



The HRS4R process as a tool for the development of the ERA

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The European Research Area

(Article 179 of the Treaty)

- *"...in which, researchers, scientific knowledge and technology will circulate freely"*
- *ERA priority 3 - An open labour market for researchers" - improve international, inter-sectoral and inter-disciplinary mobility between public and private sector research bodies in both directions and at all career stages*

What has been put in place so far?

- ✓ *Charter & Code, HR Strategy 4 Researchers (HRS4R)*
- ✓ *Innovative Doctoral Training Principles (IDTP)*
- ✓ *Open, transparent, merit-based recruitment (OTM-R)*
- ✓ *Pensions (RESAVER)*
- ✓ *EURAXESS portal for researchers to get in motion*

- ✓ *New Skills Agenda 2016*
- ✓ *Bratislava Declaration on Young Scientists 2016*
- ✓ *Modernised Higher Education Agenda 2017*

<https://euraxess.ec.europa.eu/>

Continuing Professional Development - European Charter for Researchers

"Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies.

This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning".

A little history ...



2005: *Commission Recommendation (C&C)*

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

- *European Charter for Researchers*
- *Code of Conduct for the Recruitment of Researchers*



2008: *EU Strategy to implement C&C in a voluntary step-wise procedure (HRS4R)*

- *support tool, **voluntary**, light and flexible in its validation and verification approach*
- *recognizes the **variety of situations** across institutions*
- *results are meaningful, reliable information, easily available*

2014: *Article 32 of the H2020 MGA*

- *'**best effort**' obligation for ALL beneficiaries*





Reference framework (EC adoption on 11 March 2005) for rights and obligations of researchers, their employers and funders:

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

Acknowledgement

- **CREDIBILITY** – *internally and externally, towards researchers, national authorities, funders, etc.*
- **REPUTATION** *by becoming part of a growing group of institutions, many of very high international standing.*
- **VISIBILITY** *of the institutions.*
- *exclusive right to use the 'HR award' icon.*



HR EXCELLENCE IN RESEARCH

The '**HR award**' is displayed on the adverts published on EURAXESS Jobs, the institution's websites, promotional material, etc. along with information about the HR strategy.

Human Resources Strategy for Researchers (HRS4R)

