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Handbook on HRS4R strategies, best practices and common strategies

Deliverable 5.1

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Abbreviation list

ECR – Early Career Researchers

HRS4R – Human Resources Strategy for Researchers



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Introduction

Task 5.1 addresses "excellence in human resource management" with a twofold aim: to set the framework for the creation of the Alliance's human resources strategy and design a pilot joint action plan to promote the career development of early career researchers.

In a first phase, partners explored how each university approaches human resource management in research, including their response to the European Commission's HRS4R tool for implementing the European Charter for Researchers. With this aim, a workshop was organised on 26 March 2021 to identify and analyse existing strategies in the partners' universities, strengths and gaps, national specificities and to agree on a methodology to be used also in Tasks 5.2, 5.3 and 5.4 to build the common strategy. The workshop was opened by two representatives of DG RTD of the European Commission with the presentation "Supporting researchers' careers in the new ERA". In the second phase, based on the results of the workshop and following the agreed methodology, the partners focused on services and actions to promote career development of early career researchers. Also, through a consultation with researchers and research support staff, the partners defined a common Action Plan, proposing an action that can already be implemented during the UNITE.H2020 project. In addition, the 5 partners who had received the HR Excellence in Research Award of the European Commission prepared a summary of the benefits and good practices resulting from the EC HRS4R-Human Resources Strategy for Researchers initiative (see Section 3 and Annex 3) that can encourage and support other universities that want to start the process and obtain the Award.

SECTION 1 – SETTING THE FRAMEWORK FOR THE JOINT HR STRATEGY

1. Institutional Research HR Strategy of the partners

During the Task 5.1 workshop “*Setting the framework for the UNITE! HRS4R*”, held on 26 March 2021, all partners presented their **Institutional Research HR strategy**, using a common template provided by POLITO. This presentation served to collect and benchmark the same information for all partners and to **understand on what common basis to start building the HR strategy for the Alliance**.

The information collected for each university covered the following aspects:

- **Preliminary data:** partners presented facts and figures related to the composition of their staff and researchers community and the funding dedicated to research. Partners used the EC competence framework to present the composition of the research staff: **R1 First Stage Researcher** (up to the point of PhD); **R2 Recognised Researcher** (PhD holders or equivalent who are not yet fully independent); **R3 Established Researcher** (researchers who have developed a level of independence.); **R4 Leading Researcher** (researchers leading their research area or field);
- **HR organization chart:** partners presented the organization structure in charge of HR management and related issues, including Institutional Representatives;
- **Researchers’ career path:** partners described the career path in their country/university from the Phd to the highest position;
- **Pillars of the Institutional Research HR Strategy:** partners identified the main pillars of their HR Institutional strategy for researchers;
- **Strengths and Gaps:** partners mapped the strengths and gaps of their Strategy
- **National specificities:** partners identified some specificities (e.g. legal constraints) linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level
- **Good practices:** partners presented a first list of good practices about HR management for researchers (e.g. services, projects, initiatives) of possible interest for the Alliance

A brief analysis of the information collected during the workshop is presented below.

Full presentations are available in **Annex 1**.

Preliminary data: researchers, staff and research funding

The 7 universities are similar in terms of size and composition of research staff. In line with the European Commission's HRS4R process, for the number of researchers, we have considered all persons carrying out research activities (including fellowship holders, bursary holders, PhD. students either full-time or part-time). Below we present some figures on the composition of the academic communities in the partner universities.

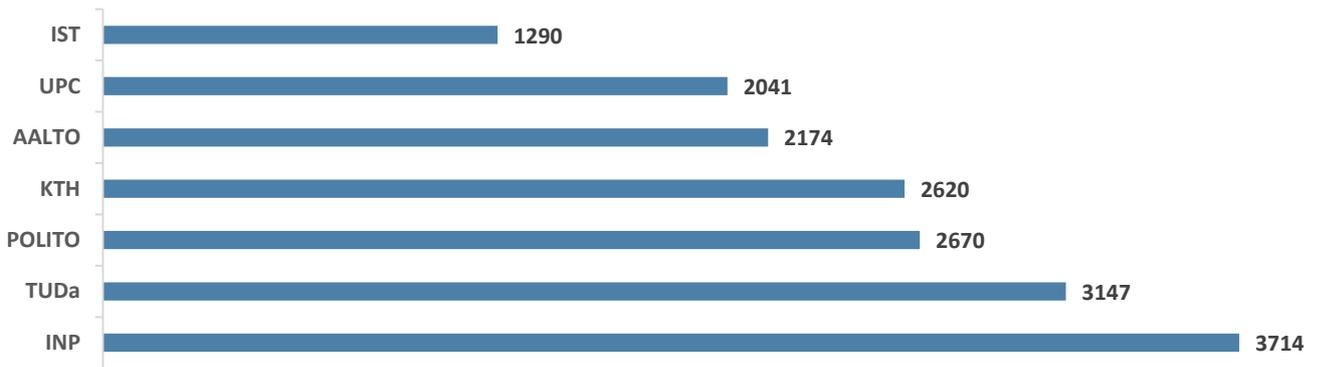


Figure 1 Total number of researchers (R1-R4) per University

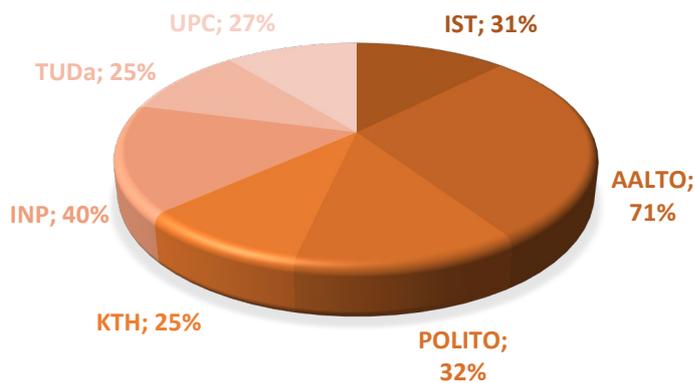


Figure 2 Number of women researchers per University

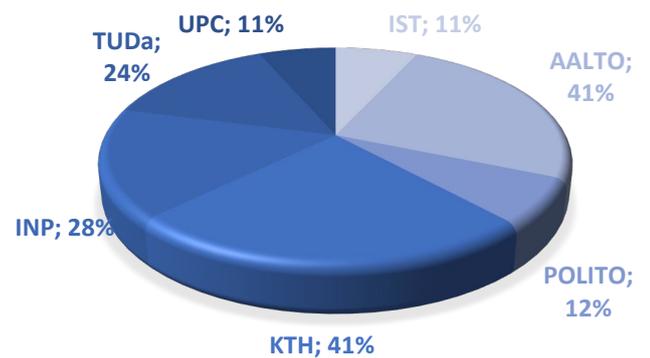


Figure 3 Number of international researchers per University

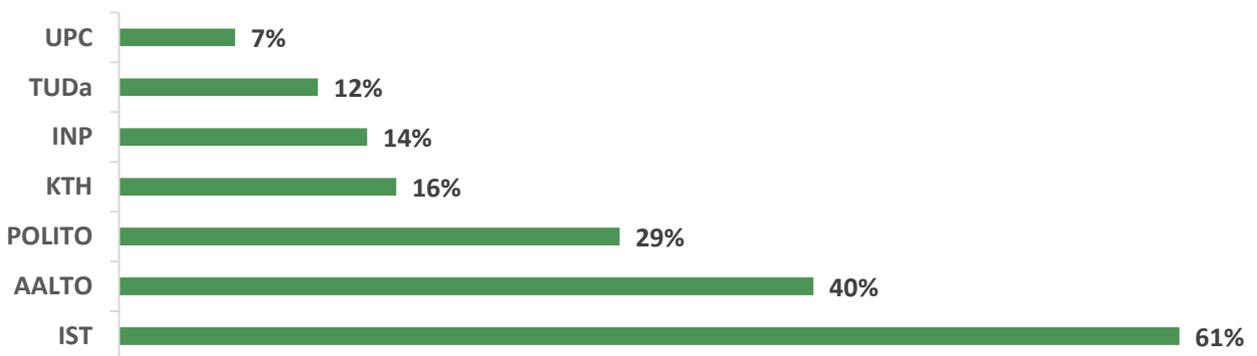


Figure 4 Number of R2 researchers per University

Data on research funding show greater diversity and are more difficult to compare, due to different regulations concerning government and private funding.

HR Organization Chart

Partners were asked to present the organisation chart related to human resource management for researchers, including the units dealing with the relevant issues of WP5, such as: career development, gender and diversity, talent promotion, rewarding merit. These issues are well addressed by the Universities but not all at the same level. Gender Equality is well structured and monitored: all universities have dedicated units and/or institutional representatives. Regarding “career development”, some universities have dedicated units or professionals within the organization structure (AALTO, KTH, INP GRENOBLE, KTH) while others have transversal initiatives and programmes, particularly dedicated to Early Career Researchers (POLITO, TUDa, UPC).

Description of researchers' career path

Each partner outlined the career path of a researcher in their institution/country, from the Phd to the highest position, according to their national legislation and internal policies.

Information on open positions, how to apply and the academic career path is easily accessible online on the websites of all universities. This is very positive in terms of potential brain circulation among the Alliance.

Main pillars of the Institutional HR Strategy for researchers

Each partner presented the main pillars of their HR Strategy for researchers, according to their official policies and strategic plans. Five universities (POLITO, UPC, AALTO, KTH, INP GRENOBLE) are committed to the implementation of the European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers and are engaged in the HRS4R initiative of the European Commission, which inspired their HR strategy.

From the analysis of the various strategies, it is possible to identify some common themes on which all the universities are focusing their action:

- Attraction of researchers and Internationalization
- Recognition of research work
- Career development of early career researchers
- Promote Gender Equality

Details of the strengths and gaps of each institutional HR research strategy are available in **Annex 1**.

National specificities

Partners reported the main national constraints that could hamper the implementation of a common HR strategy at Alliance level and hinder brain circulation among partners. All these obstacles are linked to the fact that recruitment and selection process of researchers is mostly defined by the National Law and in particular:

- The salary of researchers is set by national law
- Selection criteria for research positions are set at national level

Good practices

At the workshop partners were asked to present a first list of good practices of possible interest to the Alliance, concerning the HR Research Strategy and career development of researchers. The list of the good practices presented during the workshop can be found in **Annex 1**.

2. Methodology to build the joint strategy

Introduction

During the workshop on 26 March 2021, the partners discussed the methodology for building the Joint HR Strategy. They decided to use as a guideline the HRS4R-Human Resources Strategy for Researchers initiative of the European Commission¹ and agreed to implement the following steps to build the Joint HR strategy of the Alliance:

- Specify and agree on the Tasks' scope
- Perform a Gap Analysis
- Draw up a draft Joint Action Plan
- Organize a consultation with researchers and research support staff
- Adopt the final version of the Joint Action Plan

The roles, responsibilities and timing of each step must be clearly defined in order to ensure that the objectives are met within the deadlines.

Due to the different timing and focus of the WP5 tasks, each Task will perform the above-mentioned steps individually and define its own Action Plan.

To support the gap analysis and action plan process, partners will use the same template to facilitate the identification of common objectives and actions and provide a rich source of information for future collaboration.

Specify and agree on the Tasks' scope

The partners discuss and specify the theme of a task in WP 5 with the aim to define a practicable scope and focus for each task at the beginning of a working process. For each discussion, the task leader will prepare a suggestion, possibly based on definitions provided by general grey literature on the theme as well as individual strategies, policies and definitions of the institution. The partners contribute to the discussion and jointly agree on and define the exact scope of the task.

¹ See <https://euraxess.ec.europa.eu/jobs/hrs4r>

Perform a Gap Analysis

After a common definition of the focus of each task has been found, the partners elaborate on a gap analysis. The aim of this process is to identify practicable joint actions for a common HR strategy.

For each task, the task leader provides a template, in which all partners include the relevant information separately. The analysis should be structured as follows:

1. STATUS QUO

Each university lists the initiatives that have already been taken to improve a situation (*strengths*).

2. PROPOSALS

Each university comes up with proposals that could remedy the current situation (*gaps*) and that could benefit from joint implementation.

3. OBSTACLES

Each proposal needs to be scrutinized with regard to national and/or organizational legislation that may be limiting the implementation of joint actions.

4. ACTIONS

The partners will share their respective gap analysis and identify and agree on a list of practicable actions, which will become part of the joint action plan. Proposals, which cannot be implemented on a joint level due to national and/or organizational legislation, cannot be taken into consideration.

Draw up a draft Joint Action Plan

Based on the outcomes of the gap analysis, the partners shall agree a draft of possible actions to be undertaken at the Alliance level. For each action the following elements shall be specified:

- Proposed Action
- Target group
- Timing
- Responsible Unit(s)
- Indicator(s)/target(s)

Organize a consultation with researchers and research support staff

In order to develop a joint strategy, which is supported by a wide range of researchers and research support staff in each university, the partners implement a consultation process on the draft of the Action Plan. This process is participative, interactive, and inclusive. As the Action Plan is prepared on the level

of each task of WP5, the participants in the consultations can vary from task to task according to their expertise and interests. It depends on each task which consultation method will be applied, e.g., focus group, workshop, interviews, surveys. In any case, the participants should analyze and reflect on the respective task and bring their opinion and perspective on the topic of the task. Institutional representatives are also consulted to ensure coherence with the University's strategies. At the end, the partners analyze and summarize the results of the consultation process task by task and integrate them into the final Action Plan and joint strategy.

Final Action Plan

On the basis of the consultation with researchers and research support staff, the Final Action Plan is adopted and the joint actions to be implemented in Task 5.5. within the duration of UNITE.H2020 Project agreed.

SECTION 2 - Joint strategy on career development support for early career researchers

Introduction

Once the methodology for building the Joint HR Strategy described in Section 1 has been defined, the first topic to which it has been applied is the career development support for early career researchers, with the aim to identify at least one joint action to be implemented by the end of the project.

Scope

There are several definitions of **Early Career Researcher** (ECR) at international level. The partners agreed to refer to the EC category of R2-Recognised Researchers², namely, doctoral holders or equivalent who are not yet fully independent researchers. From now on, the terms “postdoctoral researcher” or “postdoc” are used in the document as synonyms for ECR.

Regarding **career development support** the partners refer to the definition provided by the European Science Foundation (ESF), restricting it to ECRs only: “A structured approach to the continuous development of researchers’ knowledge, expertise and attributes at all stages of their career to improve their competency, employability and ability to pursue multiple career paths. This may be achieved by a variety of activities, whether formal and structured, or informal and self-directed.”³

Gap Analysis

The partners met on 26 May 2021 and agreed to conduct a gap analysis based on a common “Framework of Analysis”: a chart summarising strengths, gaps and obstacles related to career development support for ECRs (see Annex 2). In the following weeks, each partner carried out its own gap analysis and presented it during the workshop on 29 June 2021.

Regarding strengths and gaps, the Framework considered three main dimensions: Organisation, Strategy and Actions. Each dimension has specific items that each partner analysed for their university:

- Organisation: in this dimension each partner analysed if there was a specific unit within the organisational chart dedicated to career development and if the activities were centrally managed or decentralised.

² European Commission, Directorate-General for Research & Innovation. *Towards a European Framework for Research Careers*. 2011. url: https://cdn5.euraxess.org/sites/default/files/policy_library/towards_a_european_framework_for_research_careers_final.pdf.

³ European Science Foundation. *Developing Research Careers In and Beyond Europe: Enabling - Observing - Guiding and Going Global*. EARCD, 2012. url: http://archives.esf.org/uploads/media/mof_research_careers.pdf.

