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D3.2 – Specification of HRS4R Actions

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1. Executive Summary

The HR Strategy for Researchers (HRS4R) is an institutional strategy to address the principles of the European Charter for Researchers. For a successful strategy and HRS4R institutional process and communication in alignment with one's overall university strategy, institutions can be awarded with the "HR Excellence in Research Award".

The document InCITIES Project Deliverable D3.2 Specification of HRS4R actions provides an overview of the HRS4R process according to the European Commission (section 3) and helpful tools and practices by TH Koeln (section 4) to be referred to by institutions aiming at engaging in the process.

The final sections of the document (sections 5-8) address steps discussed for each of the InCITIES partner institution. The tables were prepared through bilateral meetings with WP leader of TH Köln and with each consortium partner. Together with the WP leader, members of each institution analysed the current situation regarding the implementation of the 40 principles of Charter and Code at the institution in order to prepare the application for the HR Excellence in Research Award. Project Management, Timeline and Stakeholder involvement were discussed with each institution.

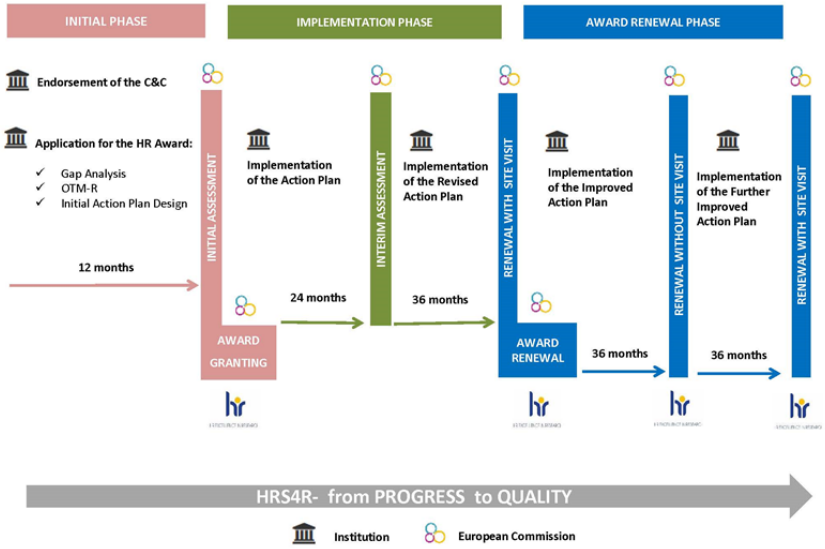
In the next step, the InCITIES institutions will further engage in the process, set up their teams and define the actions more detailed in order to proceed with their HR Excellence in Research applications.

2. History of Changes

Title of the document	Version number	Changes	Who	Date
D3.2 Specification of HRS4R Actions	0.1	Initial version	All authors for each institution, document compiled by the WP3 leader	15/04/2023
InCITIES Deliverable D3.2 - Specification of HRS4R Actions – 31-May-2023-version-1.0-Final	1.0	Final	Mirjam Heetkamp (TH Köln)	11/05/2023
InCITIES Deliverable D3.2 - Specification of HRS4R Action-version-2.0_rev05.04.2024	2.0	General Information on the HRS4R process added after feedback from Review Meeting	Mirjam Heetkamp (TH Köln)	05/04/2024

3. The HRS4R Process

The HRS4R Process is defined by the European Commission and consists of several phases in order to receive the HR Excellence in Research Award. Information on the process application for HR Excellence in Research Award can be found on the Euraxess Website: https://euraxess.ec.europa.eu/sites/default/files/hrs4r_procedure_flow_slide.pptx



4. Helpful Tools and HRS4R at TH Köln

The European Commission provides helpful information in regard to the HRS4R process on the EURAXESS platform. TH Koeln has engaged in the process from 2012 onwards and has been awarded with the HR Excellence in Research Award in 2024. Information on the HRS4R of TH Koeln is provided in the following section.