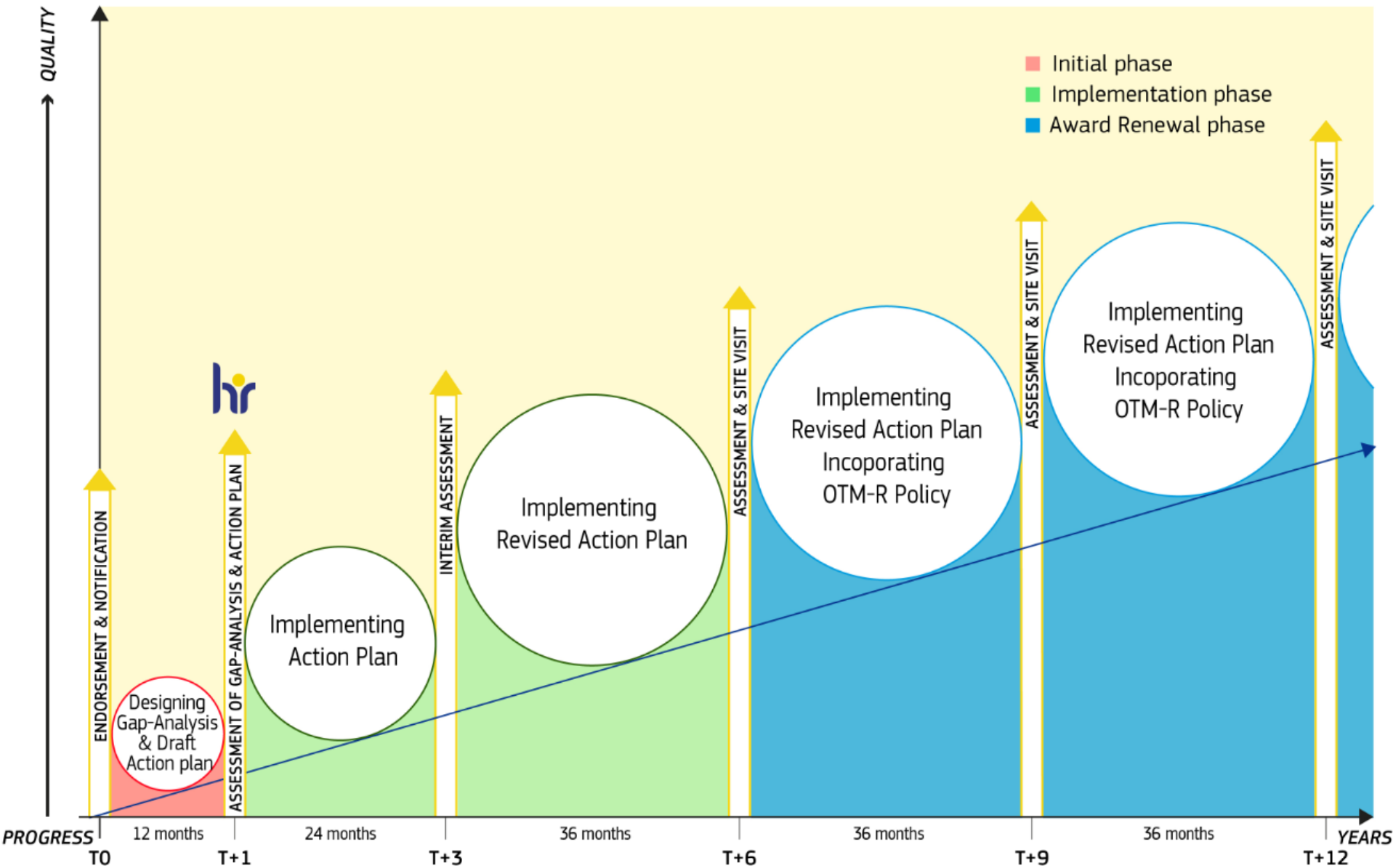
TOOL (developed in 2008) to **implement the 40 principles** of C&C

- **voluntary**, flexible, phase-wise procedure
- based on **self-assessment**, respecting the **autonomy** of the institutions
- based on **gap-analysis**, **action plan** and **HR strategy** development (incl. OTM-R* issues)
- **monitoring** of progress
- striving towards **quality**
- leading to **recognition** and high visibility

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



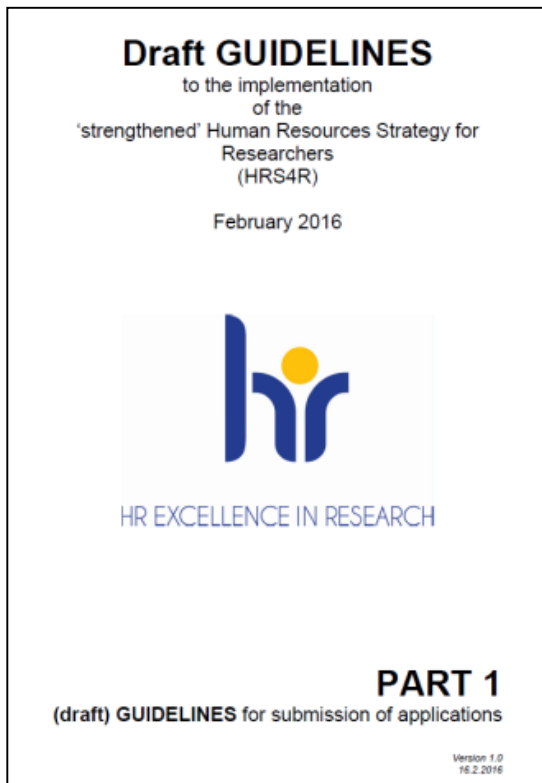
HRS4R procedure



Strengthening the HRS4R procedure:

What's new?