- Strategy: partners mapped if the commitment of their university on career development is mentioned in the University Strategic Plan or other official document
- Activities related to career development: partners identified the activities carried out in their universities from the list below, leaving room for comments:
 - Tools for self-evaluation (e.g. RDF, IDP)
 - Tools to map the needs of ECRs
 - Coaching
 - Mentorship
 - Research Group Assignment
 - Record career progression/destination
 - Performance assessment
 - Training in transferable skills
 - Guidelines/ training for ECR supervision
 - Research funding support
 - Job search support
 - Mobility support
 - Psychological support
 - Family & relatives support
 - Equality-driven actions

Some general considerations on the results of the gap analysis are the following: most partners do not have a specific unit or office dedicated to supporting the career development of ECRs, they do not have a strategic plan for ECRs and finally support actions are mostly offered to all academic staff and not specifically to ECRs, with few exceptions.

With regard to national legislation and/or organizational issues and legislation that may limit the implementation of joint actions, the partners identified the following main obstacles: financial and staffing constraints, data protection law, lack of sufficient autonomy (nor independent economic means) to guarantee the stability of jobs, existence of external accreditation to access a professor position.

Based on the same categories and items used for the Strengths section, on 29 June partners discussed actions that could improve the current situation (gaps) and that could benefit from joint implementation at alliance level.

The most recurrent needs that emerged from the partners' gap analysis concern the following elements: tools for mapping the needs of ECRs, coaching, mentorship, performance assessment and equality-oriented actions (but the latter two are already covered in tasks 5.3. and 5.4. respectively).

During the workshop on 29 June, considering the obstacles resulting from institutional and regional/national specificities, the partners agreed to elaborate a joint action plan focusing on the following areas of development: Tools for mapping the needs of ECRs, Mentorship, Training in transferable skills, Support for research funding (e.g. ERC, MSCA), Support for mobility (e.g. through MSCA).

Draft of the Action Plan

Based on the outcomes of the workshop on 29th September, the partners validated the following list of actions that would benefit from joint implementation:

1. Tools to map the needs of ECRs
2. Train of Trainers in Mentorship
3. Universities can open the participation to some of their on-line training courses to the ECRs of partners)
4. Supporting the mobility of ECRs by strengthening support for participation in Marie Skłodowska-Curie Actions
5. Supporting the participation of ECRs in the call for proposals of the European Research Council (ERC)

1. Tools to map the needs of ECRs

Partners agree that one of the conditions required to foster effective support services for the career development of ECRs successfully is to map the needs to design the support activities through a bottom-up approach.

The involvement of internal stakeholders, like the Postdocs themselves and faculty, and external stakeholders, like companies, is essential and should be achieved through ad hoc tools and measures, such as surveys, interviews, evaluation questionnaires related to the transferable skills courses offered. Some of the partners have already tested some tools. Thus, as a joint action, in a first step, partners will exchange practices and investigate what other tools and solutions exist to map the needs of ECRs (through literature review). As a second step, partners will select the most appropriate tool to use for each stakeholder and test them. Finally, they will share the results regarding both the effectiveness of the tools and the needs collected.

2. Train of Trainers in Mentorship

Mentoring programs are widespread in all types of companies worldwide and with students at the university level. Several studies show the effectiveness of such programs with young workers who have just started their new jobs. The idea is to transfer this practice to Early Career Researchers (ECRs). This type of program would offer support to ECRs by reflecting on their career goals, competencies, and professional options. Building an inter-generational and inter-sectoral network are other objectives to be achieved.

Any mentoring program needs three elements: (1) a well-defined process, (2) a set of mentors, and (3) a set of mentees. In this proposal, we will focus on mentors, taking into account an approach based on cohort models.

The characteristics of a mentor are classified along two dimensions. First, the mentor must know and be an expert on the mentee's field of research. This means that the mentor must belong to the same department as the mentee. Considering the number of departments and sections in STEM universities, the total number of mentors needed can be high. Second, the mentor must guide the ECRs in defining their professional goals and a process to achieve them. Although we have great researchers in most

research fields, most do not have the academic background to be mentors. We therefore propose to create a Train of Trainers in Mentorship.

The objective is to train a set of researchers in each of the universities to be responsible for the training of mentors in their university. This training will focus mainly on the second dimension described above. Train of Trainers in Mentorship would be a program consisting of two activities.

The first is a 5-day face-to-face training at one of the participating universities. This training would cover three aspects:

- the elements present in a mentoring program,
- the management of mentee by mentors,
- how to train other mentors in their universities.

Participants will become responsible and a reference for mentoring programs in their universities.

The second is a mentoring workshop that can be held in person or virtually. The periodicity of the event can be biannual or annual. The workshop aims to provide an opportunity to share good practices in the mentoring process (which can later be included in the 5-day face-to-face training) and learn from other mentors' experiences. In this workshop, all those who have participated in the classroom training and those they have trained could participate..

3. Opening of online training courses to ECRs of partner universities

Only a few partner universities offer training in transferable skills specifically for ECRs. On the other hand, those who do offer trainings sometimes have difficulties finding enough participants for the trainings. The reasons are: the target group (R2) is relatively small; the demands of the target group are relatively diverse and individual; the time pressure in the career phase of the target group is relatively high.

To meet all needs, the partners arrange to open existing (online and English-speaking) training courses and offer free spots to the ECRs of partner universities.

Twice a year (e.g. September and April), the partners share a list of open trainings and events. This list is made available to the ECRs of each partner university (e.g. Through mailings or the UNITE website). The ECRs can register for these offers at the offering university. Ideally, every university commits itself to open/offer at least one event or training. After one year, the number of participations will be evaluated to see whether the offer was taken or not.

4. Supporting the mobility of ECRs by strengthening support for participation in Marie Skłodowska-Curie Actions

While all partner universities have services to support the mobility of researchers, no one has specific measures dedicated to ECRs. The Marie Skłodowska-Curie Actions (MSCA) are the EU's flagship programme for the mobility and training of researchers and has specific actions open to postdoctoral researchers. This programme in general has a strong focus on career development of researchers, both at doctoral and postdoctoral level and is particularly in line with the European Charter for Researchers and the Code of Conduct principles.

To better support mobility of ECRs and maximize the participation to MSCA calls, which are very attractive for all partner universities, some joint activities could be implemented within the Alliance:

- foster mobility opportunities under MSCA Postdoctoral Fellowships projects. E.g.: facilitate the matching between researchers and universities/supervisor within the Alliance; facilitate secondment and training opportunities for researchers,
- organize a common Infoday once a year to present MSCA Postdoctoral Fellowships call,
- facilitate the participation to Staff Exchange call

Even if doctoral candidates are outside the scope of Task 5.1, a further joint action could be to promote PhD open positions under MSCA Doctoral Network projects coordinated by the Universities of the Alliance.

A network of research administrators working in MSCA projects, within the Alliance universities, will be created in order to promote these joint activities and discuss the main issues related to MSCA projects. This network will be in contact through a mailing list and a Teams/online channel.

5. Supporting the participation of ECRs in the call for proposals of the European Research Council (ERC)

As is widely acknowledged, ERC grants are a powerful tool to promote the careers of excellent early career researchers.

Partners can strengthen the support offered to their ECRs to participate in ERC calls successfully by implementing a joint 'ERC Short Mobility Programme'. The programme would offer researchers intending to apply in the following 2 years for an ERC Starting Grant or an ERC Consolidation Grant the opportunity to conduct short-term mobility (up to 2 months) at ERC PIs hosted by another partner institution. The objective of the mobility is to strengthen the CV and collect preliminary data and hints useful to build a successful proposal.

Once a year, ERC PIs with active projects will be asked to express their willingness to host early career researchers for a programme of activities to be agreed upon between the parties.

The list of available PIs will be included in the call for the short mobility programme addressed to ECRs which will be advertised in each partner university. In their application, ECRs will indicate the university where they want to spend the mobility period and describe the activities they intend to carry out and the expected impact on strengthening their ERC proposal.

It is the responsibility of their universities to assess the quality of their ECRs' applications and decide which of them can benefit from the mobility scheme.

Salary, travel and living expenses are borne by the applicants' home university.

Consultation with researchers and research support staff

In October, all partners carried out consultations with research staff, research support staff and institutional representatives on the basis of common guidelines.

The aim of the consultation was to:

- receive varied and constructive feedback regarding the feasibility of the joint actions not only on the level of each university but of the Alliance and obstacles for the implementation of the action,
- receive varied and critical feedback regarding the added value of the joint actions for i) ECR, ii) each university, iii) the Alliance,

- prioritize the joint actions,
- receive general remarks, comments, suggestions on the joint actions,
- receive new ideas for alternative joint actions.

The guidelines included:

- a word-template with descriptions of the UNITE.H2020 project, the aim of the consultation and the joint actions as well as a section for comments. It could be used as presentation material and/or to distribute it among the consulted parties;
- an excel file with instructions/guidelines regarding the methodology of the consultation and a template to summarize the feedback of the consultations for each university.

Regarding format and methodology of the consultation, each university was free to choose the format/design of the consultation individually (e.g. survey, workshop, interviews, e-mail etc.).

To ensure a varied, critical and constructive feedback regarding our joint actions, the following parties had to be consulted:

- a. representatives of all four research stages (R1-R4: from doctoral candidates to full professors), ensuring a balanced representation of scientific disciplines, gender, nationalities etc.; ideally, those who act as official representatives of their status groups in university boards should be consulted, e.g. representatives of postdocs in the senate
- b. representatives of the university's management and decision-making levels (with regard to political, strategic, financial affairs; e.g. someone from the relevant executive board or Vice Rector for HR)
- c. research support staff involved in the implementation of the joint actions (administration).

The consultations carried out in the partner universities did not produce clear results. In order to produce a ranking, a list of weaknesses and strengths for each of the 5 actions was identified and the following considerations were shared with the partners:

- partners have different starting points (e.g. action n°2 on mentorship);
- some actions are feasible and appreciated, but the added value of being implemented at Alliance level is not very high (e.g. action n°1) and/or they are not innovative (e.g. action n°3): these actions would not be attractive as a "flagship joint action" developed within the duration of the UNITE.H2020 proposal;
- some actions have a good potential to strengthen the alliance as a whole and on a strategic level but the alliance might be too small to facilitate adequate matchings and these actions may be against retention policies of each university (e.g. actions n°4 and 5).

Final Action Plan

The final workshop of Task 5.1 was held online on 9 December 2021. Based on the results of the consultations, the partners agreed that **Action n°2 "Train of Trainers in Mentorship"** will be the joint action to be developed during the UNITE.H2020 project. This action was chosen because it was ranked first, is a strong flagship joint action and is also in line with Tasks 5.2 and 5.3. Partners who already

have their own mentoring scheme agreed to act as "advisors" and bring home good practices from the mentoring scheme implemented by the Alliance.

As the need for more adjustments and clarifications was brought up to increase the feasibility and success of the joint action, the following draft work plan (M12-36) was agreed:

- Set up a working group (M13)
- Analysis of literature and good practice (M14-16)
- Design of the Training of trainers in mentorship pilot (M17-21)
- Implement the Training of trainers in mentorship pilot (M22-34)
- Assessment of pilot and drafting of the report (M33-34)

UPC agreed to be the coordinator of the working group that will meet for the first time at the end of January or beginning of February 2022 (the date is being finalised).

The partners also agreed to leave the door open for the implementation of further actions with the following characteristics:

- a. actions with a high degree of feasibility and requiring low effort (e.g. action n° 3). The increase of digital training formats initiated by the recent COVID-pandemic brings new chances for the cooperation in training offers for ECRs on a European level. UNITE.H2020 partner universities could open their training offers to ECRs of partner universities and thereby create synergies, which increase the offer of free trainings for ECRs. Universities could split/share both administrative work and costs for trainings. Because the target group is rather small and the ratio of participation is relatively low, joint trainings could be a win-win-situation both for universities with an existing training program (and difficulties in filling the workshops) on the one hand and universities with no existing training program on the other. The feasibility of action n°3 can be explored further explored in Task 5.5 as this is in line with one of the possible key pilot actions mentioned in the description of this Task.
- b. actions which were highly appreciated by researchers and research support staff and in particular actions n° 4 and 5, but had some limitations due to institutional strategies and budget constraints. For these two actions, partners agreed to "downscale" them and to create a network of the research support staff from the partner universities that supports participation in Marie Skłodowska-Curie actions and ERC calls to share good practices and solutions to common problems. POLITO volunteered to start the setting up of the network of staff that in each UNITE.H2020 university support the participation to Marie Skłodowska-Curie actions.

These additional actions can be implemented on a voluntary basis by a limited number of partners who share the same interest.

SECTION 3 - Sharing experiences with the HRS4R

In Unite! Alliance, five institutions have obtained the HR Excellence in Research award. PoliTO and AALTO are the pioneers in early engagement to the HRS4R since 2012 et 2013. UPC has obtained the award in 2017 and INP GRENOBLE and KTH were awarded very recently in 2021. This different time scale in the HRS4R process of each institution gives the Unite! partners a larger vision about different stages, strengths, challenges, and advancements in very concrete way of the process.

In this handbook in regard of the HRS4R, the focus has been chosen on Methodologies used in different institutions as the sharing of good practices regarding the principles of charter and code is being already developed in other parts of the Work Package 5 of UNITE.H2020 project.

The methodologies applied in divers' institutions reveal the key successful elements for implementing the HRS4R within institution. It profits among Unite! partners and it is obviously a potential benefit for other institutions who plan to engage in the HRS4R project. Some gaps have been identified which contribute to the reflexion for further improvements of the process and its efficiency. The recommendations here below are some first suggestions aiming to tackle these gaps.

The main good practice that appears is to embed HRS4R in the institutional strategic plan. To illustrate on example of Polito, as underlined in the Consensus report "*Polito is highly committed to the HRS4R process and their Action Plan is strongly embedded in their Strategic Plan "Polito4impact". Researchers as well as administrative staff are really involved and partners for the institutional development. Their contribution to the implementation of the HRS4R process is evident*".

The integration of the HRS4R process in the institutional strategic plan appears also very clearly in AALTO approach: "*AALTO University is committed to balance and wellbeing of its employees. The university believes that great results can only come from healthy and happy employees*". Thus, the commitment to HRS4R-policies supports AALTO University in implementing its people strategy and achieving the goals set. HRS4R is embedded in the university's strategy, quality management and policies, and operating bodies. It is worth noting that there is no separate HRS4R organization (not even separate Faculty HR); no separate HRS4R strategy and neither sseparate HRS4R operating model. The AALTO HR strategy is intrinsically HRS4R strategy.

The success of the implementing methodology lies also in the capacity to plan the work in different work packages and steps that lead to the successful results. There is for example the methodology in five steps that has been set up at UPC as follow: 1. To build the organisational structure; 2. To define the objectives for the internal analysis; 3. To identify shortfalls and potential opportunities; 4. To share the results and get feedback from academic and non-academic staff and 5. To design an action plan. For the next HRS4R step, regarding the methodology, the structure and the objectives for the internal

analysis at UPC they were as follow: 1. To identify all the relevant legislation, 2. To identify existing internal rules, 3. To identify shortfalls and potential improvements in the current situation, 4. To propose areas of action that combine regulations (EU, Spanish, autonomous community and institutional) and policies (EU, Spanish, autonomous community and institutional) with needs.

Recommendations

The successful implementation has nevertheless faced several challenges. They were linked principally to three reasons that are detailed here below.

