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.

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

Internal Gap Analysis

Definition of planned actions for improvements (Action Plan)

POLITO sends the Gap Analysis and Action Plan to EC

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

THE HRS4R PROCESS

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

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
HRS4R: TOOLS

Rector, Academic Senate, Board of Governors

Steering Board
(Deputy Rector, Vice-Rector for Research, Doctorate School Director, Head of Research Support and Technology Transfer Area, Head of Human Resources Area)

PMO
(Research Support and Technology Transfer Area)

Researchers Focus Group

Administrative Working Group

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

<table>
<thead>
<tr>
<th>PROBLEM IDENTIFIED</th>
<th>OBJECTIVE</th>
<th>PLANNED ACTION</th>
<th>RESPONSIBLE FOR IMPLEMENTING</th>
<th>TIMING</th>
<th>MONITORING PLAN</th>
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</table>
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
INDEX

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University Organisation Chart
University Bodies
Internal Organization
Glossary: categories of internal stakeholders in research

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Brief presentation of Politecnico di Torino
Mission
Methodology and Institutional commitment
Legal framework: National and University legislation

II. GAP ANALYSIS (p. 16)
Regulatory constraints and opportunities
University policy on the subject and current practices
The perception of the charter through the analysis of the focus group
Level of implementation of the principles of the charter

III. SUMMARY Diagram OF THE LEVEL OF IMPLEMENTATION OF THE PRINCIPLES (p. 62)
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III. SUMMARY DIAGRAM OF THE LEVEL OF IMPLEMENTATION OF THE PRINCIPLES (p. 62)
### EXAMPLES OF THE ANALYSIS:

- **35. Participation in decision-making bodies**
- **14. Selection (Code)**
- **1. Research freedom**
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.
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.
13

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 I.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.
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:

<table>
<thead>
<tr>
<th>PROBLEM IDENTIFIED</th>
<th>OBJECTIVE</th>
<th>PLANNED ACTION</th>
<th>RESPONSIBLE FOR IMPLEMENTING</th>
<th>TIMING</th>
<th>MONITORING PLAN</th>
</tr>
</thead>
</table>

**EXAMPLES OF ACTIONS:**
1. Research Freedom
31. Intellectual Property Rights
37. Supervision and managerial duties
### EXAMPLES OF ACTIONS

#### 1. Research freedom

<table>
<thead>
<tr>
<th>PROBLEM IDENTIFIED</th>
<th>OBJECTIVE</th>
<th>PLANNED ACTION</th>
<th>RESPONSIBLE FOR IMPLEMENTING</th>
<th>TIMING</th>
<th>MONITORING PLAN</th>
</tr>
</thead>
</table>
| 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  | - September 2014: to define the orientation guidelines  
  - June 2015: to verify actions which have been undertaken                         |
|                                                                                  |                                                                           | 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 | - January 2014: to define informational and educational paths  
  - January 2015: to verify information and training courses which have been developed |
ERC@POLITO INITIATIVE

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

- INFORMATION
- TRAINING AND SUPPORT
- Short and long term INCENTIVE ACTIONS
### EXAMPLES OF ACTIONS

#### 31. Intellectual Property Rights

<table>
<thead>
<tr>
<th>PROBLEM IDENTIFIED</th>
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<th>RESPONSIBLE FOR IMPLEMENTING</th>
<th>TIMING</th>
<th>MONITORING PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Support for the enhancing of research results that still can be implemented</td>
<td>To consolidate the ongoing procedures by enriching them with complementary activities</td>
<td>To intensify internal training related to IPR, creating at least one training course per year</td>
<td>Research Support and Technology Transfer Area</td>
<td>By December 2014</td>
<td>December 2013: training plan on IPR December 2014: check on courses offered and participants</td>
</tr>
</tbody>
</table>
6th June 2013
European Patent Academy
ESA SUN Challenge, IPR Workshop
From Invention to Innovation
### 37. Supervision and managerial duties

<table>
<thead>
<tr>
<th>PROBLEM IDENTIFIED</th>
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<th>RESPONSIBLE FOR IMPLEMENTING</th>
<th>TIMING</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Impossibility to express anonymously about the adequacy of supervisors</td>
<td>Creation of a satisfaction tool to monitor the PhD students and research fellows supervisors</td>
<td>To create an anonymous on-line questionnaire on the adequacy of the supervisor</td>
<td>Human Resources and Organisation Area, Doctorate School, Strategic and Institutional Support Service, Information Technology Area</td>
<td>June 2013</td>
<td>May 2013 definition of a questionnaire for research fellows</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>June 2013</td>
<td>June 2013: questionnaire submitted</td>
</tr>
</tbody>
</table>
### Section B: Self-perception and professional growth

