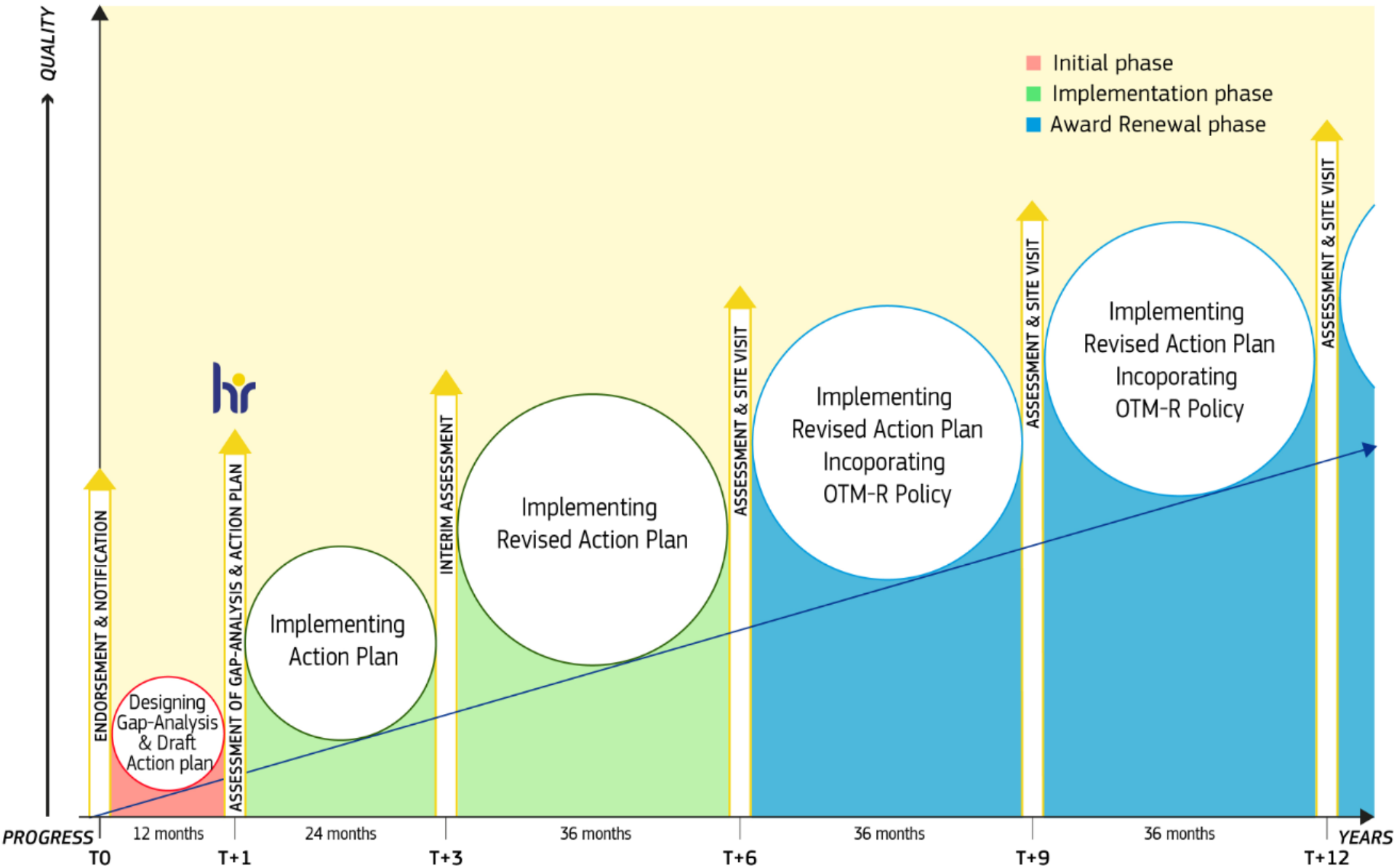
TOOL (*developed in 2008*) to implement the 40 principles of C&C

- **voluntary, flexible, step-wise** procedure
- based on **gap-analysis, action plan and HR strategy development** (*incl. OTM-R* issues*)
- based on self-assessment, peer review and site visits
- monitoring of progress
- striving towards quality
- leading to recognition and high visibility

