



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

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Our objective TODAY is that you:



- **understand** what **C&C**, **HRS4R** and **article 32** of the MGA mean,
- **learn about** the benefits of it,
- **hear about** success & impact
- **know how to :**
 - ✓ **implement** C&C principles
 - ✓ **establish** your institution's HR strategy (*incl. OTM-R*)
 - ✓ **comply with** art. 32 under H2020
 - ✓ **cope with** potential checks, reviews and process audits



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
6. International Cooperation

CHARTER and CODE

- **What is it?**
- **What are the principles?**
- **Who should implement?**



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



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



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*)

ARTICLE 32

- **Where can it be found?**
- **What does it say?**
- **What are the consequences of non-compliance?**



NEW

Horizon 2020 Grant Agreement(s) *:

- in all multi-beneficiary GAs
- except: **MSC-COFUND** *(Marie-Curie...)*
SME instrument *(Small & Medium Enterprises)*
ERA-NET Cofund
PCP-PPI COFUND *(joint public procurement/innovative solutions)*
EJP COFUND *(European Joint Programme)*

SECTION 4: OTHER RIGHTS AND OBLIGATIONS

* AGA- annotated model grant agreement, version 2.0.1 of **12.5.2015**

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)

Article 32 is a **'best effort obligation'**

This means that the **beneficiary must be proactive and take specific steps** to address conflicts between their policies and practices and the principles set out in the **Charter and Code of Conduct**.

In this sense, the **obligation to keep appropriate documentation** refers primarily to documentation evidencing the steps taken and measures put in place.



Non-compliance with the stipulations of article 32:

- beneficiary **did not take measures to implement Charter & Code**
- beneficiary did **not undertake steps to address conflicts** between its policies and the principles of Charter & Code
- beneficiary has **no clear policy for recruitment and selection of researchers**
- beneficiary did **not make vacancies/fellowship awards publicly available**
- ...

CHAPTER 6 (AGA, pages 260-314):

- **Rejection** of costs claimed
- **Reduction** of the maximum grant amount
- **Recovery** of undue amounts
- Administrative and financial **penalties**
- **Suspension** of project/contract/payments
- **Termination** of project/contract
- **Termination** of participation of beneficiary

depending on the
severity of the breach



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*)
- > **375 institutions progressing** with the implementation of the C&C principles – 5 universities/research institutions from Switzerland of which 4 members of swissuniversities



HOW to implement the principles of Charter and Code?

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



The Human Resources Strategy for Researchers HRS4R

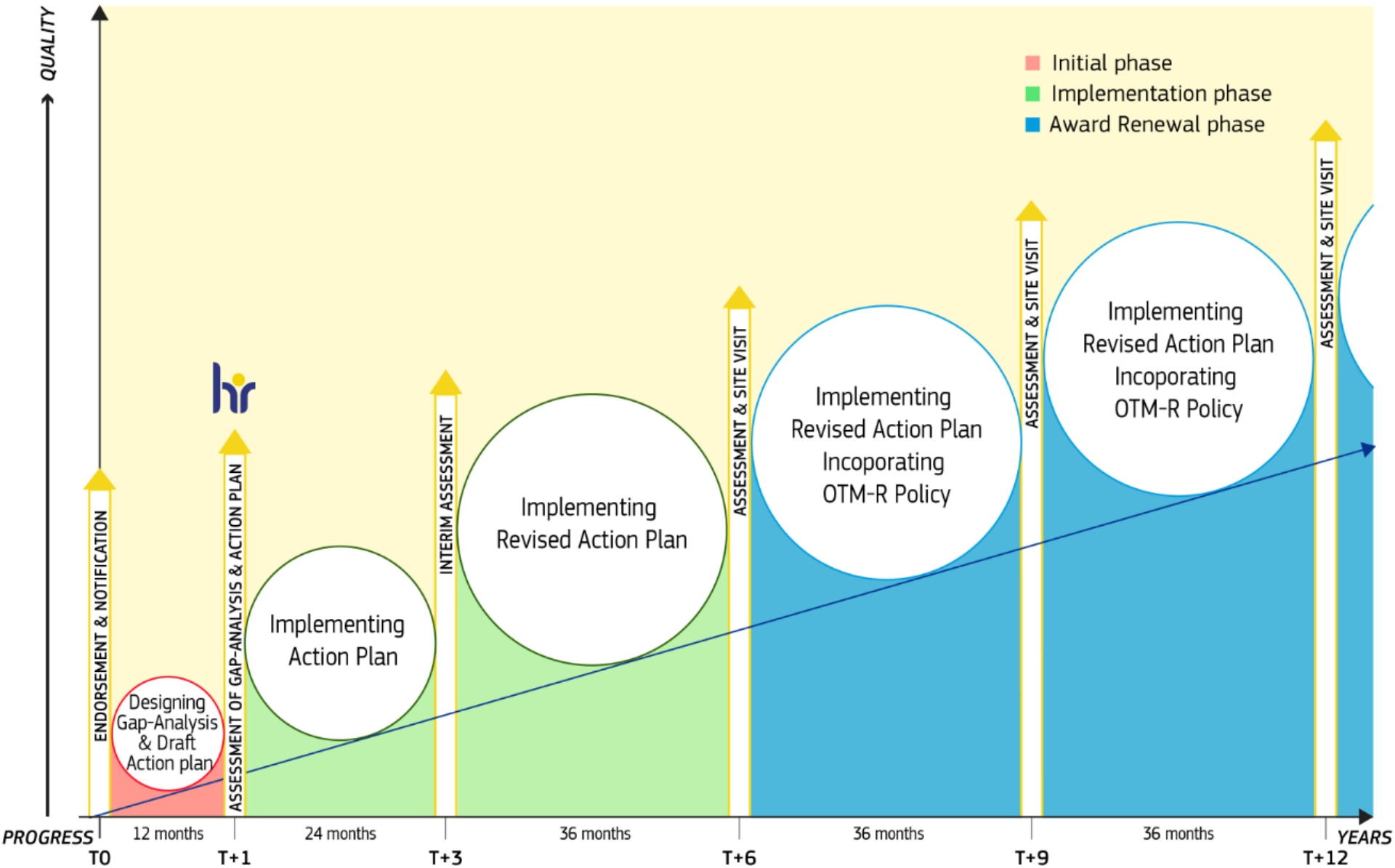
TOOL (*developed in 2008*) to implement the 40 principles of C&C