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>B1. Are you satisfied of your job?</strong></td>
<td>1 - Not satisfied at all</td>
</tr>
<tr>
<td><strong>B2. Do you think you are professionally growing?</strong></td>
<td>1 - Not satisfied at all</td>
</tr>
<tr>
<td><strong>B3. What are the career prospects that you would like to have?</strong></td>
<td></td>
</tr>
</tbody>
</table>
MONITORING PLAN

Rector, Academic Senate, Board of Governors

Steering Board
(Deputy Rector, Vice-Rector for Research, Doctorate School Director, Head of Research Support and Technology Transfer Area, Head of Human Resources Area)

PMO (Research Support and Technology Transfer Area)

periodically updates the University's governing bodies

Researchers Focus Group

is consulted once a year to evaluate changes in the perception of researchers

Administrative Working Group

- Monitors and coordinates the implementation of the Action Plan
- meets every 4 months to track progress, reporting thereupon to the Steering Board
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

Critical points
For carried out activities:
- Encountered problems that have affected the work plan

Next period deadlines
For next activities:
- Activities to be started

Critical points that need the involvement of the Steering Board
- Possible risks
## MONITORING PLAN – Roles and Responsibilities

<table>
<thead>
<tr>
<th>Task</th>
<th>DEPARTMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong> To define actions for promoting curiosity-driven research</td>
<td>SARTT</td>
</tr>
<tr>
<td><strong>2</strong> 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</td>
<td>RUO, GESD, IT, CORE, BIBLIO, SSI, INTE, EDILOG, ALEG</td>
</tr>
<tr>
<td><strong>3</strong> 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</td>
<td>A. Marino, *CdA, SA</td>
</tr>
<tr>
<td><strong>4</strong> To create a web page which shows that Politecnico has adopted the Code of Ethics</td>
<td>M. Innocenti, T. Vitrano</td>
</tr>
<tr>
<td><strong>5</strong> To insert a reference to the Code of Ethics in the preamble of every agreement and contract with an external organisation</td>
<td>S. Loccisano</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task leader</th>
<th>Task member</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Marino</td>
<td></td>
</tr>
<tr>
<td>M. Onorato, C. Biglia</td>
<td>G. Marino, C. Lumini</td>
</tr>
<tr>
<td>C. Lumini, G. Marino</td>
<td>A. Marino</td>
</tr>
<tr>
<td>M. Innocenti, T. Vitrano</td>
<td></td>
</tr>
<tr>
<td>S. Loccisano</td>
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</tbody>
</table>
### To define actions for promoting curiosity driven research

- 2013: 9, 10, 11, 12
- 2014: 1, 2, 4, 5, 6, 7
- 2015: 8, 9, 10

### 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

- 2013: 8
- 2014: 1, 2, 3, 4, 5, 6, 8, 9, 10, 11, 12
- 2015: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12

### 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

- 2013: 8
- 2014: 1

### To create a web page which shows that Politecnico has adopted the Code of Ethics

- 2013: 1
- 2014: 2, 3, 4

### To insert a reference to the Code of Ethics in the preamble of every agreement and contract with an external organisation

- 2013: 1
- 2014: 2

### Feasibility study for the adoption of a software which is commercially available which serves as plagiarism checker

- 2013: 1, 2, 3, 4, 5
- 2014: 6, 7
- 2015: 8

### To make available the unpublished documents through open access, using best practices for attributing the non-commercial Digital Object Identifiers (DOI) for their identification

- 2013: 1
- 2014: 2

---

**MONITORING**

- **K**: Kick-off of the Monitoring Plan
- **M**: ADMIN-WG meets every 4 months to track progress, reporting thereupon to the Steering Board
- **FGR**: Researchers Focus Group will be consulted once a year
- **GB**: Update of University's governing bodies (once a year)
- **ASS**: Self-assessment of progress made (INDICATORS!!!)

**Note:** milestones
WORK IN PROGRESS – THE WEB SITE

THE EUROPEAN CHARTER FOR RESEARCHERS

In July 2006 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.