



HRS4R - HUMAN RESOURCES STRATEGY FOR RESEARCHERS  
AT POLITECNICO DI TORINO

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*Politecnico di Torino*



HR EXCELLENCE IN RESEARCH



## STEPS TO THE "HR EXCELLENCE IN RESEARCH " AWARD

*JULY 2005*

- ✓ POLITO endorses the Charter & Code through the national Rectors' Conference

*OCTOBER 2011*

- ✓ POLITO joins the 3rd Cohort of the Institutional HR Strategy Group
  - *Due to compulsory compliance to new national laws and to internal institutional changes, POLITO started the implementation of the five steps of the Human Resources Strategy for Researchers (HRS4R) process in January 2013*

### ***THE HRS4R PROCESS***

*JANUARY 2013 - SEPTEMBER 2013*

- ✓ Internal Gap Analysis
- ✓ Definition of planned actions for improvements (Action Plan)

*23rd OCTOBER 2013*

- ✓ POLITO sends the Gap Analysis and Action Plan to EC

*14th NOVEMBER 2013*

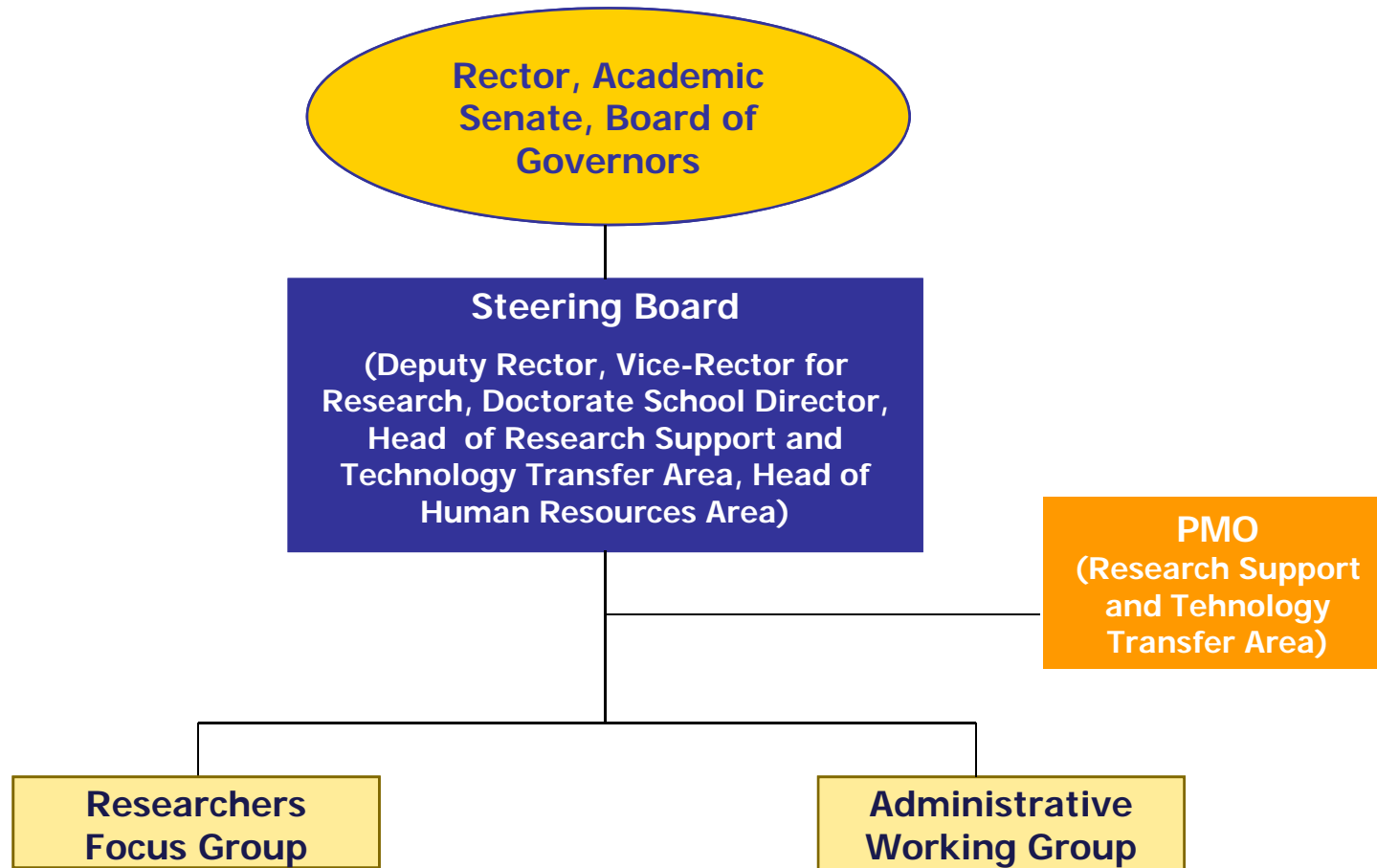
- ✓ EC agrees to the award of the 'HR Excellence in Research' logo