Firstly, some institutions expressed the lack of support in some countries from member states. The Member State commitment is essential to increase the impact of HRS4R and improve working conditions and the attractiveness of workplaces. Few Member States have policies and incentives related to the implementation of the Charter and Code and the burden is on the institutions, which cannot overcome some of the barriers to actual implementation of the principles on their own. As part of the new ERA governance, some mechanism should be established to monitor the actions Member States take to support researchers' careers in line with the new ERA Communication. Indicators could be established to measure the real commitment of Member States, including indicators linked to the support/incentives offered to institutions applying for HRS4R.

Secondly, there has been also a need expressed for support in implementing the efficient communication strategy that allow to disseminate appropriately and in a coherent way the institutional engagement. The Communication strategic model might be a very useful to tackle this need. The suggestion here is to design and make available the Communication tool kit. The kit will help the institutions adequately communicate about their HRS4R initiative. This tool kit might contain the propositions to establish and identify and propose models for the : 1. Communication strategy (include planning, audience targets, ...) for different stages of HRS4R process (in initial step, keeping the community informed about work progress, give some guidelines for the internal diagnostic); 2. Communication channels, especially for external public (internet), the most appropriate information according to the different audiences (internal or external); 3. Communication supports such as flyer or posters available (each support should be possible to customized by each institution (e.g. give the possibility to add an institutional logo) or use the label on existing institutional supports.

Finally, having a formal structured HRS4R institutions active network would greatly help to build and maintain the community. Also, it would be of help to consider the publication of a "Book of good practices", or a collection of good experiences (i.e. videos). The aim is to show the real impact of the actions implemented. Somehow it is an opportunity to make it tangible. Otherwise again, this initiative remains in most of the cases a theory and it's hard to see the real impact. Since the EC is sensitive and concerned about showing the impact (social, economic, ..) it's fully in line with the UE strategy. As we notice, the support for institutions approaching HRS4R is currently offered mainly on a voluntary basis by the most experienced institutions. The EC might support the creation of communities of practice.

Benefits

The partner universities identified several benefits associated with the HR Excellence in Research award. First of all, it is a driver of innovation: it brings to the forefront of institutional decision-making processes and strategic planning essential policies on human resources, which would otherwise remain marginal. Also, it drives the changes and actions in the same directions as the European priorities such as gender equality. Thus, it supports the development of European values and supporting initiatives.

It promotes a stronger community: put researchers at the core of processes and engages all categories of researchers to define activities tailored to different career stages; researchers and administrative staff work together and learn from each other's perspectives. In addition, it promotes a critical analysis of recruitment processes according to Open, Transparent and Merit-based principles, and showcases achievements that would otherwise go unnoticed.

Last but not least, the HRS4R enables us to be part of an international network and share good practice with innovative and ambitious universities on issues linked to supporting career development. The network allows to each partner be more visible, to participate in different local actions and continuously learn from each other, going beyond local prism.

Annex 1 - Institutional Research HR Strategy

Presentations from Task 5.1 Workshop
(26 March 2021)



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University Network for Innovation,
Technology and Engineering



UNITE.H2020

WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

Politecnico di Torino

Claudia De Giorgi

Vice Rector for Quality, Welfare and Equal Opportunities

UNITE.H2020 GA n. 101017408

Workshop Task 5.1 – 26/03/2021

Some preliminary data

RESEARCHERS AND STAFF (2020)

N° total researchers	2670
Of whom are international	310
Of whom are women	860
Of whom are stage R3 or R4	759
Of whom are stage R2	773
Of whom are stage R1	1138
N° Staff	920

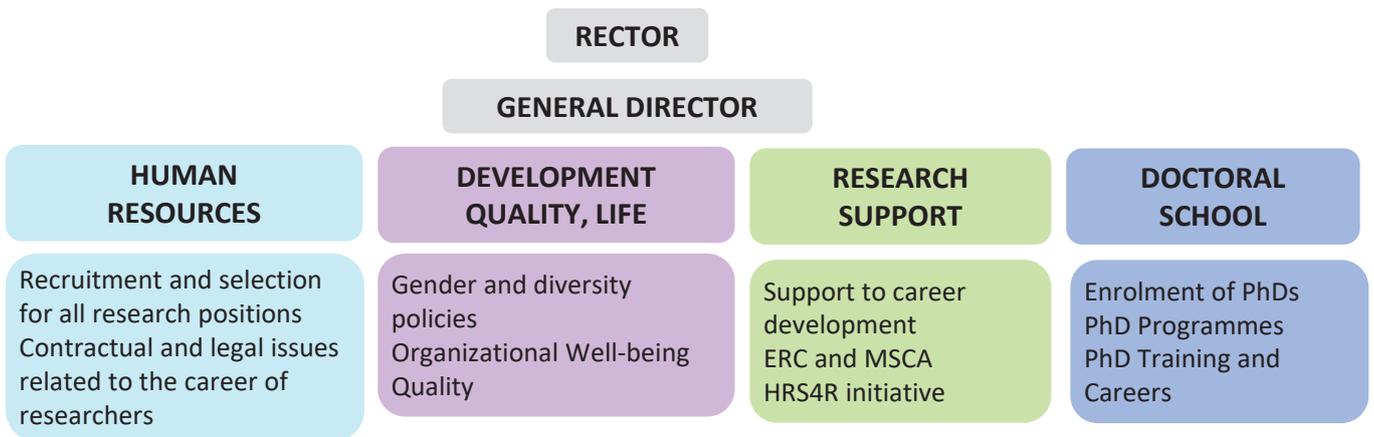
RESEARCH FUNDING (2019)

Total annual organisational budget	248.882.844
Annual organisational direct government funding (140M are for general expenses (eg. salaries) of which 8M are directly assigned for research)	140.971.733
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	29.657.044
Annual funding from private, non-government sources, designated for research	17.885.344

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Workshop Task 5.1 – 26/03/2021

HR organization chart



Are there institutional representatives for these themes?

Claudia De Giorgi - Vice Rector for Quality, Welfare and Equal Opportunities

Arianna Montorsi – Rector’s Advisory for Gender Equality and Diversity

Daniela Bosia – Rector’s Advisor for Special Needs

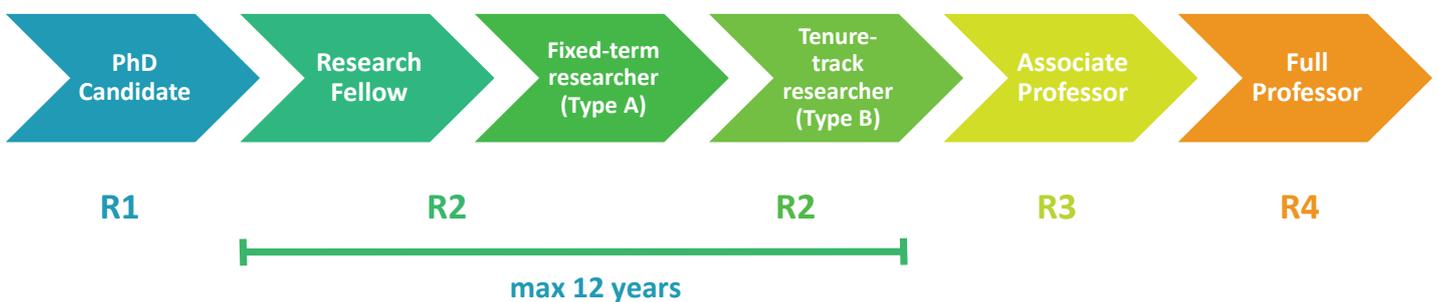
Rector / Board of Directors – HR planning

Paola Ghione – Disability Manager

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Workshop Task 5.1 – 26/03/2021

Description of researchers’ career path



Are this information available on your website? https://careers.polito.it/?culture_language=en-US

Do you perform specific information action to make researchers aware of this academic path?

The career path is described in the Polito Careers website and Opportunities for researchers website

<https://www.researchers.polito.it/en/careers> . Temporary researchers are informed about the plans of HR at Department level

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Workshop Task 5.1 – 26/03/2021

Institutional HR Strategy for researchers - PILLARS

THE STRATEGIC PLAN POLITO4IMPACT 2018-2024 HAS A STRONG FOCUS ON:

EQUAL OPPORTUNITIES AND DIVERSITY

New gender, diversity and inclusion policies and initiatives

ATTRACTION OF EXTERNAL TALENTED RESEARCHERS

Attraction of ERC and MSCA candidates, Visiting Professors, Raising the number of PhD candidates

CAREER DEVELOPMENT

Planning of new services to support the professional development of researchers

REWARDING MERIT

Revision of the calls for professors to assure that all dimensions of the research are taking into account

WELFARE

Welfare services for both university staff and students for improving the corporate well-being

**Do you have any official documents (strategic plans, policy, etc.) regarding HR strategy for researchers?
Action Plan 2019-2021 HRS4R, Strategic Plan POLITO4IMPACT 2018-2024, Gender Equality Report**

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Workshop Task 5.1 – 26/03/2021

Institutional HR Strategy for researchers

STRENGTHS	GAPS
<p><u>EQUAL OPPORTUNITIES</u> Appointment of Institutional Representatives Creation of an Administrative Department (LIFE) Creation of the Special Needs Unit</p> <p><u>ATTRACTION FROM ABROAD</u> Direct Call for highly qualified Full and Associate Professors working abroad and ERC winners Starting Grant for newly appointed professors HR Excellence in Research Award</p> <p><u>CAREER DEVELOPMENT</u> Declaration of Intent Phd (in progress for R2) Resources for curiosity-driven initiatives (institutional funds and support for ERC and MSCA projects)</p> <p><u>REWARDING MERIT</u> Willingness to improve researchers' assessment despite national constraints (selection criteria in the calls)</p>	<p><u>EQUAL OPPORTUNITIES</u> Constraints from the national law University website will be revised with a more inclusive language</p> <p><u>ATTRACTION OF EXTERNAL TALENTED RESEARCHERS</u> Limits to negotiating salary and starting conditions</p> <p><u>CAREER DEVELOPMENT</u> Services for career development should be improved (especially for R1 e R2)</p> <p><u>REWARDING MERIT</u> National constraints for researchers' assessment</p>

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Workshop Task 5.1 – 26/03/2021

National specificities

National Law sets a general framework and several constraints for recruitment of researchers and management of their careers, towards which Italian university has **little autonomy**. In particular:

- National law does not allow the reservation of positions for women
- Gender balance cannot be guaranteed among members of selection committees because they are chosen by lot from among a list of gender-balanced highly-qualified candidates that are proposed by each Department
- No dual careers and limits to welcome package
- Researchers salary are established by National Law
- Limits to turnover
- Criteria to access the call for professors are established by Law (limits for changing the selection criteria)
- National scientific qualification to access to permanent positions

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5?
CRUI - Conference of Italian University Rectors; CODAU – Conference of Italian University Directors General; Researchers Unions

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Workshop Task 5.1 – 26/03/2021

Best practices

Best practice (title)	Link (if available)
HRS4R @POLITO	https://www.researchers.polito.it/en/hr_excellence_in_research
Researcher Ombudsman	https://www.polito.it/ricerca/garante/index.php?lang=en
Co-creation of Transferable skills courses for researchers	https://www.researchers.polito.it/en/funds_training/training_offered_by_politecnico (under renovation)
Support to ERC & MSCA candidates	https://www.researchers.polito.it/en/funds_training/projects_and_strategic_initiatives_at_politecnico/erc_polito_project
Starting grant for newly appointed researchers from abroad	https://www.researchers.polito.it/en/funds_training/projects_and_strategic_initiatives_at_politecnico/attraction_and_retention_of_excellent_professors_through_starting_grants
Coaching and mentoring for early career researchers (under construction)	PoliTO is particularly interested in developing this actions within UNITE.H2020

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Workshop Task 5.1 – 26/03/2021

Link and resources

POLITO CAREERS <https://careers.polito.it/>

Strategic Plan POLITO4IMPACT

https://www.pianostrategico.polito.it/en/the_strategic_plan

Life @POLITO <https://www.life.polito.it/>

HR Excellence in research https://www.researchers.polito.it/en/hr_excellence_in_research

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WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

Aalto University
Anna Hynynen

UNITE.H2020 GA n. 101017408

26.3.2021

Some preliminary data

RESEARCHERS AND STAFF

N° total researchers <i>(including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)</i>	2174
Of whom are international <i>(i.e. foreign nationality)</i>	896
Of whom are women	1549
Of whom are stage R3 or R4 <i>(Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)</i>	369
Of whom are stage R2 <i>(PhD holders or equivalent who are not yet fully independent)</i>	873
Of whom are stage R1 <i>(up to the point of PhD; please detail the number of PhD candidates)</i>	933
N° Staff <i>(management and administrative staff)</i>	4053

RESEARCH FUNDING

(figures for most recent fiscal year)

Total annual organisational budget	103 859 000
Annual organisational direct government funding (designated for research)	5 212 000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	82 871 000
Annual funding from private, non-government sources, designated for research	15 775 000

Data reference date: 26/03/21

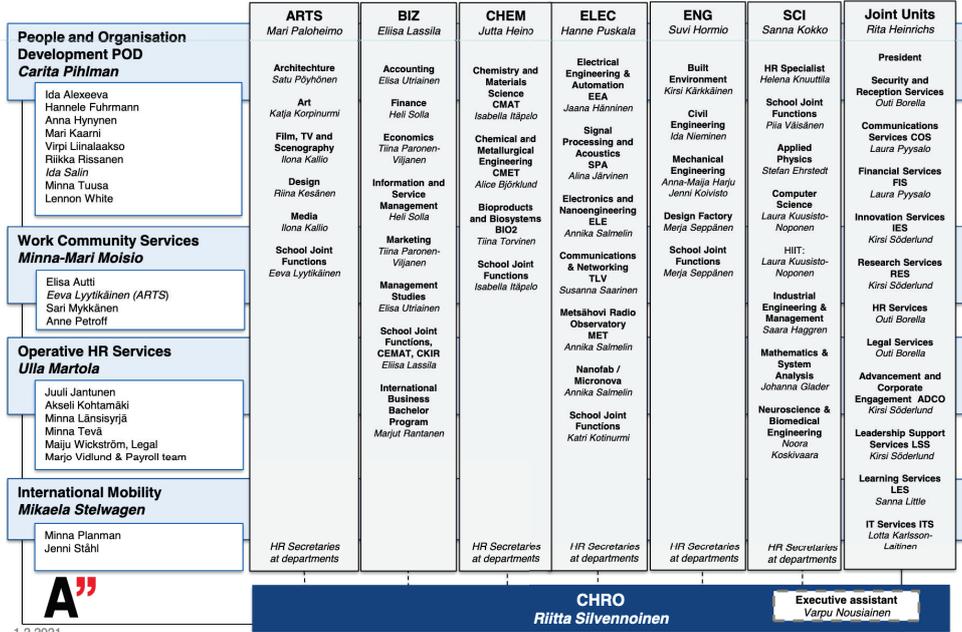
UNITE.H2020 GA n. 101017408

26.3.2021

HR Services organization 2/2021

HR organization chart

- Common HR structure for all faculty and staff (not separately to researchers)
- No dedicated units for the themes related to our WP5 (career development, brain circulation, talent promotion, gender and diversity, rewarding academic merit). Dedicated HR professionals for career development, gender & diversity and rewarding academic merit.



Are there institutional representatives for these themes?

Provost & CHRO have joint ownership at the highest level of D&I and equality issues

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Event – Date

Description of researchers' career path

Information available on website. Actively communicated to researchers by supervisor, committees and in events.