Helpful tools:

- HRS4R e-learning Tool: https://euraxess.ec.europa.eu/jobs/hrs4r/chapter-3#videos
- EURAXESS Policy Library: https://euraxess.ec.europa.eu/useful-information/policy-library#group-collapsible-strengthened-hrs4r-process
- Best Practices Endorsement Letters: https://euraxess.ec.europa.eu/sites/default/files/policy_library/new_versions_of_endorsement_letters_examples_for_the_policy_library__0.pdf
- European Charter for Researchers: https://euraxess.ec.europa.eu/jobs/charter/european-charter

Important steps at the beginning of the HRS4R process for each institution:

- Set up the institution specific HRS4R Project Management and agree on a timeline
- Establish a HRS4R Steering Committee and Working Group
- Hand in the Endorsement Letter
- Fill out the OTM-R Checklist and prepare OTM-R guideline
- Draft an Action Plan
- Communication and Involvement of the Research Community

HRS4R at TH Köln:

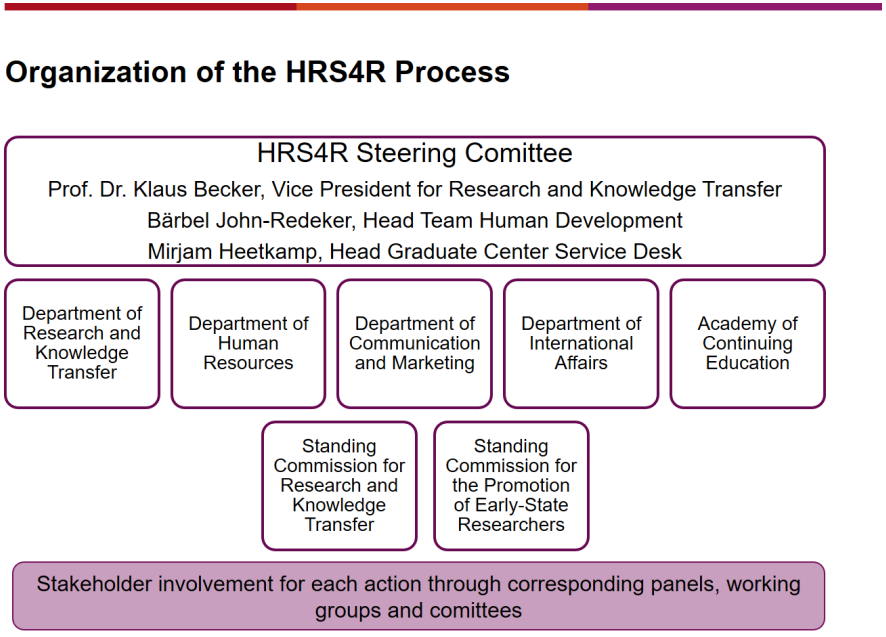


Figure 1 – Organization of HRS5R Process at TH Köln (Example)