- **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



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 (*remote*):

- independant external experts (peer reviewers) – (*on template A*)
- check **consistency** between gap-analysis and draft action plan
- gauge **appropriateness**, **coherence** and **quality** of proposed actions
- **detailed and general** assessment
 - **eligibility** (*formal criteria, i.e. endorsement/commitment, publication, support by hierarchy*)
 - **quality** (*level of ambition, quality of progress to be reached*)
 - **recommendations** (*suggestions for alterations or revisions, comments on ambition etc.*)

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.

T+1



OUTCOME of the assessment :

Accepted

The **institution meets the criteria** and the 'HR Award' is Commission services.

Accepted pending minor alteration

The **institution broadly meets the criteria and needs to** month.

Declined pending (major) revisions

The **institution does not meet the criteria** and the HR award is put on hold until next submission after 12 months (and not before)



HR EXCELLENCE IN RESEARCH

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



SIMILAR
to T+1

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 C&C at the institution
3. **Actions** for the implementation of the principles of the C&C within the next 3 years (i.e. in view of the site visits)
4. Examples of how the implementation of the HRS4R Action Plan and the C&C are being further **integrated** into the institution's policies.

*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.*



OUTCOMES of the assessment:

1. The **institution is progressing** with appropriate and improved quality actions as described in its Action Plan.
*There is **evidence** that the HRS4R is further embedded into the institution's policies, routines and organisational structures.*
2. The **institution is, for the most part, progressing** with appropriate and quality actions as described in its Action Plan, but could benefit from alterations as advised through the assessment process.
*There is **some evidence** that the HRS4R is further embedded into the institution's policies, routines and organisational structures.*
3. The **institution is not deemed to be implementing appropriate and quality actions** and this raises some concern for the future efforts to implement actions closely aligned to the Charter and Code.
*There is a **lack of evidence** that the HRS4R is further embedded into the institution's policies, routines and organisational structures.*

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



1. ACCEPTED

The **institution is progressing** with appropriate and appropriate and improved good quality actions as described in its Action Plan.

There is **evidence** that the HRS4R is further embedded into the institution's policies, practices and organisational structures.

2. ACCEPTED pending minor alterations

The **institution is, for the most part, progressing** with appropriate and quality actions as described in its Action Plan, but could benefit from alterations as advised through the Assessment process.

There is **some evidence** that the HRS4R is further embedded into the institution's policies, practices and organisational structures.

3. NO FURTHER USE PERMITTED pending (major) revisions

The **institution is not deemed to be implementing appropriate and quality actions** and this raises some concern for the future efforts to implement actions closely aligned to the Charter and Code.

There is a **lack of evidence** that the HRS4R is further embedded into the institution's policies, practices and organisational structures.

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

T+9; T+12 etc.



Self-assessment / internal review

for the ASSESSMENT & SITE VISITS (at T+9, T+12 etc.)

- **evidence** how the **HRS4R process** has been **embedded** into the institutional policy
- **publish** the **updated HR strategy** on the institution's website
- **include** a **dedicated section** on the evolution of the OTM-R policy

The experts will:

- **assess progress against proposed actions**
- **analyse indicators and targets for success**

according to the same procedure as for T+6

T+9; T+12 etc.



Maintaining or not maintaining the 'HR award' relies on the judgement of the experts who inform the Commission services on their decision.

Institutions having successfully reached this stage, enter into **3-year cycles of monitoring continuous improvement** and assessment wherein the **move from progress to quality** needs to be evidenced.

TEMPLATES:

TEMPLATE 1
annex

Gap Analysis
OTM-R checklist

INSTITUTIONS

TEMPLATE 2

Action Plan

TEMPLATE 3

Internal **Review** / Self-assessment

TEMPLATE A

Initial external assessment

TEMPLATE B

Interim external assessment

TEMPLATE C

Renewal external assessment based on
site visit

EXPERTS