OTM-R* means Open, Transparent and Merit-based Recruitment



HRS4R procedure



- **Endorsement** of C&C principles
- Notification of **commitment** (to implement)



One single letter
(starting the clock)

signed by the
highest representative
of the institution

	LETTER of endorsement & notification of commitment

T0 => T+1 (12 month)



INITIAL phase

TEMPLATES
are
MANDATORY

DESIGNING the:

1. GAP-analysis (*on template 1*)

identify gaps between current policies and practices versus the 40 Principles of C&C

2. draft ACTION plan (*on template 2*)

propose actions to tackle the identified gaps

Applicants are required to confirm in their accompanying letter that the information presented in the application (including qualitative and quantitative data) is an honest, accurate and true representation of the institution.

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**’ is granted by the Commission services. The experts may comment on the submission asking for future focus on a particular aspect/criterion, if appropriate. For example, they may say that they would like to see something addressed in the longer term, but acknowledge that the **submission meets the criteria** for the Award.

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 month**.

Declined pending (major) revisions

The **institution does not meet the criteria** and the HR award is put on hold until the next submission deadline, so the institution can make the appropriate changes. When these are implemented and positively assessed under a new assessment the HR award is granted.

T+1 => T+3 (24 month)



IMPLEMENTATION phase

1. IMPLEMENTING the ACTION plan

- keep to proposed **timeline** to implement the actions
- **prepare your self-assessment/internal review** (*on template 3*) for the INTERIM ASSESSMENT

Use the
TEMPLATES



INTERIM ASSESSMENT:

- undertaken by external experts / **peer reviewers**
- based on **self-assessment / internal review** prepared by the institution
 - **justify** altered actions & revised timeline
 - **show progress and quality** of the actions
 - detail accompanying measures (*i.e. **embedding the HR strategy into the institutions policies***)
- **detailed** assessment
 - **quality** of progress (intended and obtained)
 - **strengths and weaknesses** of the HR strategy

*At this point of the interim assessment, **the participating institution does not jeopardise maintaining the 'HR award'**, but receives detailed feedback for the next period.*

T+3 => T+6 (36 month)



IMPLEMENTATION phase

2. IMPLEMENTING the **revised ACTION plan**

- **peer review** by international independent external experts
- based on self-assessment / internal review prepared by the institution
 - *prepare your self-assessment / internal review for the ASSESSMENT & SITE VISITS (at T+6)*

Use the
TEMPLATES

ASSESSMENT & SITE VISIT:

undertaken by external experts / **peer reviewers**

1. Assessment:

- based on **self-assessment / internal review** prepared by the institution (same as for T+3)

2. Site visit:

- meeting (confidential) **key stakeholders** (*incl. researchers, management & practitioners*)
 - discuss **issues and questions** from the analysis of the self-assessment document

T+6 => T+9 (36 months)



RENEWAL phase

IMPLEMENTING the **revised ACTION plan** incorporating **OTM-R policy**

- **peer review** by international independent external experts
- based on **self-assessment / internal review** prepared by the institution
 - *prepare your self-assessment / internal review for the ASSESSMENT & SITE VISITS (at T+9, T+12 etc.)*


Use the
TEMPLATES



European
Commission

READ the documents !

REPORT
OF THE EXPERT GROUP ON
**'SHAPING THE FUTURE OF THE
HUMAN RESOURCES STRATEGY FOR
RESEARCHERS – HRS4R'**




HR EXCELLENCE IN RESEARCH

SEPTEMBER 2015

Draft GUIDELINES
to the implementation
of the
'strengthened' Human Resources Strategy for
Researchers
(HRS4R)

February 2016



HR EXCELLENCE IN RESEARCH

PART 1
(draft) GUIDELINES for submission of applications

Version 1.0
16.2.2016



The EU Framework Programme
for Research and Innovation

HORIZON 2020

AGA – Annotated Model Grant Agreement

Version 2.0.1
12 May 2015

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<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)



UNIVERSITIES	+
INTERNATIONAL STRATEGY FOR RESEARCH AND INNOVATION	+



MERCI
pour votre attention!

Anette.Bjornsson@ec.europa.eu