European Charter for Researchers

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EUROPE TODAY: REFLECTIONS

Divergence in HE public investments per citizen

Country	Funding 2012 - (mln €)	Population 2011 ('000)	Funding per citizen	Change 2008-2012	Change 2008-2012 Inflation-adjusted
Norway	3.621	4.953	731	22,0%	21,0%
Sweden	6.235	9.449	660	22,0%	21,0%
Germany	24.900	81.798	304	23,0%	20,0%
France	19.800	65.434	303	8,8%	6,4%
Iceland	87	319	273	13,0%	7,2%
Ireland	1.236	4.576	270	-20,0%	-21,0%
Austria	2.169	8.424	257	15,0%	13,0%
Netherland	3.232	16.693	194	10,0%	7,5%
Spain*	7.258	46.175	157	-9,5%	-11,0%
UK	9.815	62.744	156	-10,0%	-13,0%
Italy	6.633	60.724	109	-12,0%	-14,0%
Croatia	369	4.403	84	5,3%	1,8%
Slovakia	447	5.398	83	2,1%	-1,5%
Poland*	3.015	38.534	78	12,0%	8,6%
Czech Republic	802	10.496	76	-14,0%	-17,0%
Lithuania	189	3.030	62	-19,0%	-22,0%
Portugal	602	10.557	57	-1,5%	-4,1%
Hungary	542	9.972	54	-20,0%	-24,0%
Greece	200	11.300	18	-25,0%	-25,0%
Belgium - French Community	585	n.a.	0	19,0%	16,0%

Source: Reprocessing EUA's Public Funding Observatory and Word Bank Statistics

Political declarations: The Bucharest Communiqué (2012)

"Higher Education is an important part of the solution to our current difficulties.

Strong and accountable higher education systems provide the foundations for thriving knowledge societies.

Higher Education should be at the heart of our efforts to overcome the crisis – now more than ever."

The Ministers responsible for HE in the 47 countries of the European Higher Education Area (EHEA)

European differentiation vs European ~~disintegration?~~

A «REVERSE» ROBIN HOOD TALE

How do we contribute to Horizon 2020 and EU Budget?

- Running from 2014 to 2020 with an €80 billion budget (Source: MIUR)
- **Italy is expected to fund the overall budget with about €11 bln)**

- The contribution to the EU budget is calculated mainly on GNI (Gross National Income) and partly on the VAT (Value added tax) of a country
  - The four largest net contributors in absolute terms are Germany, France, **Italy**, UK
  - The four largest net contributors in per capita terms are Denmark, Finland, Germany, **Italy.**
  - The four largest net contributors as a proportion of GDP are Denmark, **Italy**, Germany, Finland.