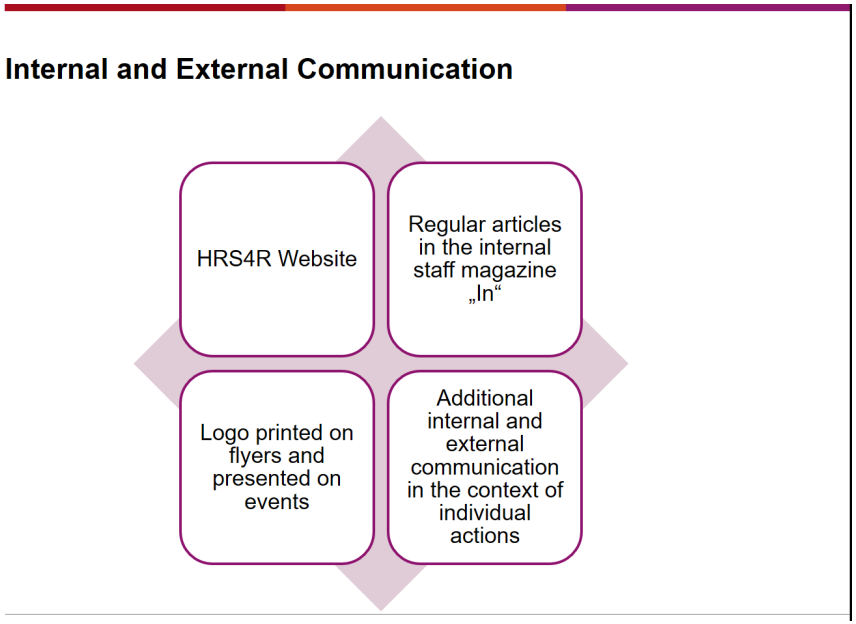


Figure 2 HRS4R - Internal and External Communication at TH Kön (Example)

Action Plan

Action Plan TH Köln: https://www.th-koeln.de/mam/downloads/deutsch/forschung/hrs4r_strategy_and_action_plan_2019_-_final.pdf
List of Actions: https://www.th-koeln.de/forschung/human-resources-strategy-for-researchers2_5228.php

Actions TH Köln – Selection of Practices

Ethical and Professional Aspects

Good Scientific Practice	New Regulations for Safeguarding Good Scientific Practice of TH Köln were adopted in 2021 and regular workshops for early-stage researchers take place.	https://www.th-koeln.de/en/research/research_44628.php
Code of Conduct for Research and Transfer	A Code of Conduct for Research and Transfer was adopted in December 2020. The document is handed out to all new employees and published on the website.	https://www.th-koeln.de/mam/bilder/internationales/logos/verhaltenskodex_fur_forschung_und_transfer.pdf (German only)
Commission for Responsibility in Science	The Commission for Responsibility in Science was established in July 2021.	https://www.th-koeln.de/forschung/kommission-zur-verantwortung-in-der-wissenschaft_88701.php (German only)
Creating and executing a Start-up Strategy	The Start-up Strategy adopted in 2018 complements the Transfer Strategy 2025 and the Patent Strategy.	https://www.th-koeln.de/en/research/start-ups_84170.php

Creating and executing a Research Strategy	The Research Strategy 2030 was adopted in 2021 and presents TH Köln's strategic development concept in regards to research activities.	https://www.th-koeln.de/en/research/research-profile_44619.php
Development of Consultation Services for Research Data Management	A website for research data management was created and a guideline on research data management adopted in 2021.	https://www.th-koeln.de/en/research/research-data-management_95579.php
Development of Patent Strategy	TH Köln uses its own patent strategy for the commercial exploitation of research results on industrial property rights. A PatentScout service is offered to researchers to support patent applications.	https://www.th-koeln.de/en/research/intellectual-property-rights_84135.php
Establishment of a Scientific Advisory Board	The scientific advisory board provides the university's executive board recommendations on issues relating to the university's scientific profile as well as the long-term and sustainable development of research, including its interaction with teaching and studies.	https://www.th-koeln.de//hochschule/wissenschaftlicher-beirat_82257.php

Recruitment and Selection

Guideline for Staff Recruitment in Science and Administration at the TH Köln (OTM-R)	The OTM-R guideline defines the basic principles of personnel recruitment for the entire university.	https://www.th-koeln.de/mam/downloads/englisch/research/guideline_on_personnel_recruitment_in_science_and_administration_at_th_koln_otm-r.pdf

Working conditions

Family-friendly University-Award	Balancing career and family or studies and family is challenging for everyone. Since 2011 TH Köln has been certified as "family-friendly university"..	https://www.th-koeln.de/en/family-friendly-university_74533.php