HR EXCELLENCE IN RESEARCH



## HRS4R: TOOLS



***Strong institutional commitment and involvement of all stakeholders***



## METHODOLOGY – GAP ANALYSIS

- ❖ Gap analysis has been undertaken by the Steering Board through a Researcher Focus Group and an Administrative Working Group (in consultation with the Governing Bodies):
  - Researcher Focus Group - 2 representatives from each category of research personnel (Ph.D candidates, Research Fellows, Researchers, First and Second-segment Professors)
  - Administrative Working Group - representatives of the following Depts have been involved: Research Support and Technology Transfer, Human Resources, International Affairs, Libraries and Museum, Estates Facilities and Logistics, Student Affairs, Information Technology, Health and Safety, Strategic and Institutional Support, Communication, Events & External Relations
- ❖ The template available on *EURAXESS Rights* has been used to analyse the degree of implementation of **all** C&C principles
- ❖ Following the analysis, principles have been divided into three different categories:
  - a) Principles already implemented by POLITO
  - b) Principles that cannot be fully implemented due to national legal constraints
  - c) Principles that can be better implemented through dedicated actions



## METHODOLOGY – ACTION PLAN

- ❖ On the basis of the outcomes of the gap analysis (“Principles of Category c”), the Action Plan has been designed as follows:

<b>PROBLEM IDENTIFIED</b>	<b>OBJECTIVE</b>	<b>PLANNED ACTION</b>	<b>RESPONSIBLE FOR IMPLEMENTING</b>	<b>TIMING</b>	<b>MONITORING PLAN</b>



## INTERNAL COMMUNICATION STRATEGY

- ❖ Periodic update to Governing Bodies
- ❖ “Call for candidates” open to all research personnel (included ph.D candidates) to be part of the Researchers Focus Group
- ❖ Communication of the initiative through the e-newsletter Poliflash to all internal staff (around 3000 persons) and to the mailing list of stakeholders (around 1.000 contacts)
- ❖ Creation of a web page dedicated to the Charter and Code and to the Institutional Human Resources Strategy Group process



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*University Organisation Chart*

*University Bodies*

*Internal Organization*

*Glossary: categories of internal stakeholders in research*



GAP  
ANALYSIS\_POLITO

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### **III. SUMMARY DIAGRAM OF THE LEVEL OF IMPLEMENTATION OF THE PRINCIPLES (p. 62)**





## CHAPTER III. SUMMARY DIAGRAM

PRINCIPLES ALREADY ADOPTED BY THE UNIVERSITY	PRINCIPLES NOT COMPLETELY IMPLEMENTED BECAUSE OF CONFLICTS WITH NATIONAL LAWS	PRINCIPLES NOT YET FULLY IMPLEMENTED AND FOR WHICH GREATER IMPLEMENTATION ACTIONS COULD BE PROVIDED
4, 5, 6, 7, 10, 11, 12, 18, 20, 21, 24, 27, 32, 35, 36, 38	14, 15, 16, 17, 19, 22, 25, 26, 28 (as regards constraints on access to permanent positions)	1, 2, 3, 8, 9, 13, 23, 28, 29, 30, 31, 33, 34, 37, 39, 40

### EXAMPLES OF THE ANALYSIS:

*35. Participation in decision-making bodies*

*14. Selection (Code)*

*1. Research freedom*



## GAP ANALYSIS – THE DOCUMENT

### EXAMPLES OF THE ANALYSIS

#### *PRINCIPLES ALREADY ADOPTED BY THE UNIVERSITY*

##### **35. Participation in decision-making bodies**

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

##### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

In accordance with national legislation, the Statute and the General University Regulations establish the governance structure of the University and the composition of the governing bodies.