- Aalto tenure track: <https://www.aalto.fi/en/tenure-track/tenure-track-career-path>
- Aalto lecturer career system: <https://www.aalto.fi/en/teaching-and-learning/lecturer-career-system>
- Aalto other academic positions: <https://www.aalto.fi/en/services/other-academic-positions>

Tenure track career system

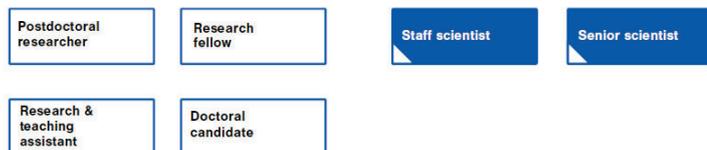


Lecturer career system



Other academic positions

Titles supporting the development of academic competence (incl. student titles)



Fixed-term
 Permanent

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Event – Date

Institutional HR Strategy for researchers

Main pillars of current HR Strategy for researchers

Promoting a sustainable and attractive environment for research and art

- Developing the career systems for different academic positions
- Improve the attractiveness of Aalto for foreign and female faculty
- Support the career development of young faculty

Do you have any official documents (strategic plans, policy, etc.) regarding HR strategy for researchers?

Promoting a sustainable and attractive environment for research and art. Aalto HRS4R Strategy for 2019-2021

UNITE.H2020 GA n. 101017408

Event – Date

Institutional HR Strategy for researchers

STRENGTHS	GAPS
<ul style="list-style-type: none"> • Well-established recruitment and advancement policies and procedures for professors' tenure track, lecturers' career and other academic positions. • Systemic way for career system development (PDCA cycle, Plan-Do-Check-Act). • Development of our academic careers are embedded in the Aalto University quality policy and management. This was mentioned as one of our core strengths in HRS4RS award renewal assessment. • Aalto Code of Conduct summarizes the principles of fair play and integrity that govern our activities and sets out guidelines for the kind of behavior that we expect of each other. This was mentioned as a "EU best practice" in our HRS4R award renewal - assessment. 	<ul style="list-style-type: none"> • Female scientists are under-represented especially in technical fields. • Foreign faculty and their spouses need more support to adapt to Finnish society.

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National specificities

Constraints linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level, in particular in the topics addressed by WP5?

- In Finland, employee rights and equality aspects are regulated comprehensively by national legislation, but we also apply a number of our own policies and practices to ensure a good working environment and conditions for our researchers.
- What might be considered as constraints is the high barrier for positive discrimination actions in law, and the high barrier for collecting data on a range of minorities even for the goal of reducing discrimination

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5? *Professoriliitto, Professor union (employee organisation)*

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Event – Date

Best practices

Best practice (title)	Link (if available)
Code of Conduct , the process, its implementation (e-learning, roll out discussions etc)	https://www.aalto.fi/en/aalto-university/code-of-conduct
No separate » HR4RS» strategy! Instead HR4RS is integrated into the quality system and development of HR practices or researchers is part of normal HR development cycle and strategic planning	
Example of innovative new practices; Talent Search, in-house headhunting concept for attracting more (and more diverse) candidates to mainly professor positions	https://www.aalto.fi/en/services/aalto-talent-search-headhunting

Best practices will be analysed and included in the Handbook (dedicated template will be provided)

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Event – Date



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WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

*University Grenoble Alpes Grenoble INP
Lucie Jiraskova*

Some preliminary data

RESEARCHERS AND STAFF		RESEARCH FUNDING <i>(figures for most recent fiscal year)</i>	
N° total researchers <i>(including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)</i>	3714	Total annual organisational budget	130 786 260
Of whom are international <i>(i.e. foreign nationality)</i>	1027	Annual organisational direct government funding (designated for research)	67 070 715
Of whom are women	1477	Annual competitive government-sourced funding <i>(designated for research, obtained in competition with other organisations – including EU funding)</i>	40 610 147
Of whom are stage R3 or R4 <i>(Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)</i>	1997	Annual funding from private, non-government sources, designated for research	12 537 639
Of whom are stage R2 <i>(PhD holders or equivalent who are not yet fully independent)</i>	533		
Of whom are stage R1 <i>(up to the point of PhD; please detail the number of PhD candidates)</i>	2858		
N° Staff <i>(management and administrative staff)</i>	7686		

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Data reference date: 31/07/20
TF 5.1 Meeting 26 March 2021

HR organization chart

Describe the organisation of your HR structure only for researchers
Human resources (HR), health prevention, quality of life at work (QWL)

- HR Quality and Management Assistance
- Career Development Dpt.
- Social Environment Dpt.
- Individual and Collective Management Dpt.
- Specific Contracts Dpt.
- Payroll Coordination and Animation Service
- Health Centre
- Prevention Dpt.

Specify if there are dedicated units for the themes related to our WP5 (career development, brain circulation, talent promotion, gender and diversity, rewarding academic merit)

- Training and Career
- Health, well being and social support
- Gender and diversity

Are there institutional representatives for these themes?

e.g. Vice Rector/ Vice president / Rector's advisor for...

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TF 5.1 Meeting 26 March 2021

Description of researchers' career path

Outline briefly the career path of a researcher in your institution/country (main step from phd to the highest position)

Several parallel career paths exist to become teacher - researcher in France in HE institutions.

The candidates must pass the national exam to become teacher-researchers (called *enseignants-chercheurs*). The process of recruitment and amount of promotion are written in the law.

Are this information available on your website?

Do you perform specific information action to make researchers aware of this academic path?

[https://www.univ-grenoble-alpes.fr/university/flagship-projects/the-european-seal-of-approval-hr-excellence-in-research-hrs4r-/](https://www.univ-grenoble-alpes.fr/university/flagship-projects/the-european-seal-of-approval-hr-excellence-in-research-hrs4r/)

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TF 5.1 Meeting 26 March 2021

Institutional HR Strategy for researchers

Present the main pillars of your current HR Strategy for researchers

1. Principle of collaborative work - Valuing collectives
2. Interconnection or cross enrichment Training/Research
3. Relationship of the university with its environment - Citizen university
4. Recognition of work and people

Do you have any official documents (strategic plans, policy, etc.) regarding HR strategy for researchers?

UGA Strategy

HRS4R strategy

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TF 5.1 Meeting 26 March 2021

Institutional HR Strategy for researchers

With regard to the pillars you mentioned in the previous slide, please highlight briefly which are the main strengths and the gaps to be filled.

STRENGTHS	GAPS
<ul style="list-style-type: none"> • All the job offers for tutor researchers are published • The values and intentions for ethical and professional aspects are expressed in the main document of the University. • University has an excellent pool of cutting edge equipment. • Considerable support is provided for training (Directorate for Pedagogical support) 	<ul style="list-style-type: none"> • Some concerns about limited actions concerning discrimination in the workplace. • Job description for post doctoral positions are not always developed. • There is still a gap between men and women in the workplace. • There is a lack of knowledge of missions and duties for administrative and academic staff.

National specificities

Are there any constraints linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level, in particular in the topics addressed by WP5?

- In France, the universities are public and the HR management is regulated by the law.

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5? *The ministry of Higher Education.*

Best practices

Please suggest up to 3 best practices of possible interest for the Alliance (possibly at least one on career development support of early career researchers).

Best practices could be specific activities, initiatives, institutional processes etc. that you have carried out successfully and that are sufficiently replicable at the Alliance level.

Best practice <i>(title)</i>	Link <i>(if available)</i>
HRS4R strategy methodology – implication of the researchers	
Dealing with the recruitment of foreign researchers (Euraxess services) and legal affairs (visa and residence permit assistance)	
<i>Career development for researchers spouses and partners</i>	

Best practices will be analysed and included in the Handbook (dedicated template will be provided)

Link and resources

If you want, here you can share links and resources from your university relating to your Research HR Strategy and initiatives

<https://www.univ-grenoble-alpes.fr/university/flagship-projects/the-european-seal-of-approval-hr-excellence-in-research-hrs4r/>



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101017408



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UNITE.H2020

WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

Technical University of Darmstadt
Dr. Angela Müller

Some preliminary data

RESEARCHERS AND STAFF

N° total researchers <i>(including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)</i>	3.147
Of whom are international* <i>(i.e. foreign nationality)</i>	R1: 422; R2: 311 ca. R3: 12; R4: 24
Of whom are women	R4: 20% R1-3: ca. 26%
Of whom are stage R3 or R4 <i>(Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)</i>	R3: 57 R4: 285
Of whom are stage R2 <i>(PhD holders or equivalent who are not yet fully independent)</i>	362
Of whom are stage R1 <i>(up to the point of PhD; please detail the number of PhD candidates)</i>	2.443
N° Staff <i>(management and administrative staff)</i>	1.914

RESEARCH FUNDING

(figures for most recent fiscal year)

Total annual organisational budget	453,2 Mio. EUR
Annual organisational direct government funding (designated for research)	254,9 Mio EUR
Annual competitive government-sourced funding <i>(designated for research, obtained in competition with other organisations – including EU funding)</i>	141,1 Mio EUR
Annual funding from private, non-government sources, designated for research	57,2 Mio. EUR

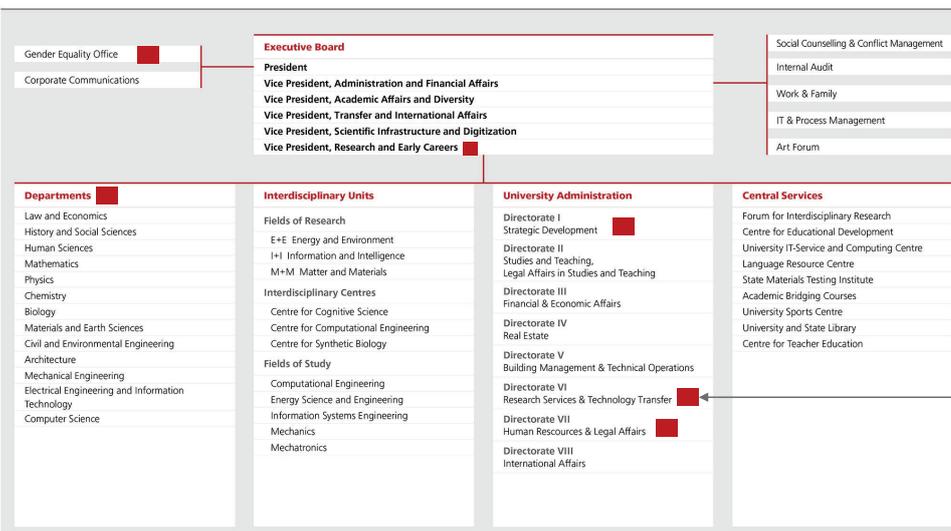
Data reference date: 12/2019

* data updated to December 2021

Event – Date

HR organization chart

Organisation of TU Darmstadt



Umbrella organisation for the promotion of ECR

Ingenium

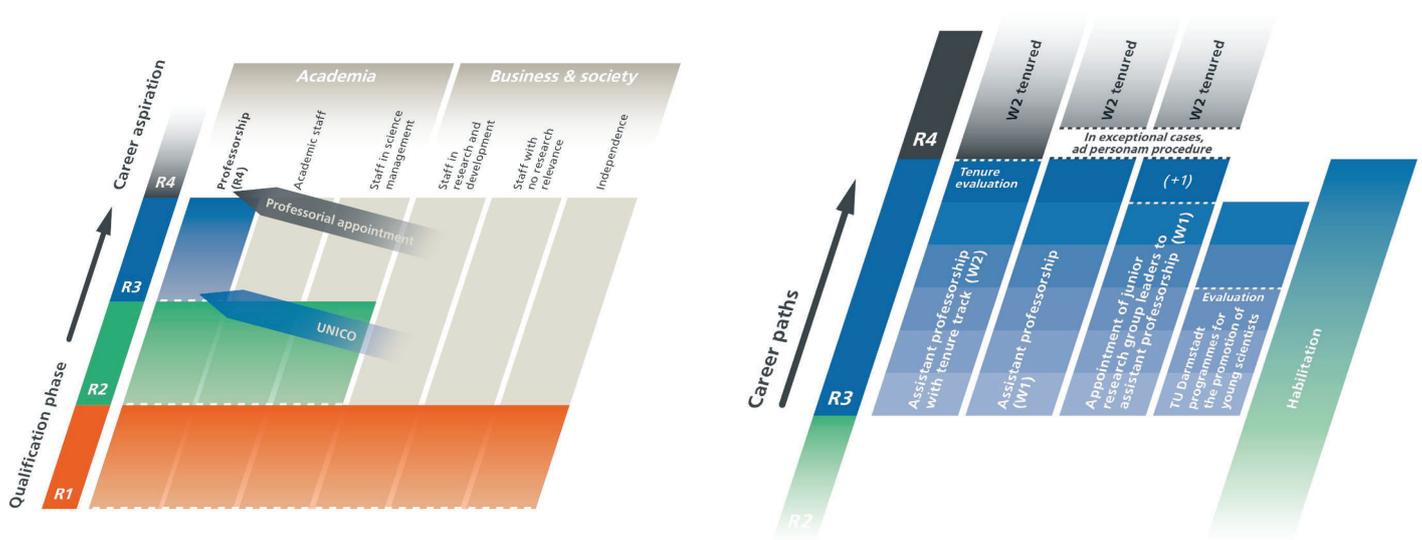
Young Researchers at TU Darmstadt

(As of: 12/2020)

UNITE.H2020 GA n. 101017408

Event – Date

Description of researchers' career path



Early Career Researchers - The Strategy at TU Darmstadt

UNITE.H2020 GA n. 101017408

Event – Date

Institutional HR Strategy for researchers

Main pillars of current strategy for the promotion of researchers (R1 – R3):

- Acquiring Talents
- Developing Skills
- Creating Transparency
- Shaping Transitions
- Promoting Permeability
- Planning Career Paths



Do you have any official documents (strategic plans, policy, etc.) regarding HR strategy for researchers?
 strategy ECR (2017), research strategy & internationalisation strategy (2020), diversity strategy (in process)

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Event – Date

Institutional HR Strategy for researchers

STRENGTHS	GAPS
<ul style="list-style-type: none"> • Grown & established structures with high acceptance • Continuous support structure for ECR for multiple career aims • Attractive Tenure Track Model • Encompassing strategy for supporting Early Career Researchers 	<ul style="list-style-type: none"> • Encompassing HR strategy for researchers • Central research marketing (esp. recruitment of excellent international researchers) • Support for individual research ideas (in contrast to excellent collaborative research) • Dealing with intellectual property • Encompassing evaluation of scientific

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Event – Date

National specificities

- Recruitment and selection process (public selection process/open competition)
- National employment law
- Collective agreements of the TU Darmstadt
- Social security law
- Tax law
- Right of residence
- Data protection (DSGVO and German data protection law)
- Legal participation rights of interest groups

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5? E.g. Research performing organisations' associations ...

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Event – Date

Best practices

Best practice (title)	Link (if available)
Career Bridging Grant	https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/post_docs/career_bridging_grants/index.en.jsp
Mobility Grant	https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/post_docs/mobilitaetsstipendium/index.en.jsp
Athene Young Investigator Programme	https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/qualifikationsphase_fuer_eine_professur/athene_young_investigator/index.en.jsp
Appointment of ECR/junior research group leaders to assistant professors	https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/qualifikationsphase_fuer_eine_professur/assistantprofessuren/index.en.jsp
Tenure Track Model	https://www.intern.tu-darmstadt.de/verwaltung/dez_ij/ref_ia/informationen_zum_berufungsverfahren/tenureleitfaden/index.en.jsp

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Link and resources

- **Early Career Researchers:** https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/index.en.jsp
- **Ingenium:** <https://www.tu-darmstadt.de/ingenium>
- **Qualification phase for a Professorship:** https://www.tu-darmstadt.de/forschen/wissenschaftlicher_nachwuchs_tu/qualifikationsphase_fuer_eine_professur/index.en.jsp

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101017408



unite!