Training and Development of Early Stage Researchers

Graduate Centre	The Graduate Centre was established in 2016 and serves as a central scientific institution of TH Köln that represents the interests of doctoral researchers, postdocs, and supervisors.	https://www.th-koeln.de/en/research/graduate-center_83379.php
Coaching for Doctoral Researchers	Since 2016, Graduate Centre, in cooperation with the Equal Opportunity Office and the Centre for Teaching Development, offers a coaching program for female doctoral researchers. A coaching	https://www.th-koeln.de/en/research/coaching-program_83049.php

	program for male doctoral candidates has been set up in 2018.	
Guidelines for good supervision of doctoral research	Guidelines for good supervision were adopted in 2017. The aim of the guidelines is to ensure fair, performance-enhancing research and working conditions for the doctoral candidates in all faculties and institutes at the university.	https://www.th-koeln.de/en/research/supervision_82624.php
Information events for people interested in doctoral research	Information events for students interested in a doctorate take place 1-2x a year.	https://www.th-koeln.de/en/research/interested-in-a-doctorate_82697.php
Mathilde-von-Mevissen Funding for Female Doctoral Candiated	The promotion of female doctoral positions is intended to increase the proportion of female doctoral candidates at TH Köln, preferably in the MINT subjects.	https://www.th-koeln.de/en/research/mathilde-von-mevissen-funding_83494.php
PLan_CV: Rethinking professorial careers at universities of applied sciences	In 2021, TH Köln has launched the project “PLan_CV”.Its goals: increasing the attractiveness of professorial positions, strengthening dual qualifications and achieving greater permeability between the academic world and the business sector. The project focuses on holistic academic staff development and aims to benefit everyone involved – staff, university and its partners.	https://www.th-koeln.de/en/plan_cv-rethinking-professorial-careers-at-universities-of-applied-sciences_91807.php

5. Specification of HRS4R Actions ISCTE

	What	Details	When	Next step
1)	**HRS4R Project Management and Timeline**	Define Project Management and Draft Timeline	Agreement on project management and timeline before September 2023	Official internal designation (including resources), Meeting with rectorate
2)	**Establishment of HRS4R Steering Committee:**	Designated Members: Vice Rector for Research Jorge Costa, Head of Human Resources Isabel Rodrigues, Head Research Support Office Carina Cunha, Vice Rector for Internationalization Maria Guerreiro	First Meeting of steering committee in 3rd quarter of 2023,	Official internal designation (including resources), Meeting with rectorate, First meeting of the designated HRS4R steering committee
3)	**Endorsement Letter**	First step for timeline; letter to be signed by rector; examples on EURAXESS Website	According to timeline, October 2023 at the latest	Prepare letter for rector according to template
4)	**OTM-R Checklist**	Fill out OTM-R Checklist	According to timeline	Start filling out document by HRS4R steering committee members

5)	**Draft Action Plan**	Discuss with steering committee and draft Action Plan	According to timeline	Start filling out document by HRS4R steering committee members
6)	**Involvement of Research Community**	Involvement of Researchers Level 1-4, ideas to be discussed with steering committee members (e.g. Meetings, workshops, survey, involvement of university senate etc.)	Actions according to timeline	Collection of ideas and discussion with steering committee

6. Specification of HRS4R Actions Université Gustave Eiffel

	What	Details	When	Next step
1)	**HRS4R Project Management and Timeline**	Define Project Management (Project Group 2-3 people) Draft Timeline (HRS4R application to be handed in September 2025 at the latest)	Set up before summer (2nd quarter 2023) including timeline	Job position HRS4R to be filled; interviews 2nd quarter 2023
2)	**Establishment of HRS4R Steering Committee:**	Designated Members: VP for Research, VP for HR, HR Head, VP for Education, General Director for Services, VP for Equality,	According to timeline	Contact designated members
3)	**Endorsement Letter**	First step for timeline; letter to be signed by rector; examples on EURAXESS Website	According to timeline	Draft letter
4)	**OTM-R Checklist**	Fill out OTM-R Checklist	According to timeline	To be drafted by HR department
5)	**Draft Action Plan**	Discuss with steering committee and draft Action Plan e.g. Work on internal code; different statuses by researchers,	According to timeline	To be drafted at first HRS4R Steering Committee

6)	**Involvement of Research Community**	Involvement of Researchers Level 1-4, ideas to be discussed with steering committee members (e.g., Meetings, workshops, survey, involvement of university senate etc.) Communication with Researchers to be considered; mailings, internal newsletter, website, involve research college	According to timeline	Documentation of involvement of researchers for each action; Discussion communication plan in regard to researchers with steering committee