The Academic Senate is the governing body of the University that represents the community of personnel and students of Politecnico di Torino.

The Statute also provides that a representative of the research fellows must be member of the Council of Department and that PhD candidates can elect their representatives in the governing and evaluation bodies, teaching structures and other external bodies.

##### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

##### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially implemented.



## EXAMPLES OF THE ANALYSIS

### ***PRINCIPLES NOT COMPLETELY IMPLEMENTED BECAUSE OF CONFLICTS WITH NATIONAL LAWS (1)***

#### **14. Selection (Code)**

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert evaluation and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 establishes the following for recruiting First and Second-segment professors:

- publication of a notice indicating the SSD (Disciplinary and Scientific sector);
- admission for those in possession of the national scientific qualification; governed by Art. 16; this evaluation is made by national committees and certifies the scientific qualification of candidates;
- evaluation of the publications and teaching curriculum;
- proposal for a call (*chiamata*) from the University.

Law 240/2010 Art 16 section f) concerns the establishment of the National Commission for qualification as above. The Law provides that a commissioner is drawn from a list, prepared by ANVUR (National Agency for Evaluating Universities), of scientists and experts of an equal level employed at universities of OECD Member Countries.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Selection Committee for the temporary researchers consists of three members selected among the First-segment Professors: one is appointed by the Department that requested the activation of the contract, while the other two are identified by the Rector from among six candidates proposed by the same Department.

The members of the Committee are selected only on the basis of scientific merit and chosen from among teachers of proven international recognition belonging to one or more SSD of the selection. Professors who received a negative evaluation in accordance with Law 240/2010 Art. 6 par. 7 cannot participate.

The Rectoral Decree of appointment is made available through publication on the official notice board and on the University website for at least six months after the date of publication of the Rectoral Decree concerning the verification of the Acts.

Any request of objection will be evaluated by a Special Commission appointed by the Rector.





# GAP ANALYSIS – THE DOCUMENT

## EXAMPLES OF THE ANALYSIS

The appointment of the members of the Selection Committee must comply with the rules on incompatibility and conflict of interest.

Applicants are required to participate in a public interview consisting in the discussion of qualifications and scientific production.

While the discussion of qualifications and publications takes place, adequate knowledge of English language is checked and, where indicated by the notice, of any additional foreign language specified therein.

As regards the research fellows, the Regulation provides that the Evaluation Committee is composed by professors or researchers belonging to the Italian University System. For the evaluation of the projects submitted by the candidates, the Committee may use also international expert reviewers. The Committee cannot include members external to the University and it is practice that external individuals can participate in the Committee as additional members. The regulation provides for different selection procedures: one single selection procedure, managed at central level, concerning different scientific areas, where candidates are evaluated on the basis of their research project, qualifications and publications and the subsequent interview; selections requested by Departments for specific projects where candidates are evaluated on the basis of qualifications and interview or of qualifications, interview and written test. As an exception, for specific national or international projects, selections can be made through the evaluation of qualifications only or through direct identification of the candidate by the project partners.

In the case of the PhD, Min. Decree 224/99 establishes that the Rector, once the opinion of the Academic Board has been acquired, appoints by decree the Committee responsible for the comparative evaluation of the candidates. The Committee consists of three members chosen from among the University permanent professors and researchers, to whom no more than two Italian or International experts can be added coming from public and private research institutions.

Usually, the Committee includes only internal members. There may be external experts only in specific cases, such as excellence projects (e.g., the *Scuola Interpolitecnica*) or in the case of activities in collaboration with companies. On the other hand, there is always an external industrial member (*company tutor*) in the case of apprenticeship doctorate. As far as gender balance is concerned, the members of the Committee are drawn from a list of candidates proposed by each Academic Board, and therefore it is not possible to implement measures aimed at gender balance.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

It should be noted that selection must comply with national legislation and it is not possible to adopt different practices in the evaluation process. For example, for the evaluation of temporary researchers of type a) and b), face-to-face interview is required, but it is not possible to assign a specific score to this interview.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The constraints imposed by national law do not allow full compliance with the principles of the Charter.