University Network for Innovation,
Technology and Engineering



UNITE.H2020

WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

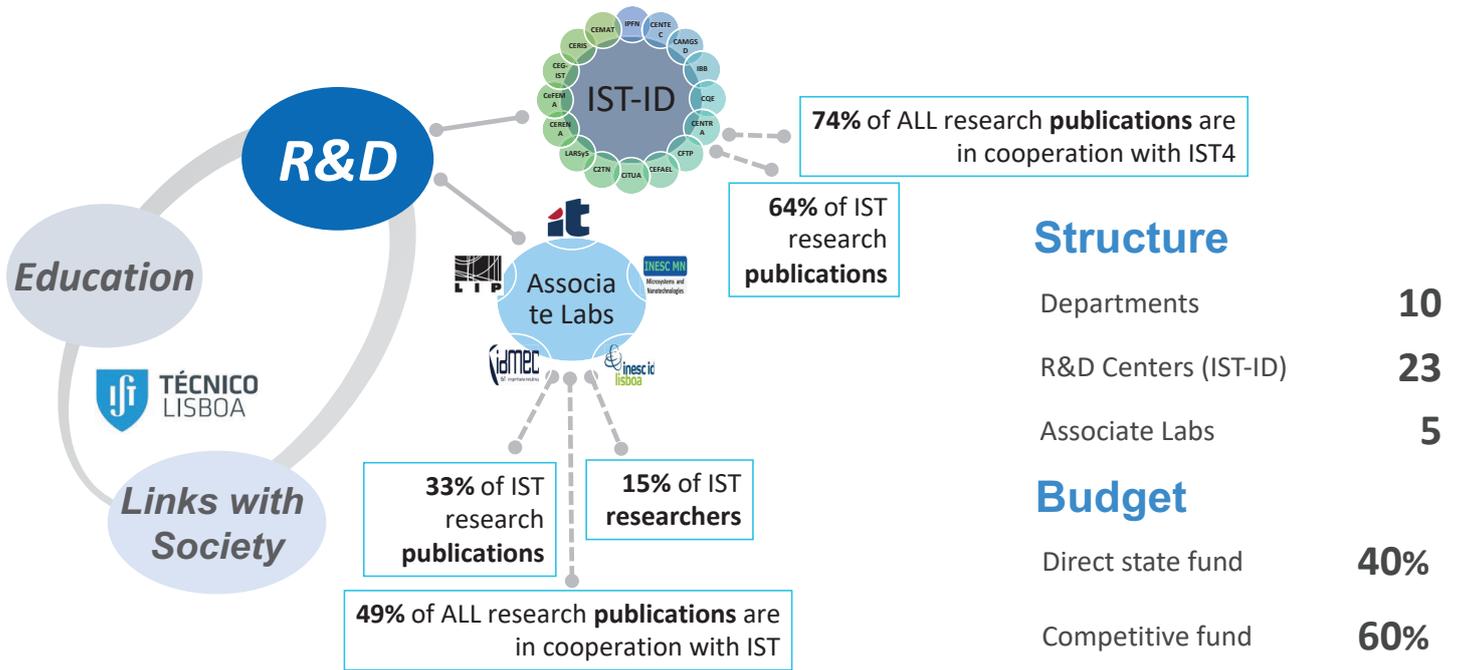
*Universidade de Lisboa – Instituto Superior Técnico
Helena Maria Ramos*



TÉCNICO LISBOA

Tecnico' ecosystem

- 28 research units
- >1290 research staff
- Represents 6,5 % of the national mass
- Represents 20% in the scientific areas evaluated by FCT (Fundação para a Ciência e Tecnologia)



UNITE.H2020 GA n. 101017408

W5 workshop – 26/03/ 2021

Some preliminary data - RESEARCHERS AND STAFF

RESEARCHERS AND STAFF

	IST	IST ID	TOTAL
N° total researchers <i>(including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)</i>	987	303	1290
Of whom are international <i>(i.e. foreign nationality)</i>	68	79	148
Of whom are women	283	118	401
Of whom are stage R3 or R4 <i>(Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)</i>	376	3	379
Of whom are stage R2 <i>(PhD holders or equivalent who are not yet fully independent)</i>	525	266	791
Of whom are stage R1 <i>(up to the point of PhD; please detail the number of PhD candidates)</i>	86	34	120
N° Staff <i>(management and administrative staff)</i>	691	46	737

UNITE.H2020 GA n. 101017408

Data reference date: 31/12/20

W5 workshop – 26/03/ 2021

Some preliminary data - RESEARCHERS AND STAFF

Acrónimo	Nº Total de investigadores Integrados (da ULisboa e externos à ULisboa)	Investigadores da Ulisboa (N.º total de investigadores...)							
		integrados	Integrados de nacionalidade estrangeira	integrados com PhD	doutorados de nacionalidade estrangeira	integrados Pós-Doc	contratados	bolseiros	técnicos e administrativos
MARETEC	44	42	9	24	4	8	14	28	3
CEAFEL (*)	40	28	2	22	2	3	1	8	1
CAMGSD	97	90	27	67	15	9	11	23	0
CENTEC	87	73	42	32	14	15	7	43	0
CEG-IST	39	32	0	32	0	0	0	0	1
IN+	82	70	3	31	12	3	2	21	2
CeFEMA	86	64	1	45	13	11	0	36	2
CFTP	33	24	4	16	4	0	6	8	1
CEMAT	92	48	12	34	11	4	2	9	1
CQE	309	309	48	179	32	25	37	115	1
CERENA	118	91	7	60	3	16	11	38	3
CENTRA	72	63	13	27	12	6	11	15	5
CEris	424	200	14	140	9	9	23	65	3
IBB	148	148	9	73	5	4	32	71	3
IPFN	153	153	14	103	14	103	103	16	11
ISR	156	131	27	47	6	2	18	83	5
C2TN	83	80	6	80	6	9	18	9	12
CiTUA	37	26	1	21	0	1	1	3	1
IDMEC	182	89	2	87	2	5	10	42	6
INESC-ID	375	107	5	106	5	0	0	5	0
INESC-MN	50	34	2	5	0	0	0	29	0
IT	350	42	0	42	0	0	0	0	0
LIP	171	34	5	24	5	0	13	0	0
Unidades Próprias	2100	1672							
Unidades Associadas	1128	306							
	3228	1978							

UNITE.H2020 GA n. 101017408

W5 workshop – 26/03/ 2021

Some preliminary data – RESEARCH FUNDING

RESEARCH FUNDING

(figures for 2019)

Total annual organisational budget	95 675 828,46 €
Total annual budget (RESEARCHERS AND STAFF)	69 165 382,70 €
Annual organisational direct government funding (designated for research)	0,00 €

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W5 workshop – 26/03/ 2021

Some preliminary data – RESEARCH FUNDING

RESEARCH FUNDING

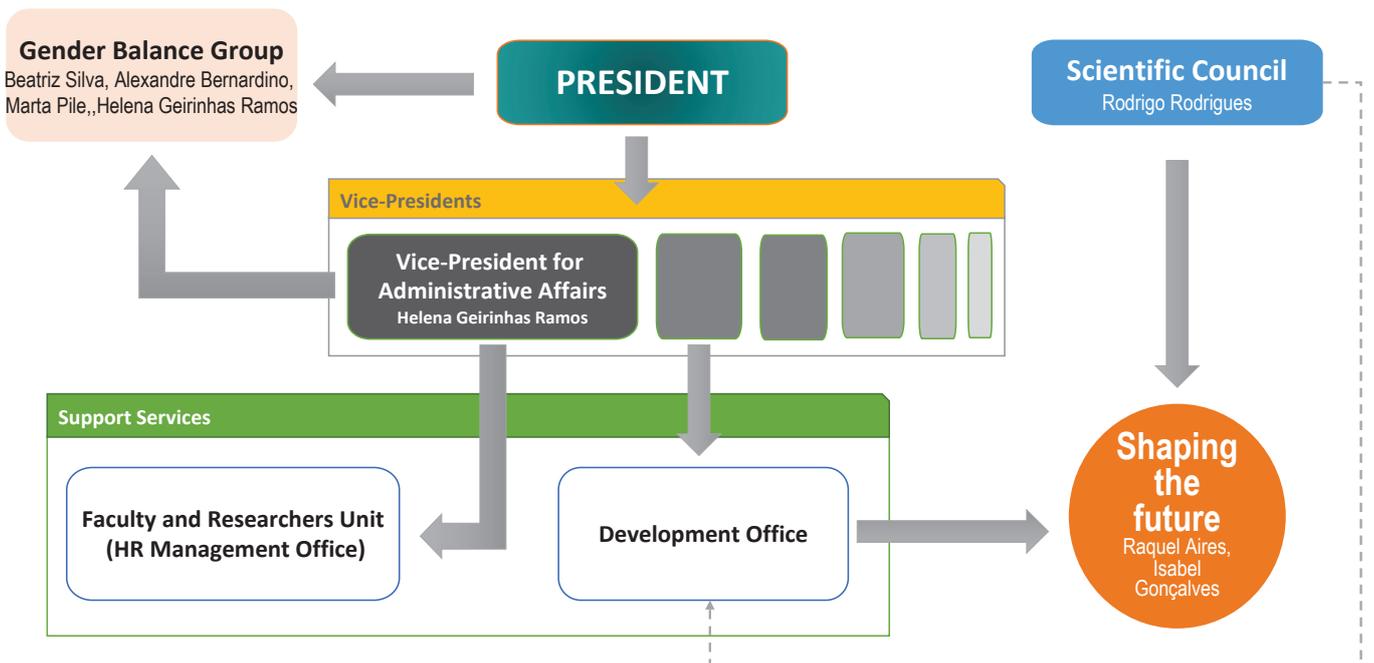
(figures for 2019)

	IST-ID	Associated Units
Annual organisational direct government funding (designated for research)	8 076 704,00 €	5 534 011,00 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	22 268 571,00 €	10 861 253,00 €
Annual funding from private, non-government sources, designated for research	2 266 495,00 €	3 117 238,00 €
SUM	32 611 770 €	19 512 502,00 €

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W5 workshop – 26/03/ 2021

HR organization chart - IST



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W5 workshop – 26/03/ 2021

HR organization chart - IST

There are dedicated units for the themes related to WP5 with Institutional Representatives:

- career development - **Development Office, Shaping the future** (Pedagogic Council/Scientific Council/Academic)
- talent promotion – **Communication Office**
- gender and diversity - **Gender Balance Group**
- rewarding academic merit - **Scientific Council**

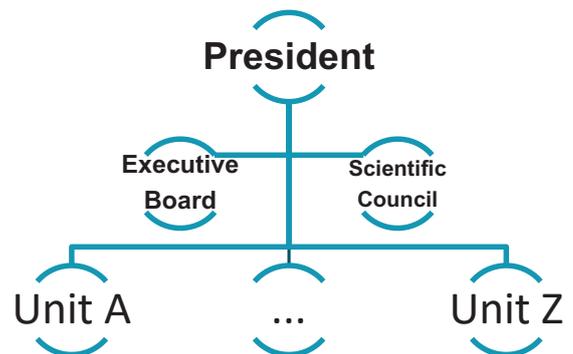
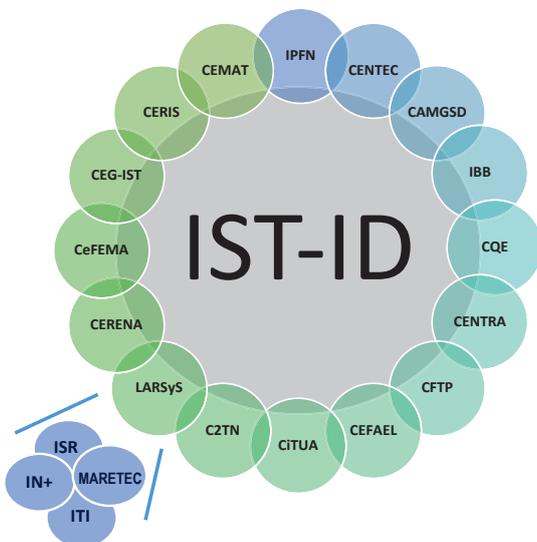
Vice-President for Administrative Affairs – Helena Geirinhas Ramos (include human resources department)

Gender Balance Group – Beatriz Silva, Alexandre Bernardino, Marta Pile, Helena Geirinhas Ramos (around 10 people)

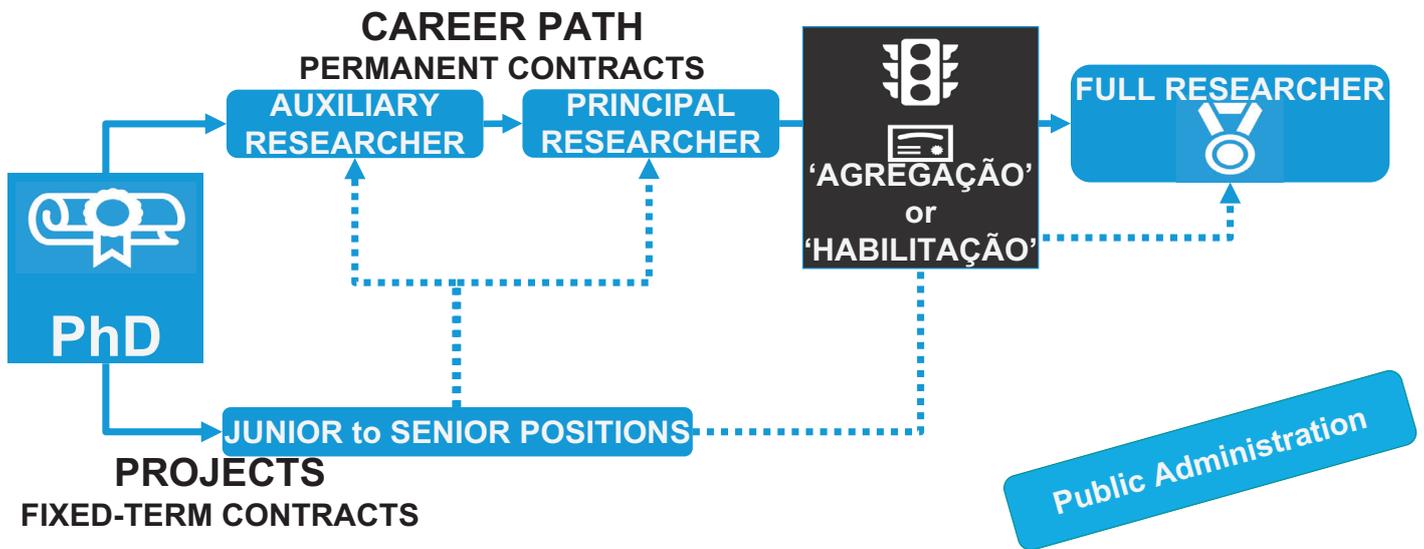
Scientific Council – Regulations to reward academic merit – Rodrigo Miragaia Rodrigues

Shaping the future – IST Welcome programme to professors and researchers – Pedagogic Council/Scientific Council/**Academic Development Office** -Teresa Peña & Rodrigo Miragaia Rodrigues & Isabel Gonçalves

HR organization chart – IST-ID



Description of researchers' career path - CAREER DEVELOPMENT



<http://drh.tecnico.ulisboa.pt/investigadores/>
<http://drh.tecnico.ulisboa.pt/workingtecnico/>

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Description of researchers' career path - CAREER HIGHLIGHTS

- Open-end/permanent contracts
- Recruitment by open competitive calls
- Large trial periods
- Full-time contracts
- Non-exclusivity is penalized
- Performance assessment

HIGHLIGHTS

RECRUITMENT

- International CALLS
- Documental
- Non-mandatory public hearings
- Evaluation by jury/panel:
 - Professors/researchers higher position
 - Scientific field
 - Majority of external members
 - Detailed meeting minutes and votes
- **AUXILIARY**
 - PhD in the scientific field
- **PRINCIPAL**
 - PhD in the scientific field > 5 Years
- **FULL**
 - PhD in the scientific field > 5 Years
 - “AGREGAÇÃO” or “HABILITAÇÃO”

<https://ist-id.pt/concursos/emprego-cientifico-projetos/>

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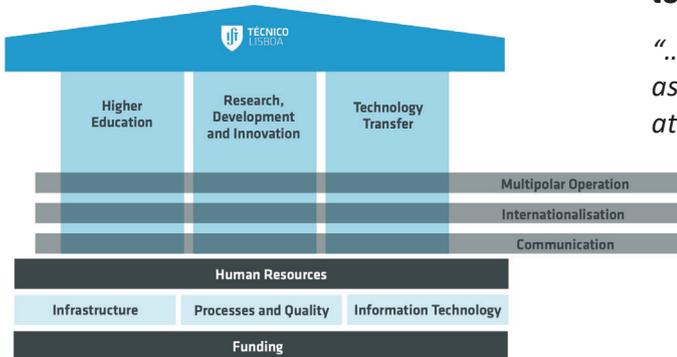
W5 workshop – 26/03/ 2021

Institutional HR Strategy for researchers

IST Strategic Plan

Human Resources: Attract, keep and motivate top talents

“...talents can be properly integrated in the organization, as well as providing an exciting work environment and attractive career development opportunities.”