- *Introduction of a **timeline/timeframe** with fixed periods.*
- *Shorter procedure with **less steps**, now call phases.*
- *Use of **mandatory templates**.*
- ***Incorporation of OTM-R** issues in a dedicated annex.*
- *Introduction of **indicators**, elements of 'quality' and **targets** for success.*
- ***Withdrawal of the award** based on clear criteria setting.*



What is new?



1. Introduction of a timeline / timeframe with fixed periods

*The strengthened procedure has introduced a mandatory timeframe for all steps, starting by a period of **maximum 12 months** between endorsement/notification and submission of the application (fixed timeline of 12, 24 or 36 months for the different phases).*

2. Incorporation of the OTM-R recommendations

*OTM-R was totally absent in the previous process. It is now **mandatory** for institutions switching to the 'strengthened' procedure to tackle OTM-R issues and to strive towards having a fully compliant OTM-R policy in place.*

***Newcomers** have to tackle OTM-R **from the beginning**.*

3. Procedure in cycles

*Institutions enter into the **renewal phase** after having undergone the initial cycle and the implementation cycle.*

*The implementation phase has now, as a new element the **requirement** of '**embedding**' the **HR strategy** into the institution's HR policy.*

4. Expiry of the award based on clear criteria setting

*Awards can expire (or put on hold) based on **recommendations** from the experts in follow-up of the site visits.*

5. Introduction of elements of 'quality' (achievements or progress)

Quality starts being assessed already in the implementation phase where progress and quality of the actions and accompanying measures such as 'embedding' the HRS4R process are assessed.

*At this stage, **experts provide an appraisal of this quality improvement.***

*When assessing the 'award renewal' phase, **quality of progress** and **quality of achievements** is the criteria setting for the site visits where the experts are requested to judge these elements (template C).*

6. Setting of indicators and targets for success

*From the start-up institutions are required to **set their appropriate indicators and targets for success.***

*These requirements **did not exist previously** in the procedure, but are now mandatory and have a dedicated assessment in particular when coming to the renewal of the award.*

7. Consultation as a MUST

*Previously, institutions were rather free to undertake their gap-analysis; the new procedure makes it mandatory to **consult** a certain number of key actors and to setup certain internal structures (working groups, committees or else) and associate certain target groups.*

***Request for evidence** is now included formally.*



The HRS4R is NOT a 'one-shot' !

- ❖ *6 NEW templates to better structure the strengthened HRS4R*
- ❖ *comparative data extraction from gap-analysis, action plans etc. in view of monitoring the HR and OTM-R policies put in place*
- ❖ *for the first time **continuity** by setting up the **renewal phases** as 3-year cycles of monitoring **continuous improvement** and assessment, accompanying the move towards enhanced quality*
- ❖ *mandatory requirements introduced to make sure the HR strategy is not an alone standing process in the institution, prepared to be granted the award without any uptake of the institutions highest hierarchy or integration/embedding into the institutions approach to HR management at large*



NEW

OTM-R is compulsory in the new procedure

Initial assessment

- **OTM-R checklist** must be completed
- Actions may already have started, but this is **not** yet compulsory.
- Action plan **must include "some" initiatives** to improve OTM-R policies, but they may not yet be very coherent or specific.

Interim assessment

- The organisation **must be preparing** a coherent OTM-R policy and corresponding actions.