# GAP ANALYSIS – THE DOCUMENT

## EXAMPLES OF THE ANALYSIS

### ***PRINCIPLES NOT YET FULLY IMPLEMENTED AND FOR WHICH GREATER IMPLEMENTATION ACTIONS COULD BE PROVIDED***

#### **1. Research freedom**

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The principle of research freedom is enshrined in the Constitution of the Italian Republic, where the Article 33 states "Art and science are free, as well as teaching them is free". The principle is restated in the Italian National Legislation for Universities and Higher Education, which is cited in chapter *1.4-Legal framework: National and University legislation*.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute of Politecnico di Torino and the Code of Ethics of the University Community ensure respect for this principle for all the research staff.

Even in the case of temporary staff, creativity and freedom to propose their own research topics are valued. One of the selection procedures established for University research fellows is based on the submission of research projects by candidates, as provided under Art. 22 of Law 240/2010.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The perception is that the University fully guarantees the research freedom, although it should be noted that fund raising can represent an external constraint on total freedom, especially in some scientific and cultural fields.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

As for permanent staff, the principle is implemented and is perceived as such, although in some areas carrying out basic and frontier research is conditioned by the difficulty of raising funds.

For temporary staff, there are constraints which are determined by the different features of the contracts, in particular the impossibility of being holder of research funds.



## ACTION PLAN – THE DOCUMENT

- ❖ According to the results of the Gap Analysis, **27 ACTIONS** were identified to implement the Charter and the Code more precisely using the following template:

PROBLEM IDENTIFIED	OBJECTIVE	PLANNED ACTION	RESPONSIBLE FOR IMPLEMENTING	TIMING	MONITORING PLAN

### EXAMPLES OF ACTIONS:

1. Research Freedom

31. Intellectual Property Rights

37. Supervision and managerial duties



## ACTION PLAN – THE DOCUMENT

### EXAMPLES OF ACTIONS

#### 1. Research freedom

PROBLEM IDENTIFIED	OBJECTIVE	PLANNED ACTION	RESPONSIBLE FOR IMPLEMENTING	TIMING	MONITORING PLAN
Difficulties in fund raising for basic research and frontier research	To implement effectively the concept of "research freedom" in domains where the performance of research is conditioned by the difficulties in fund raising	To define actions for promoting curiosity-driven research	The Board of Governors, after consulting the Academic Senate, with the support of the Evaluation Support Service	By 2014	<ul style="list-style-type: none"> <li>- September 2014: to define the orientation guidelines</li> <li>- June 2015: to verify actions which have been undertaken</li> </ul>
		To strengthen information and training activities on funding opportunities for basic research and frontier research and to identify actions to increase the participation of researchers	Research Support and Technology Transfer Area and Human Resources and Organisation Area	By June 2014	<ul style="list-style-type: none"> <li>- January 2014: to define informational and educational paths</li> <li>- January 2015: to verify information and training courses which have been developed</li> </ul>