Documents regarding HR strategy for researchers?

<https://tecnico.ulisboa.pt/files/2015/07/plano-estrategico-2015.pdf> (2015)

<https://aepq.tecnico.ulisboa.pt/files/sites/22/20200618planoatividades2020.pdf>

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W5 workshop – 26/03/ 2021

Main pillars of current HR Strategy for researchers

• Leading Research

Maintaining and reinforcing IST's position as a leading research institution is a major objective.

- Development of support structures and mechanisms that lead to increased participation in internationally-funded large-scale projects, with special focus on cutting-edge subjects and crossdisciplinary areas.
- Investment in renewed infrastructure that supports specific areas with a strong experimental component.
- Maintenance and reinforcement of existing evaluation and assessment processes of researchers and units.

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Main pillars of current HR Strategy for researchers

• Internationalization

Improve the conditions for conducting research, based on modern research infrastructure, anchored in a growing policy of multi-disciplinary and cutting-edge projects:

- Boost participation in international projects
- Investment in new scientific infrastructure
- Increase the number of international researchers
- Internationalisation through researchers' mobility

W5 workshop – 26/03/ 2021

Main pillars of current HR Strategy for researchers

- **Human Resources**

The future of IST is determined by the talent, the capabilities and the skills of our community.

- Attract, keep and motivate top talents
- Foster internationalisation of the faculty and the staff
- Fully integrate the research faculty and the postdocs into the IST community
- Improve the skills and capabilities of the staff
- Reduce administrative tasks of the faculty and the research staff
- Promote gender equality in all aspects

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Institutional HR Strategy – GENDER EQUALITY PLAN

Strategic objectives

Técnico develops today a set of actions and initiatives in order to promote inclusion in general, taking specially into account the promotion of gender balance.

Focus Areas

A - Equal access to employment: recruitment and selection

Promoting balanced representation of men and women in working teams within all activities

B - Performance evaluation and career progression

Promoting gender balance in the decision-making field and professional development in all careers

C - Internal and external information and communication

Raise awareness within Técnico community regarding gender balance issues

D – Work-life balance

Foresee and disseminate different ways of support to achieve a proper work-life balance of Técnico staff that ensures equal opportunities.

STRENGTHS	GAPS
<ul style="list-style-type: none"> • Level of Quality of Research Units • The country attractiveness • The IST Scientific outreach in rankings • Top Tier researchers in some Scientific Domains/Areas • Financial Support from the FCT (National Foundation for Science & Technology) 	<ul style="list-style-type: none"> • Recruitment barriers in public administration • Absence of Spouses programme to attract researchers due to national regulations • Insufficient amount of Research Infra-structures

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National specificities

Are there any constraints linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level, in particular, in the topics addressed by WP5?

National regulations for Professors and Researchers – limitations on salaries and definitive contracts

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5?

FCT (National Foundation for Science and Technology);

ABIC (National Associations of Scientific Fellows);

DGEC/MCTES (Science and Higher Education Ministry)

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Best practices

Best practice	Link
POST PARENTAL LEAVE	https://tecnico.ulisboa.pt/en/news/campus-community/tecnico-takes-unprecedented-measure-post-parental-leave/
NURSERY	http://apist.tecnico.ulisboa.pt/infantario.html
SHAPING THE FUTURE INITIATIVE	http://shapingthefuture.tecnico.ulisboa.pt/en/
MARIA DE LOURDES PINTASILGO AWARD	https://tecnico.ulisboa.pt/pt/viver/dia-a-dia/diversidade-e-igualdade-de-genero/premio-maria-de-lourdes-pintasilgo/

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Best practices - Post Parental Leave



[Support Parenthood Faculty Staff: 2017]

IST implements new actions for supporting parenthood. Faculty may be exempted from teaching immediately after returning from parental leave (both women and men).

Best practices – Nursery



Nursery in the Campus with reduced fees

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Best practices - Shaping the Future



Shaping the Future - promotes the integration and adaptation of junior faculty and researchers to IST's culture

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W5 workshop – 26/03/ 2021

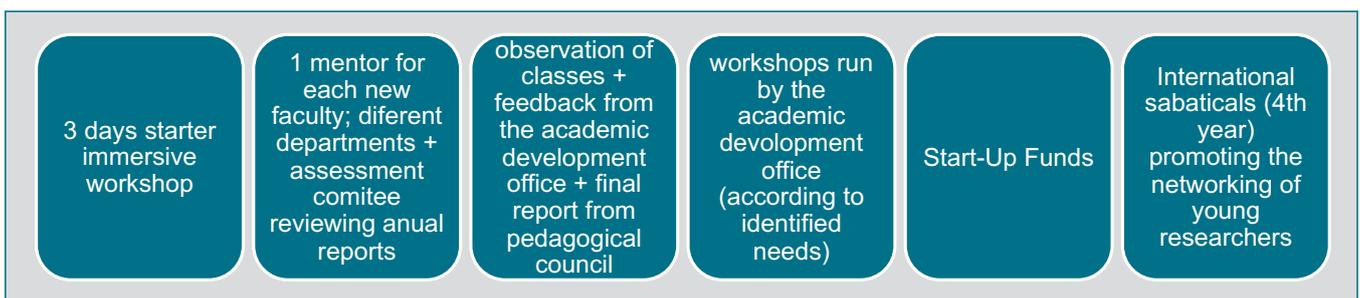
Best practices - Shaping the Future



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Best practices - Shaping the Future



<http://shapingthefuture.tecnico.ulisboa.pt/>



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Best practices - Maria de Lourdes Pintasilgo Award

To acknowledge the paramount role of women in STEM

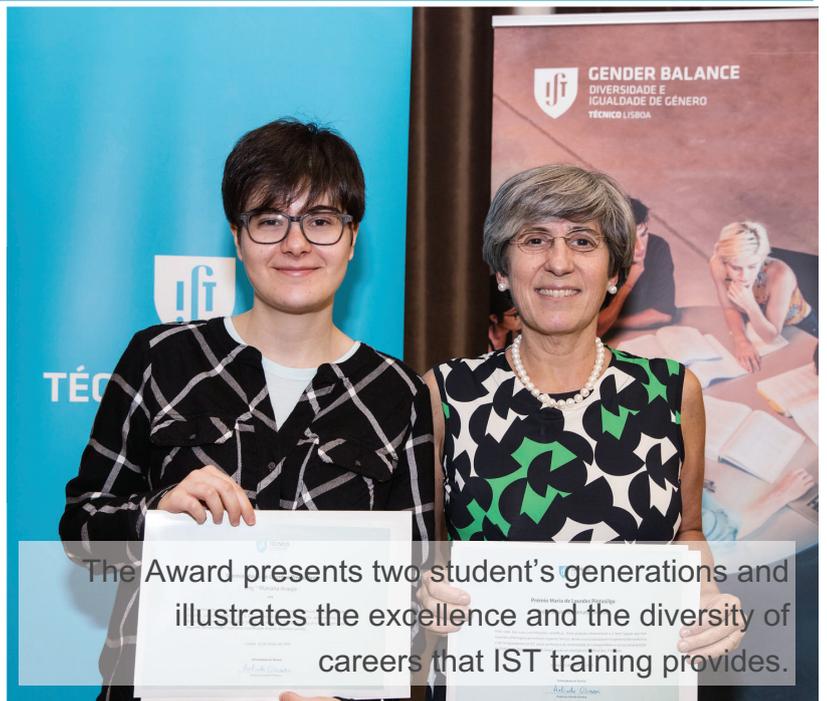


Técnico established the Maria de Lourdes Pintasilgo Award as a way to promote her outstanding contribution as an Engineer, alumna and national leader with a decisive role and impact on Portuguese society.

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Best practices - Maria de Lourdes Pintasilgo Award

To acknowledge that there are outstanding women who have major roles in the society and present them as role models for new candidates and engineering students



The Award presents two student's generations and illustrates the excellence and the diversity of careers that IST training provides.

<https://tecnico.ulisboa.pt/pt/viver/dia-a-dia/diversidade-e-igualdade-de-genero/premio-maria-de-lourdes-pintasilgo/>

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Link and resources

- **IST Strategic Plan** - IST main strategic directions 2015-2021 (new strategic plan in progress)
https://www.ist.utl.pt/files/sobre-IST/plano_estr_pt.pdf (2010)
<https://tecnico.ulisboa.pt/files/2015/07/plano-estrategico-2015.pdf> (2015)
<https://aepq.tecnico.ulisboa.pt/files/sites/22/20200618planoatividades2020.pdf>
- **Shaping the Future** – IST Program for Teachers and Researchers with the mission of facilitating the full integration of their academic experience inside IST and their Department, at the same time transmitting the school's ethical values and good institutional practices, welcoming them and supporting them in their career planning in alignment with IST's strategic plan
<http://shapingthefuture.tecnico.ulisboa.pt/en/apreciacao-do-periodo-experimental/>
http://shapingthefuture.tecnico.ulisboa.pt/files/sites/69/ist_-_conditions-tenuretrackpositions_20180109.pdf
- **Diversity and Gender Balance at IST** - IST develops today a set of programmes and initiatives in order to promote inclusion in general, taking specially into account the promotion of gender balance
<https://tecnico.ulisboa.pt/pt/viver/dia-a-dia/diversidade-e-igualdade-de-genero/>



TÉCNICO LISBOA

Obrigada



This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101017408



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UNITE.H2020

WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

Universitat Politècnica de Catalunya · BarcelonaTech
Dr. Vicenc Fernandez

Some preliminary data

RESEARCHERS AND STAFF

N° total researchers (including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)	2041
Of whom are international (i.e. foreign nationality)	220
Of whom are women	553
Of whom are stage R3 or R4 (Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)	1386
Of whom are stage R2 (PhD holders or equivalent who are not yet fully independent)	137
Of whom are stage R1 (up to the point of PhD; please detail the number of PhD candidates)	387 ¹
N° Staff (management and administrative staff)	5153 ²

RESEARCH FUNDING

(figures for most recent fiscal year)

Total annual organisational budget	303,892,347 euros
Annual organisational direct government funding (designated for research)	98,986,119 euros
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	92,929,923 euros
Annual funding from private, non-government sources, designated for research	16,140,107 euros

Data reference date: **01/01/2021**

March 26°, 2021

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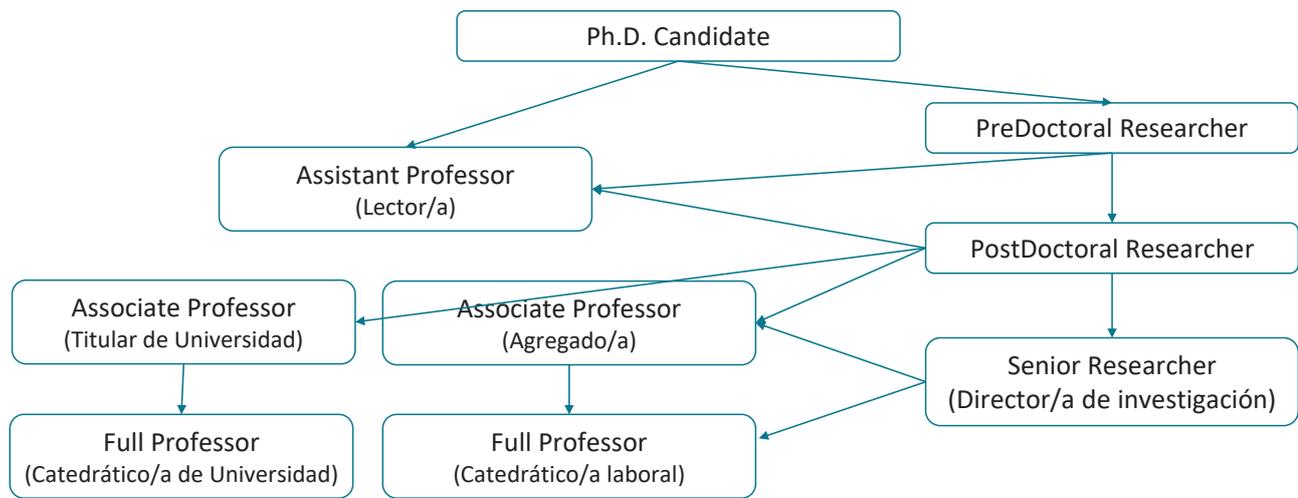
HR organization chart

Functions	Units / Office / Bureau	Institutional Representatives
Recruitment	Department of People Management (55) The R&D Personnel and Employment Support Staff Unit (9)	Vice-rector for Teaching and Research Staff Policy Vice-rector for Science Policy
Training	Institute of Education Sciences (12) Doctoral School (2) UPC Alumni Support Office	Vice-rector for Assessment and Quality Vice-rector for Science Policy Vice-rector for Teaching and Students
Performance Management	Planning, Evaluation and Quality Office (15)	Vice-rector for Assessment and Quality
Mobility	International Relations Bureau (12)	Vice-rector for International Policy
Legal Issues	Legal and Agreements Services (6)	General Manager
Contractual Agreements	Department of People Management (55)	Vice-rector for Teaching and Research Staff Policy
Other issues	Innovation and Community Office (17)	Vice-rector for Social Responsibility and Equality

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Description of researchers' career path



Are this information available on your website? *Yes*

Do you perform specific information action to make researchers aware of this academic path?