7. Specification of HRS4R Actions LAUREA

	What	Details	When	Next step
1)	**Establishment of HRS4R Steering Committee:**	Possible Members: Head Human Resources, Vice President Research and Development, one representative researcher of each level (senior lecturer, principal lecturer, researcher)	First contact in March	Reach out to possible members (ER), Establishment and organisation first meeting
2)	**HRS4R Project Management and Timeline**	Define Project Management and Draft Timeline (HRS4R application to be handed in September 2025 at the latest)	May 2023	Reach out to VP by ER to designate project manager and draft timeline
3)	**Endorsement Letter**	First step for timeline; letter to be signed by university leadership; examples on EURAXESS Website	According to timeline, latest by September 2024	Reach out to rector by Steering Committee
4)	**OTM-R Checklist**	Fill out OTM-R Checklist.	According to timeline	Draft to be filled by HR Department
5)	**Draft Action Plan**	Discuss with steering committee and draft Action Plan	According to timeline	Discussion with Steering Committee

		One possible action: evaluation of researcher career track (3 step path)[1]		
6)	**Involvement of Research Community**	Ideas: - Chat with Rector at each campus - Welfare questionnaire asking personal feedback from everyone - Meetings of Board of Directors, Staff and Student Representatives	According to timeline	Discussion with Steering Committee

[1] https://www.laurea.fi/en/current-topics/news/laurea-launches-researcher-career-track-with-ten-researcher-recruitments/

8. Specification of HRS4R Actions UNIZA

	What	Details	When	Next step
1)	**Establishment of HRS4R Steering Committee:**	Members of the Steering Committee can be Rector, Vice Rector for Science and Research, Vice Rector for Marketing and International Affairs, Head of HR Department	2nd quarter of 2023	Appointment with Vice-rector for Marketing and International Affairs to discuss next steps
2)	**HRS4R Project Management and Timeline**	Set up the Project Management, agree on timeline with the Steering Committee	2nd quarter of 2023	Draft a timeline to discuss at first steering committee meeting
3)	**Endorsement Letter**	Prepare a new endorsement letter by the Rector to be sent to EC (HRS4R portal EURAXESS)	According to timeline (application needs to be handed in 12 months after endorsement)	Preparation of the letter
4)	**Development HRS4R Communication Strategy**	Communication strategy including HRS4R Website with the information about process is updated with regular news; also including Internal Staff Magazine; internal UNIZA newsletter send by email; university	3rd quarter of 2023	Drafting Communication Strategy (1 page) and discuss at one of first steering committee meetings

		meetings (rector board meetings; senate, etc.)		
5)	**HRS4R Actions towards involvement of researchers R1-R4 - survey**	Survey addressing R1-R4 researchers referring to 40 principles of Charter and Code and actions	According to timeline	Set up a survey using best practices (e.g., EURAXESS Website; University College Cork)
6)	**HRS4R Actions towards involvement of researchers R1-R4 – coffee scientific (networking and information event for scientific staff)**	Open engagement event with researchers informing them about and discussing charter and code and prioritizing actions at UNIZA; include presentation of the survey results	According to timeline (2-3 months after the survey)	Find a date and venue; agenda, invitation etc.
7)	**Development OTM-R Guideline**	Developing and publishing an OTM-R Guideline (Example TH Köln/other universities) referring general principles and already existing university legislation as well as UNIZA guidelines and processes regarding recruitment	According to timeline (parallel with endorsement letter)	Draft a guideline, discuss with 1) steering board, 2) rector board meeting 3) senate?

9. Next steps

Applying for the HR Excellence in Research Award is a process and a long-term commitment for each institution. This document states the first steps to be undertaken by the InCITIES institutions working together to benefit from each others' practices. The next steps for each institution in regard to the HRS4R process will be followed according to the timeline. Regular meetings with the WP leader take place with each institution to get feedback and advice regarding the process of their applications for the HR Excellence in Research Award.