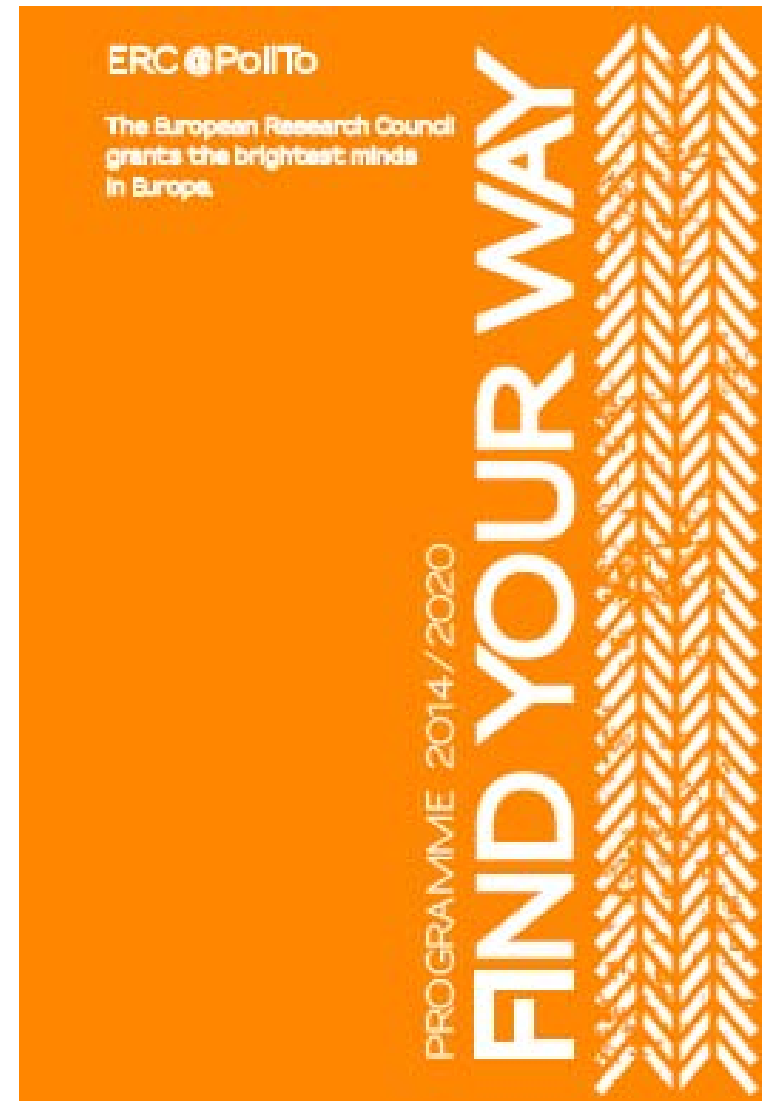
## ACTION PLAN – THE DOCUMENT

### EXAMPLE OF IMPLEMENTED ACTIVITY

#### ERC@POLITO INITIATIVE

To encourage the participation of researchers to ERC CALLS, POLITO offers:

- ❖ INFORMATION
- ❖ TRAINING AND SUPPORT
- ❖ Short and long term INCENTIVE ACTIONS







## ACTION PLAN – THE DOCUMENT

### EXAMPLES OF ACTIONS

#### 31. Intellectual Property Rights

<b>PROBLEM IDENTIFIED</b>	<b>OBJECTIVE</b>	<b>PLANNED ACTIONS</b>	<b>RESPONSIBLE FOR IMPLEMENTING</b>	<b>TIMING</b>	<b>MONITORING PLAN</b>
Support for the enhancing of research results that still can be implemented	To consolidate the ongoing procedures by enriching them with complementary activities	To intensify internal training related to IPR, creating at least one training course per year	Research Support and Technology Transfer Area	By December 2014	December 2013: training plan on IPR December 2014: check on courses offered and participants



## ACTION PLAN – THE DOCUMENT

### EXAMPLE OF IMPLEMENTED ACTIVITY

The poster features a blue vertical bar on the left side. It includes the following elements:

- POLITECNICO DI TORINO** logo and name.
- European Patent Office** logo and name in multiple languages: Europäische Patentamt, European Patent Office, Office européen des brevets.
- 40th Anniversary** logo for the **EUROPEAN PATENT CONVENTION** with the tagline "Innovation matters".
- 6th June 2013** in a large serif font.
- European Patent Academy** and **ESA SUN Challenge, IPR Workshop** in a smaller sans-serif font.
- The main title **From Invention to Innovation** in a large, bold, blue sans-serif font.



## ACTION PLAN – THE DOCUMENT

### EXAMPLES OF ACTIONS

#### 37. Supervision and managerial duties

<b>PROBLEM IDENTIFIED</b>	<b>OBJECTIVE</b>	<b>PLANNED ACTIONS</b>	<b>RESPONSIBLE FOR IMPLEMENTING</b>	<b>TIMING</b>	<b>MONITORING PLAN</b>
Impossibility to express anonymously about the adequacy of supervisors	Creation of a satisfaction tool to monitor the PhD students and research fellows supervisors	To create an anonymous on-line questionnaire on the adequacy of the supervisor	Human Resources and Organisation Area, Doctorate School, Strategic and Institutional Support Service, Information Technology Area	June 2013	May 2013 definition of a questionnaire for research fellows  June 2013: questionnaire submitted