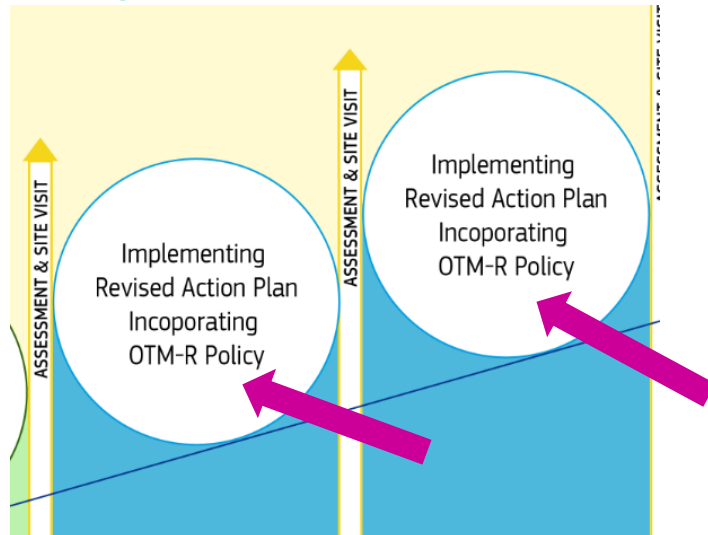
Renewal assessment

- The organisation **must have** an OTM-R policy and corresponding actions in place.

Open, Transparent & Merit-based Recruitment of Researchers

*The 'OTM-R Package' is a set of practical and useful tools for implementing recruitment practices in RPOs.
It includes:*

- ❑ **Checklist for institutions: “do we do what we say we do?”**
- ❑ **detailed recommendations on how to implement these principles**
- ❑ **good practices from across Europe**



**FIRST wave of
'strengthening' the HRS4R**

WHAT else ...



NEW

Horizon 2020

Multi-beneficiary Grant Agreement

SECTION 4 - other rights and obligations (ALL beneficiaries)*

Article 32:

RECRUITMENT & WORKING CONDITIONS for researchers

32.1 OBLIGATION *to take measures to implement the Charter & Code*

32.2 CONSEQUENCES *of non-compliance*

* AGA- annotated model grant agreement, version 2.0.1 of
12.5.2014

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*

...
depending on the
severity of the breach

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

Next challenges...



*"As I see it, European success now lies in sharing as soon as possible, (...). The days of **open science** have arrived."*

Speech at "Presidency Conference Open Science", 04 of April, 2016, Amsterdam

Open **Innovation**
Open **Science**
Open to the **World**

A major transition of the science system and the way...

1. Research is **performed** (Digital Agenda, Open Science Agenda)
2. Knowledge, data is shared/preserved (FAIR, Open data, EOSC)
3. Research is **evaluated** (Interim evaluation H2020, open review)
4. Research is **funded** (H2020 pilots, future FP9)
5. Researchers are **educated** (Open Education, the Modernisation agenda R1 – R2)
6. Researchers are **rewarded** (WG Altmatrix, Incentives & Rewards)
7. **Professional development** of researchers is organised (WG Education & Skills R1 – R4)

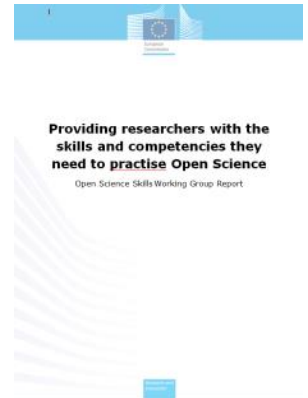
Open Science Policy Agenda: key areas

https://ec.europa.eu/res22earch/openscience/pdf/draft_european_open_science_agenda.pdf#view=fit&pagemode=none

1. Reward systems
2. Measuring quality and impact: altmetrics
3. Changing business models for publishing
4. FAIR open data
5. Open Science Cloud
6. Research integrity
7. Citizen Science
8. Open education and skills

Report from the Working Group on ‘Skills and competences’ (July 2017)

<https://ec.europa.eu/research/openscience/index.cfm?pg=home>



Report from the Working Group on ‘Evaluation of research careers’ (July 2017)

<https://ec.europa.eu/research/openscience/index.cfm?pg=home>



Questions

- Impact on HR strategy for Researchers ?
- How could Open Science practices Be Embedded ?



Thank you

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