Yes, <https://portal.personal.upc.edu/rrhh/PDI/index> (in only for UPC staff)

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Institutional HR Strategy for researchers

Human Resources Strategy for Researchers (Action Plan 2019-2022)

- <https://rdi.upc.edu/ca/el-centre/hrs4r/human-resources-strategy-for-researchers>

III Gender and Equality Plan (2016-2020)

- <https://igualtat.upc.edu/ca>

New Ethical Code
in Progress

Academic Career

- Academic Staff Promotion Programme → From Associate to Full Professor
- Employment Stabilisation Programme for Teaching and Research Staff → From Assistant to Associate Professor

Performance and Academic Activity

- Recognition of Academic Activity (indicators system)
- Teaching Performance Evaluation and Monitoring System for Academic Staff

Assesment of Research Staff (Spanish & Catalan Government)

- Basic Research Premium (six-yearly increment) for Academic Staff

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Institutional HR Strategy for researchers

With regard to the pillars you mentioned in the previous slide, please highlight briefly which are the main strengths and the gaps to be filled.

STRENGTHS	GAPS
<ul style="list-style-type: none"> UPC has a very extensive staff website, Portal del Personal, which offers very comprehensive and systematized information. All academic staff has a personal intranet where to see all their activities, and their teaching, research, and management assessment. The creation of the Innovation and community office, which includes the former equality office and sustainability cabinet, and data protection office. The increase of transparency by improving the recruitment information provided via Web page. 	<ul style="list-style-type: none"> UPC does not have sufficient autonomy, nor independent economic means, to guarantee the stability of jobs beyond the provisions of state legislation itself. Lack of a personalized advisory service especially in regards to the academic career, to researchers R1 and R2, that contemplate further opportunities. Many committees are set up weekly, without time for adequate training for its members or for offer proper feedback to unselected candidates due to the high number of selection processes. A delay in the creation of the new ethical committee, and the updated ethical code.

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National specificities

Are there any constraints linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level, in particular in the topics addressed by WP5?

- To apply for any kind of professors position, candidates need to get a accreditation from ANECA or AQU.
- To apply for an associate professor, candidates require a two-year contractual break in the contract.

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5?

ANECA: The National Agency for Quality Assessment and Accreditation of Spain, ANECA, is a Autonomous Body whose aim is to provide external quality assurance for the Spanish Higher Education System → Research Accreditation for the Assistant, Associate and Full Professors Positions.

AQU: The Catalan University Quality Assurance Agency, AQU Catalunya, is the main instrument for the promotion and assurance of quality in the Catalan higher education system → Research Accreditation for the Assistant, Associate and Full Professors Positions.

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Best practices

Please suggest up to 3 best practices of possible interest for the Alliance (possibly at least one on career development support of early career researchers).

Best practices could be specific activities, initiatives, institutional processes etc. that you have carried out successfully and that are sufficiently replicable at the Alliance level.

Best practice	Link (if available)
All academic staff has a personal intranet where to see all their activities, and their teaching, research, and management assessment.	https://www.upc.edu/gpaq/ca/que-fem-1/planificacio-i-avaluacio-del-pdi
Based on a traffic light rating system , all academic staff can compare their assessment with a selected group, such as the whole university, staff from the same department, from the same school, or with the same position.	https://www.upc.edu/portaldades/ca/informacio_pdi/regim_dedicacio
Survey research project leaders and a sample of our staff: Assess the level of knowledge of their legal and contractual obligations; Gather suggestions for potential improvements in the selection process, in the assessment process; Careers advice; and transparency	No link
A website for the scientific production of UPC researchers	https://futur.upc.edu/

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101017408





UNITE.H2020

WP5 - Strengthening human capital

Task 5.1 Setting the framework for the UNITE! HRS4R

Institutional Research HR Strategy

KTH Royal Institute of Technology

Petra Rosenquist

UNITE.H2020 GA n. 101017408

Event – Date

Some preliminary data

RESEARCHERS AND STAFF

N° total researchers <i>(including fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)</i>	2 620
Of whom are international <i>(i.e. foreign nationality)</i>	1 074
Of whom are women	648
Of whom are stage R3 or R4 <i>(Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor)</i>	1 299
Of whom are stage R2 <i>(PhD holders or equivalent who are not yet fully independent)</i>	420
Of whom are stage R1 <i>(up to the point of PhD; please detail the number of PhD candidates)</i>	936
N° Staff <i>(management and administrative staff)</i>	3 682

RESEARCH FUNDING

(figures for most recent fiscal year)

Total annual organisational budget	€ 548 801 530
Annual organisational direct government funding (designated for research)	€ 121 178 059
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	€ 110 529 377
Annual funding from private, non-government sources, designated for research	€ 65 666 874

Data reference date: 31/12/20

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Event – Date

HR organization chart

Describe the organization of your HR structure only for researchers

- KTH is both a university and a government agency. The President is head of authority and leads KTH's activities under the University Board.
- The core business of education and research is organized in five schools. The schools are led by Head of Schools who are subordinate to the President who has a joint operational support at their disposal.
- Recruitment of Assistant professors, Associate professors, Professors and promotions within Tenure Track is performed centrally by an appointment committee with support from HR. Nomination of affiliated faculty is performed centrally in cooperation with the schools.
- Recruitment of lecturers and nomination of docentships is performed jointly between the schools and central KTH with support from HR.
- Recruitment of Researchers, Post doctors, Doctoral students and Research engineers is performed locally at the schools, also with support from HR.

UNITE.H2020 GA n. 101017408

Event – Date

HR organization chart

Describe the organisation of your HR structure only for researchers

Teachers/researchers positions at KTH:

- Professor
- Visiting professor
- Called professor (exceptional cases)
- Associate professor
- Assistant professor
- Adjunct professor
- Lecturer
- Teaching staff on artistic grounds
- Postdoctoral researcher
- Researcher
- Research engineer
- Doctoral student

The appointment procedure at KTH regulates the proportion of teaching and research for respectively position. For Doctoral students this is regulated in the national Higher Education Ordinance.

UNITE.H2020 GA n. 101017408

Event – Date

HR organization chart

Specify if there are dedicated units for the themes related to our WP5 (career development, brain circulation, talent promotion, gender and diversity, rewarding academic merit)

- **Faculty Council** - A university-wide body for KTH's work on quality development and collegial dialogue. Overall responsibility for developing the quality in KTH's education, research and community collaboration as well as in recruitment and promotion processes for teacher employment [Faculty Council | KTH Intranet](#)
- **Human Resources** – Support all kinds of recruitments and promotions. Organizes and performs staff training and competence development. [Staff training and development | KTH Intranet](#)
- **Equality Office** - Is a unit within HR that coordinates and support KTH's overall work within diversity, equality and values.
- **Relocation** – Is a unit within HR that supports newly hired teachers and researchers from abroad to relocate in Sweden and KTH. [Welcome to KTH Relocation | KTH](#)
- **Partners in learning (PIL)** - [Tenure Track | KTH Intranet](#) PIL is a support for employees in the first steps of tenure track and serves as preparation for promotion to Associate professor. Partners-In-Learning aims to create an exchange between assistant lecturers and more senior employees at KTH.

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HR organization chart

- **Research Support** - Provides support to researchers and KTH staff in several areas of external research funding, contract management, project and financial management, IP and commercialization, scholarships, grants and more. [Research support | KTH Intranet](#)
- **Research Support Office** - Provides support for research collaboration leaders through thematic seminars, online canvas courses and best practice networking [Support for Research Collaboration Competence | KTH Intranet](#)
- **Competence Centers** - Research at KTH's competence centers addresses newer subject areas, and is often carried out in collaboration with business life and various societal bodies. The majority of the centers are maintaining close connections with industry. Some are also acting as liaison offices between KTH and other universities. [Competence centres | KTH Intranet](#)
- **Research centers at the schools** - The KTH Schools are responsible for education and research activities at KTH. At the different KTH Competence Centers activities are conducted; these often pertain to new research areas and frequently involve joint efforts with business life and the community. Each of the KTH Centers do always have a formal connection of some kind with one of KTH's Schools.
- **International mobility** - Job shadowing, sabbatical for teachers and international staff exchange for teachers and administrators. [Staff exchange and mobility | KTH Intranet](#)

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HR organization chart

Are there institutional representatives for these themes?

Vice president for Global Relations [KTH | Stefan Östlund](#)

Vice president for Equality and Diversity [KTH | Anna Wahl](#)

Vice president for Research [KTH | Annika Stensson Trigell](#)

Vice president for Digitalization [KTH | Jan Gulliksen](#)

Vice president for Education [KTH | Leif Kari](#)

Vice president for Sustainability [KTH | Per Lundqvist](#)

Dean of faculty [KTH | Anders Forsgren](#)

Head of Personel [KTH | Annica Fröberg](#)

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Description of researchers' career path

Outline briefly the career path of a researcher in your institution/country (main step from phd to the highest position)

Doctoral students

The development takes place through progression in research projects and with the help of courses that are available for KTH doctoral students. Supervisors are key people as they guide the student in the development towards being an independent researcher. The individual study plan is a joint tool for doctoral student and the supervisor in order to follow-up the progress. During the time as a doctoral student, many networks with colleagues at other universities, the industry and other organizations will be created; a stepping-stone after the doctoral studies. [Doctoral student at KTH | KTH Intranet](#)

Postdoctoral researchers

As a first step after the doctoral degree, there is the opportunity to do research as a postdoctoral reseracher. As a postdoctoral fellow at KTH, one develop further in the scientific skills, one contribute to the research area and get the opportunity to build up research networks and participate in teaching.

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Description of researchers' career path

Outline briefly the career path of a researcher in your institution/country (main step from phd to the highest position)

Tenure Track [Tenure Track | KTH Intranet](#)

The KTH Tenure Track for young researchers/teachers is aimed at those applying for a post as assistant professor at KTH. When admitted to Tenure Track the employee is offered a career development programme (Partners in Learning), which includes networking, support for scientific and teaching development and leadership training. The career development support also clarifies what is required for further qualifications as Associate professor and Professor.

Following teaching positions are included in the tenure track: **Professor, Associate professor and Assistant professor.**

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Description of researchers' career path

Outline briefly the career path of a researcher in your institution/country (main step from phd to the highest position)

Researchers

With all the challenging tasks in research, one will develop in research projects and collaborations. Except for courses related to research there are also opportunities to attend teaching courses and to apply for lecturer or teaching positions.

Teachers

A teacher can take part in collaboration projects and in teacher training courses. What responsibility one take in KTH education and research depends on type of teacher role.

Teaching and Learning in Higher Education and Academic Teaching at KTH

KTH's courses in Teaching and Learning are developed according to the national SUHF's recommendations for qualifying and may be included in the requirement for 15 credits in academic teaching for employment or promotion to a teaching position at KTH. [Overview of courses in Teaching and Learning at KTH | KTH Intranet](#)

Description of researchers' career path

Outline briefly the career path of a researcher in your institution/country (main step from phd to the highest position)

Docentship

Docent at KTH is an academic title that shows a higher scientific competence than a doctoral degree and is a pedagogical competence marking. Becoming accepted as a docent, is part of an academic career in which teachers and researchers through main supervision for doctoral students can build up their own research groups, etc. [Apply for docentship | KTH Intranet](#)

Development dialogues

All employees at KTH have the right to development dialogue with their immediate superior at least once a year. Employee dialogues are a well-prepared systematic and structured dialogue by both manager and employee in order to jointly arrive at an individual action and development plan for the employee. The plan is a support to achieve the organizational goals. In this way, all employees have the opportunity to influence their and the working group's development. [Development dialogues | KTH Intranet](#)

Life and Career Planning - KTH encourages both internal and external professional mobility by offering the employees the possibility to take part in a life and career planning program. [Life and Career Planning | KTH Intranet](#)

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Institutional HR Strategy for researchers

Present the main pillars of your current HR Strategy for researchers

KTH has four pillars which are defined in the University Strategic plan and based on KTH Development plan 2018-2023:

- **Sustainability**
- **Gender equality**
- **Digitalization**
- **Internationalization**

As a starting point in all activities conducted within KTH, whether it concerns education, research or operational support, the four pillars of sustainability, gender equality, digitalization and internationalization should be taken into account and integrated.

KTH has also applied for "HR Excellence in Research" award, in order to continuously develop its personnel policy in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

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Institutional HR Strategy for researchers

Do you have any official documents (strategic plans, policy, etc.) regarding HR strategy for researchers?

Overall steering documents:

- **KTH Development plan 2018-2023** is one of KTH's target documents and shows the direction that the University Board has decided on for KTH in the coming years.
- **KTH University strategic plan** contains strategic orientations and priorities for the university's activities and resource allocation every coming year and is based on the Development plan.

Other steering documents:

- KTH also has specific internal steering documents, among others related to recruitment, work conditions, career development and ethics which are in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

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Institutional HR Strategy for researchers

With regard to the pillars you mentioned in the previous slide, please highlight briefly which are the main strengths and the gaps to be filled.

STRENGTHS	GAPS
<ul style="list-style-type: none"> • Well established recruitment and advancement policies and procedures for teachers. • Develop programme for Assistant professors (Partners in learning). • Career development for researchers in general. • Equality Office • Relocation • Collegial assemblies open to the majority of Researchers R1-R4 in order to discuss collegial matters. 	<ul style="list-style-type: none"> • Potential improvements primarily regarding increased visibility and clarity among existing career lifting activities on the web. • Gender Equity and focus on gender balanced recruitment. KTH work with it and must continue to do so with perseverance. • Find out how internal policies are functioning and experienced in the organization.

National specificities

Are there any constraints linked to the national legislation that could hamper the implementation of a common HR strategy at Alliance level, in particular in the topics addressed by WP5?

- National employment law
- Social security law
- Right of residence

At national level, is there any Umbrella organisation / Associations that promotes the topics addressed by WP5?

- **Swedish Higher Education Institutions (SUHF)**

The Association of Swedish Higher Education Institutions was founded in 1995 as an organisation for institutional cooperation on a voluntary basis. 38 universities and university colleges in Sweden are members (16 universities, 18 university colleges and 4 university art colleges). [The Association of Swedish Higher Education Institutions - SUHF](#)

- **Swedish Association of Research Managers and Administrators (SWARMA)**

This is a group for research advisers at Swedish universities and colleges main@SWARMA.groups.io | [Home](#)

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Best practices

Please suggest up to 3 best practices of possible interest for the Alliance (possibly at least one on career development support of early career researchers).

Best practices could be specific activities, initiatives, institutional processes etc. that you have carried out successfully and that are sufficiently replicable at the Alliance level.

- Tenure Track with Career Development Support and the programme Partners in Learning [Tenure Track](#) | [KTH Intranet](#)
- Equality Office
- Relocation

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 101017408



Annex 2 – Template of the "Framework of Analysis"

Instructions to fill in the template

Remember that all questions are ALWAYS related to the ECRs. So, the answers should only consider the effects on ECRs.

Definition of ECR-Early Career Researchers agreed by the partners: we agreed to refer to the EC category of R2-Recognised Researchers, namely, doctoral holders or equivalent who are not yet fully independent researchers.