## EXAMPLE OF IMPLEMENTED ACTIVITY

### QUESTIONNAIRE FOR RESEARCH FELLOWS



#### Section B: Self-perception and professional growth

**B1. Are you satisfied of your job?**

1 - Not satisfied at all

2 - Somewhat satisfied

3 - Very satisfied

4 - Extremely satisfied

**B2. Do you think you are professionally growing?**

1 - Not satisfied at all

2 - Somewhat satisfied

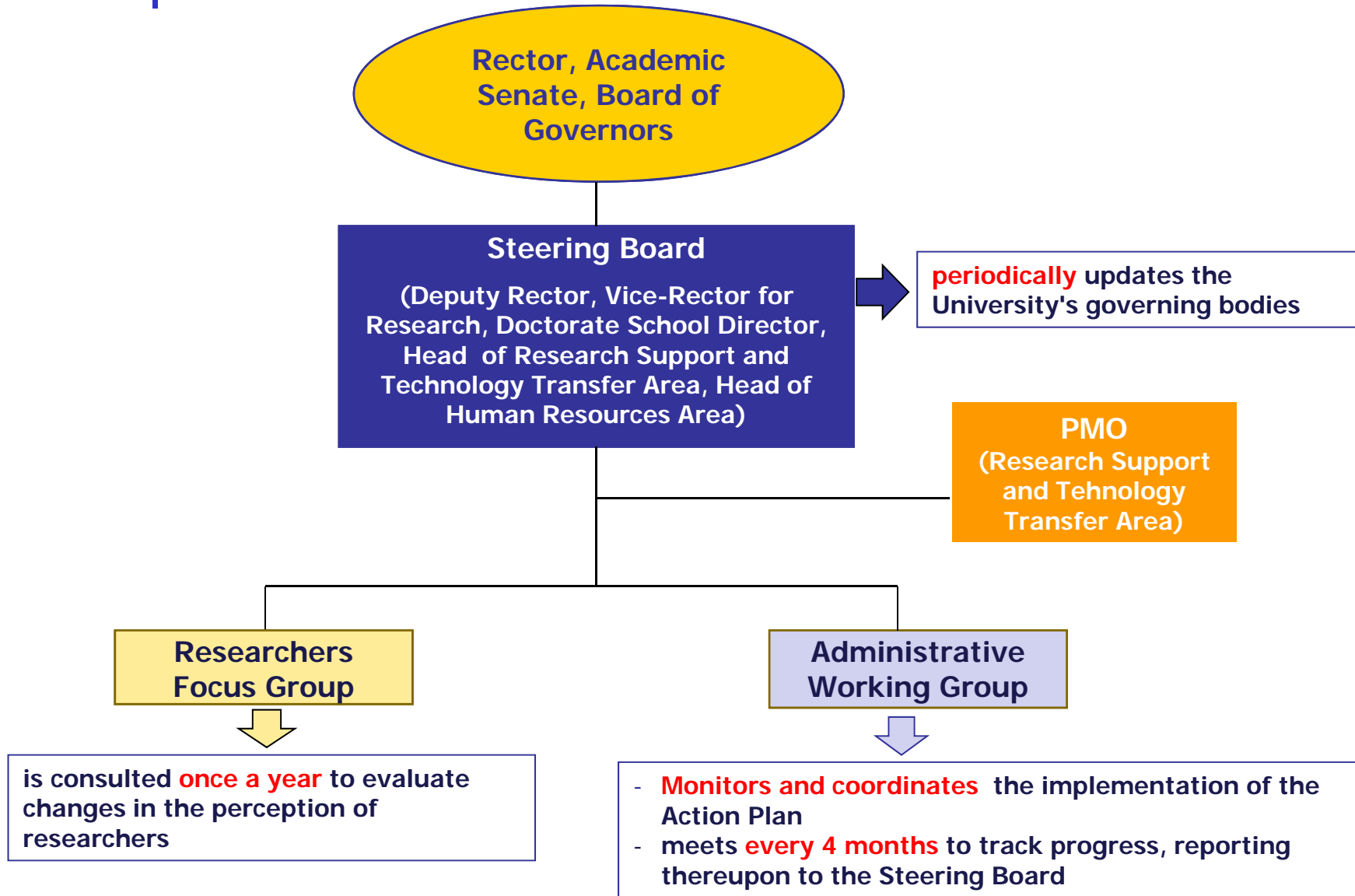
3 - Very satisfied

4 - Extremely satisfied

**B3. What are the career prospects that you would like to have?**



# MONITORING PLAN





## MONITORING PLAN

- ❖ To coordinate and monitor the implementation of the actions:
  - a common template has been distributed to all the persons in charge of the implementation of the actions
  - quarterly meetings of the Administrative Working Group are scheduled, reporting thereupon to the Steering Board
  - the Researchers Focus Group is consulted once a year to evaluate changes in the perception of researchers towards the implementation of the Charter
  - Governing Bodies are periodically updated



## PROGRESS REPORT TEMPLATE (every 4 months)

### Carried out activities

- Milestones achieved
- Completed activities
  
- In progress activities

### Next activities

- Next period deadlines
  
- Activities to be started

### Critical points

For carried out activities:

- Encountered problems that have affected the work plan

For next activities:

- Critical points that need the involvement of the Steering Board
- Possible risks



# MONITORING PLAN – Roles and Responsibilities

		DEPARTMENTS									
		SARTT	RUO	GESD	IT	CORE	BIBLIO	SSSI	INTE	EDILOG	ALEG
1	To define actions for promoting curiosity-driven research							A. Marino * CdA, SA			
2	To strengthen information and training activities on funding opportunities for basic research and frontier research and to identify actions to increase the participation of researchers	M. Onorato, C. Biglia	G. Marino, C. Lumini					A. Marino			
3	The Code of Ethics will be added to the list of documents available on the intranet webpage MyPoli which the permanent staff and research fellows approve and sign		C. Lumini, G. Marino								
4	To create a web page which shows that Politecnico has adopted the Code of Ethics				M. Innocenti	T. Vitrano					
5	To insert a reference to the Code of Ethics in the preamble of every agreement and contract with an external organisation	S. Loccisano									

 Task leader  
 Task member







# WORK IN PROGRESS – THE WEB SITE



Home > The world of Research > The european charter for researchers

- ▶ Departments
- ▶ Schools
- ▶ Ph.D.
- ▶ Libraries
- ▶ Research projects
- ▶ PORTO - Publication Open Repository Torino
- ▶ Boards and Consortiums
- ▶ Research grants
- ▼ **The european charter for researchers**
  - ▶ The acknowledgement process

## THE EUROPEAN CHARTER FOR RESEARCHERS

In July 2005 Politecnico di Torino declared its commitment on the adoption of the "Recommendation of the European Commission on the European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers".

The Charter and Code are key elements in the European Union's policy to make research an attractive career, which is a vital feature of its strategy to stimulate economic and employment growth.

The European Charter for Researchers addresses the roles, responsibilities and entitlements of researchers, their employers and their funders in both the public and private sectors. It aims at ensuring that the relationship between these parties contributes to successful performance in the generation, transfer and sharing of knowledge, and to the career development of researchers. The Code of Conduct for the Recruitment of Researchers aims to improve recruitment, to make selection procedures fairer and more transparent and proposes appropriate means of judging merit.

### HR Excellence in Research

In November 2013 Politecnico di Torino has been acknowledged by the European Commission for its commitment towards the implementation of the Charter and Code through the 'HR Excellence in Research' award.

This recognition has been awarded on the basis of a detailed internal analysis (Internal Gap Analysis) of the current implementation of the principles of the Charter and of a plan of actions (Action Plan) defined to put into practice the Charter and the Code more precisely and to create an academic environment of high quality and more favourable for researchers from all over the world.



HR EXCELLENCE IN RESEARCH

#### Related links

- ▶ European Charter for Researchers
- ▶ Code of Ethics of the Piedmont University Community
- ▶ EURAXESS: European Researcher's Mobility Portal
- ▶ Internal Gap Analysis
- ▶ Action Plan

[http://www.polito.it/ricerca/carta\\_europea/index.php?lang=en](http://www.polito.it/ricerca/carta_europea/index.php?lang=en)