Strengths

In the actions,

please take in mind the following ideas:

- 1. Is there any action (in some way) that the university is carrying out related to this topic?*
- 2. Is there any formal document, policy, practice, etc. about this topic?*
- 3. Is there any kind of specific support or unit for this topic?*
- 4. Are the actions related to the topic carried out on a continuous basis or only on an ad hoc basis?*

Please, feel free to explain, justify and give evidences in your answers

You can use the space 'other considerations' to include any other aspect that you consider interesting for the project

Gaps

Please list the proposals that could improve the current situation (gaps) and that could benefit from joint implementation. If useful and applicable, use the same categories as in the Strengths section

Obstacles

Please list any national and/or organizational legislation that may be limiting the implementation of joint actions



Strenghts

Category	SubCategory	SubSubCategory	Some questions that may help you understand what is expected. But feel free to include information beyond these questions.	Your answer	Links
Organization		Dedicated Organizational Unit	Does your university have a specific unit or office for ECRs?		
		Central/Decentralised Level	Is ECRs management centralized or decentralized? Which ECR management activities are centralized and which are decentralized?		
Strategy		Formal Strategic Plan	Does your university have a formal strategic plan for ECR's? or Does your university have a formal strategic plan which contains a specific section for ECR's?		
Actions	Diagnostic	Tools for self evaluation (e.g. Rdf, idp)	Does your university offer tools for self-evaluation? Which ones? How often does your university make it? Is there any unit in charge of this action?		
		Tools to map the needs of ECRs	Does your university have any kind of tool for mapping the ECRs needs? Which one? How often does your university do it? Is there any unit in charge of this action?		
		other considerations	Feel free to add any other action		
	Supervision (Career advice)	Coaching	Does your university have any kind of coaching action? Is there any formal document for this practice? How does your university monitor it? Is there any unit in charge of this action?		
		Mentorship	Does your university have any kind of mentoring action? Is there any formal document for this practice? How does your university monitor it? Is there any unit in charge of this action?		
Research Group Assignment		Is there any protocol to assign ECRs to the existing Research Groups? How does your university fit ECRs into the existing research? Is there any specific unit for this task?			
Record career progression/destination		Does your university monitor the ECRs progress / next step of their career inside and outside academia? Is there any specific tool? Is there any formal document for monitoring their progress? Is there any unit in charge of this task?			
	Performance assessment	Is there a specific way for assessing the ECR's performace? Is this assessment different than the other researchers? Is there any formal document about this procedure? Is there any specific unit for researchers performance assessment? And for ECRs performance assessment? How often are the ECR's assessed? and the rest of Researchers?			





	other considerations	Feel free to add any other action
Training	Training in transferable skills	Does your university have specific training for researchers? And specific training for ECR's? Is there a specific unit for trainings? And for ECRs trainings? How many courses does your university offer to researchers? And for ECRs? Is there any kind of prioritization for ECRs?
	Guidelines/ training for ECR supervision	Is there any kind of document about how to guide ECR's by senior researchers? Does your university have a specific training for ECRs supervisors?
	other considerations	Feel free to add any other action
Support	Research funding support	Does your university offer support for getting research funding? Is there any specific support for ECRs? Is there a specific unit that offers this support to ECRs? Is there any specific action to promote that ECRs get research funding?
	Job search support	Is there any specific action for giving support for job search to the ECRs? Is there a specific unit giving this support? Is only for ECRs or also for other kind of researchers? What kind of supports this unit is offering?
	Mobility support	Does your university have a specific unit for mobility? And for ECRs? If it's the same unit, is there a specific subunit or a person specified in mobility for ECRs? What kind of support do you give to ECR? Is there any specific plan or practice for ECRs mobility?
	Psychological support	Does you university offer psychological support? What kind of support? Is there a specific unit? How does your university manage this action? Who is involved in this action?
	Family & relatives support	Does your university offer some kind of help for families and relatives? What kind of support? Is it different the support for ECRs than other researchers? Do you have a specific unit? What kind of monitoring do you have?
	Equality-driven actions	Does your university implement equality-driven actions? What kind of actions? Are these actions in a formal strategic plan or tactical plan? Do you have a specific unit? Is there something different for ECR's or it is the same for all researchers? Do you monitor the results of this action? Who is involved in this actions?
	other considerations	Feel free to add any other action



Gaps

Category	SubCategory	SubSubCategory	Example/Clarifications	Comments
Organization		Dedicated Organizational Unit		
		Central/Descentralised Level		
Strategy		Formal Strategic Plan		
Actions	Diagnostic	Tools for self evaluation (e.g. Rdf, idp)		
		Tools to map the needs of ECRs		
		other considerations		
	Supervision (Career advice)	Coaching		
		Mentorship		
		Research Group Assignment		
		Record career progression/destination		
		Performance assessment		
		other considerations		
	Training	Training in transferable skills		
		Guidelines/ training for ecr supervision		
		other considerations		
	Support	Research funding support		
		Job search support		
		Mobility support		
		Psychological support		
		Family & relatives support		
		Equality-driven actions		
		other considerations		

Obstacles

National/regional legislation or organisational regulation currently impeding implementation



Annex 3 – Good practices on HRS4R

METHODOLOGY ADOPTED BY KTH - Royal Institute of Technology FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Reference website: [EU Charter & Code and "HR Excellence in Research" award | KTH](#)

HRS4R phases completed¹:

- First *HR AWARD GRANTING*: May 2021
- Conclusion *INTERIM ASSESSMENT*: None
- Conclusion *RENEWAL WITH SITE VISIT*: None
- Conclusion *RENEWAL WITHOUT SITE VISIT*: None

Description:

In May 2021 KTH was awarded “HR Excellence in Research”. The implementation and development work based on the action plan on EU Charter & Code will continue. The work is organized based on a steering group and an implementation group. Operational support is the HR-department at the University Administration.

¹ We can refer to the *HRS4R procedure chart* published on the Euraxess website at the link <https://euraxess.ec.europa.eu/jobs/hrs4r>



METHODOLOGY ADOPTED BY POLITO - POLITECNICO DI TORINO FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

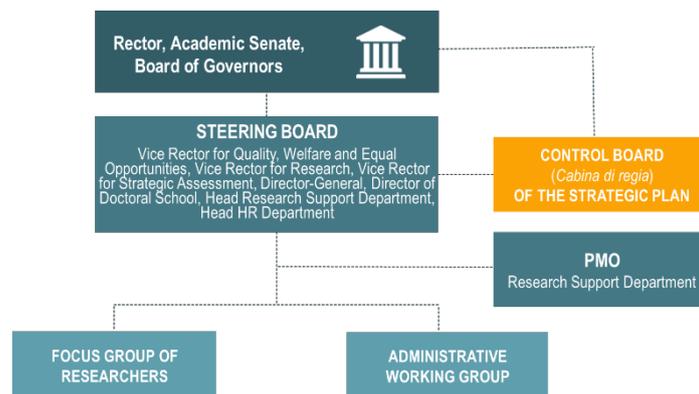
Reference website: https://www.researchers.polito.it/en/hr_excellence_in_research

HRS4R phases completed:

- First HR AWARD GRANTING: November 2013
- Conclusion INTERIM ASSESSMENT: January 2016
- Conclusion RENEWAL WITH SITE VISIT: May 2021 (Consensus Report: PoliTO is highly committed to the HRS4R process and their Action Plan is strongly embedded in their Strategic Plan “Polito4impact”. Researchers as well as administrative staff are really involved and partners for the institutional development. Their contribution to the implementation of the HRS4R process is evident. The whole approach of PoliTO towards HRS4R is admirable. Any issues which have been praised during this assessment are actually models of good practice.)

Description:

A solid internal organizational structure ensures institutional support for the initiative as well as the involvement of representatives of all stakeholders (researchers, administrative staff and institutional representatives) and efficient coordination of activities.



Good practices:

- High Institutional commitment to the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers is a major success factor for PoliTo HRS4R process. The whole process has always been led and supervised by an Institution’s high-level representative: the Deputy Rector chaired the Steering Board and the Researchers’ Focus Group from 2013 to 2018. In March 2018 a new Rector was elected and he appointed a Vice-Rector for Quality, Welfare and Equal Opportunities that is also in charge

for the HRS4R. It is the first time ever that PoliTo has a Vice-rector in charge for Welfare and Equal Opportunities.

- The HRS4R is embedded in the Institutional strategies: the University Strategic Plan POLITO4IMPACT (2018-2024) matches the HRS4R Action Plan 2019-2021 of the European Charter. The 'HR Strategy for Researchers' is a POLITO Strategy. The Director-General, who is a member of both the Control Board (Cabina di Regia) of the POLITO4IMPACT Strategic Plan and the HRS4R Steering Board, also ensures the coordination and alignment of the Strategic Plan and the HRS4R. In the Action Plan of the POLITO4IMPACT Strategic Plan, actions linked to HRS4R 2019-2021 Action Plan have a "special flag", which means that their implementation is a priority.
- The HRS4R process has been widely participated since the very beginning. All categories of our community are involved in the process: researchers, administrative staff and institutional representatives.
- The researcher community is strongly involved in the implementation process. Researchers at large are consulted by way of a HRS4R survey and are regularly updated on the results of the actions through the weekly magazine "Poliflash" and the Opportunities for Researchers web site. Training courses in transferable skills and actions' outcomes are presented as part of the HRS4R and the "HR Excellence in Research" logo is used. Since 2012, a Focus Group of researchers has been established through a call for expressions of interest. To date, the Focus Group has 40 members and its composition ensures gender balance and representation of POLITO's scientific disciplines and categories of research staff (R1-R4). During the site visit in April 2021, the assessors met them all, thus demonstrating the broad participation of researchers in the definition of PoliTo's HR strategy. FG contributes to the Gap Analysis and preparation of the revised Action Plan. During the implementation phase, once a year the Administrative Working Group meets the Focus Group to present the state of the art of the Action Plan and receive inputs for further improvements. FG is involved in all the phases of the HRS4R process: gap analysis, action plan, implementation and revision.
- Members of the Administrative Working Group are formally appointed by the Director General. They contribute to the Gap Analysis and are responsible for the implementation of the actions. For each action, a working team and a leader are identified and a common template is used to describe progress and critical issues.
- The Monitoring Plan sets out timeframes and tools to ensure smooth implementation of the strategy. Based on a common template, the following elements are analysed for each monitoring period: (i) carried out activities: completed and in progress activities; (ii) next activities: next period deadlines; activities to be started; (iii) critical points: possible critical points which need the involvement of the Steering Board; risk assessment; encountered problems that affect the work plan. Moreover indicators for each action are identified and verified during the whole period.
- The project management team has extensive knowledge and expertise in the European initiative and requirements and the PM is a lead assessor for the European Commission for the HRS4R process and coordinated a national working group of the Italian universities holding the Award 'HR Excellence in Research'.

METHODOLOGY ADOPTED BY AALTO UNIVERSITY FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Reference website: <https://www.aalto.fi/en/careers-at-aalto/human-resources-excellence-in-research>

HRS4R phases completed:

- First HR AWARD GRANTING: November 2012 (as a first university in Finland)
- Conclusion INTERIM ASSESSMENT: July 2015
- Conclusion RENEWAL WITH SITE VISIT: 6.12.2019
- Conclusion RENEWAL WITHOUT SITE VISIT: to be conducted in 2022

Description:

Aalto University is committed to balance and wellbeing of its employees. We believe that great results can only come from healthy and happy employees. Commitment to HRS4R-policies supports Aalto University in implementing its people strategy and achieving the goals set.

Our strengths:

HRS4R is embedded in the university's strategy, quality policy and management, and operating bodies:

- No separate HRS4R organization (not even separate Faculty HR)
- no separate HRS4R strategy
- no separate HRS4R operating model.

We have established recruitment and advancement policies and procedures for professors' tenure track, lecturers' career, and other academic positions. Our policies and procedures in researchers' recruitments are aligned with the Commission's Charter and Code policies as well as Code of Conduct for the Recruitments of Researches. We develop our academic career systems according to the principles of continuous development (PDCA cycle, Plan-Do-Check-Act). Development of our academic careers and HRS4R policies and procedures are embedded in the Aalto University quality policy and management (we do not have a separate university HR strategy and an HRS4R strategy). In addition to continuous development, the University management annually selects a few larger development themes related to our academic careers and HRS4R policies and procedures.

Development of the academic career systems is prepared and implemented by ACMT (Academic Careers Management Team) consist of the Provost and the Chief Human Resources Officer and two academic careers specialists. When implementing development measures, the various parties are consulted, and feedback is actively collected in many ways. For example:

- Statistical information collected annually
- Development workshops
- Regular meetings with the Academic Careers Working Group*
- Interviews and discussions with the key tenure track actors
- Feedback from applicants and those advancing on their career paths
- Feedback from other stakeholders of key importance for the career system

*) Academic careers working group: The role of the working group is to support the development of the academic career systems, contribute to the preparation of development actions and communicate the development in the Aalto community.

Our weaknesses:

- Sometimes we do not highlight HRS4R enough because it has become such a natural part of our career systems and their development cycle.
- The person(s) responsible for the development of academic career systems etc. has to take responsibility for ensuring that HRS4R policies is taken into account in all decision-making and development measures.



METHODOLOGY ADOPTED BY UPC - Universitat Politècnica de Catalunya. FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Reference website: <https://rdi.upc.edu/ca/el-centre/hrs4r/human-resources-strategy-for-researchers>

HRS4R phases completed:

- First HR AWARD GRANTING: July 2017
- Conclusion INTERIM ASSESSMENT:29/22/2019
- Conclusion RENEWAL WITH SITE VISIT: -
- Conclusion RENEWAL WITHOUT SITE VISIT: -

Description:

The Steering Committee is composed of the following

- Vice-Rector for Research
- Vice-Rector for Knowledge Transfer
- Vice-Rector for Teaching and Research Staff
- Director of the Research and Transfer Area
- Director of the Staff and Organisation Area
- General Manager

The core of the Executive Committee is composed of the following

- Vice-Rector for Research
- Vice-Rector for Teaching and Research Staff
- Director of the Research and Transfer Area
- Director of the Staff and Organisation Area

The Working Group is composed of the following

- Members of the Personnel Service
- Members of the European Projects Office
- Sustainable Management and Equal Opportunities Office
- International and Corporate Relations Bureau
- Libraries, Publications and Archives Service
- Communication *Service*

Methodology

The methodology had five steps:

1. To build the organisational structure, as we have presented above.
2. To define the objectives for the internal analysis
3. To identify shortfalls and potential opportunities
4. To share the results and get feedback from academic and non-academic staff
5. To design an action plan

The structure and the objectives for the internal analysis were the following:

1. To identify all the relevant legislation
2. To identify existing internal rules
3. To identify shortfalls and potential improvements in the current situation
4. To propose areas of action that combine regulations (EU, Spanish, autonomous community and institutional) and policies (EU, Spanish, autonomous community and institutional) with needs.

Best Practices

We suggest three best practices:

- At the beginning, we recommend to focus on few areas. For instance, recruitment or working conditions.
- To define quantitative indicators for assessing the actions based on the current data that the university have.
- To link most of the actions with the university strategy.

METHODOLOGY ADOPTED BY INP- UGA FOR THE IMPLEMENTATION OF THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Reference website: <https://www.univ-grenoble-alpes.fr/research/join-our-teams/the-european-seal-of-approval-hr-excellence-in-research-hrs4r/>

HRS4R phases completed:

- First HR AWARD GRANTING: April 29, 2021
- Conclusion INTERIM ASSESSMENT: -
- Conclusion RENEWAL WITH SITE VISIT: -
- Conclusion RENEWAL WITHOUT SITE VISIT: -

Description:

Establishment of a steering committee whose roles have been clearly defined

Within the monitoring committee (project manager + 4 EC), definition of pairs of referents for each of the actions within 1 year in the first instance; action sheet sent to each of the pilots

Time of "adjustment" between pairs and pilots (June/July 2021) to define the actions and the expected deliverables

Benefits

HRS4R engaged a very positive dynamic to make a changes and progress. As it required to do a Gap Analysis and obliged the university to identify the indicators and actions, it is no more "just declared" but the real actions should be done. It opens to the new agile format of working.

Good practices:

- Involvement of researchers in the project: executive group with different scientific backgrounds and administrative expertise's
- The gap analysis - accurate and comprehensive
- The action plan is ambitious, affecting some key issues for the institution's strategy.
- The HRS4R is embedded in institutional strategy
- A communication strategy planned