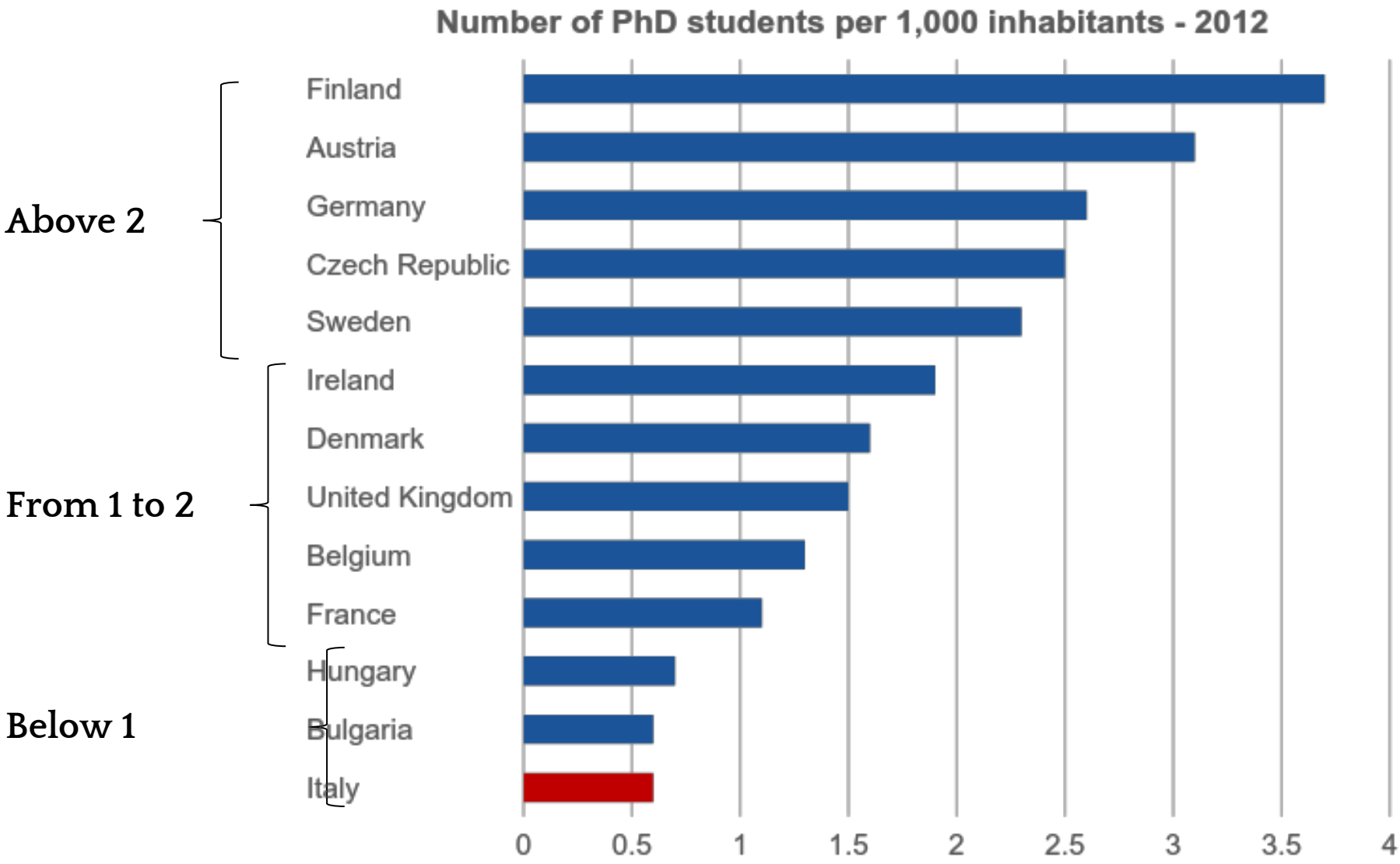
The rules of the game: Academic staff

	Absolute values in 2010				
Country	**Grade A**	**Grade B**	**Grade C**	**Grade D**	**Total**
Italy	**15,854**	**16,955**	**26,179**	**17,492**	**76,930**
France	25,605	59,822	5,277	14,854	105,508
Germany	13,613	28,206	15,782	152,948	210,549
Spain	10,237	32,908	8,968	63,466	115,579
The Netherlands	3,158	2,450	5,325	16,932	27,865
UK	15,391	30,686	36,040	30,767	112,884
Sweden	5,314	24,052	1,332	9,155	39,853

Fonte: Commissione Europea – She figures 2012 –(ANVUR 2014)

In Italy:	Grade A	Grade B	Grade C	Grade D
	P. Ordinario	P. Associato	Ricercatore	Assegnista

The rules of the game: PhD students



Source: Eurostat, PhD Students (ISCED level 6), 2012, Elaboration ADI

THE EUROPEAN CHART FOR RESEARCHERS

European Charter for Researchers: Aims

The **European Commission** adopted in **March 2005** a **European Charter for Researchers** and a Code of Conduct for the Recruitment of Researchers.

As part of the EU's policy to increase the attractiveness of research careers, **the Charter and Code of Conduct aim to give equal rights and obligations to individual researchers throughout Europe**, therefore improving mobility and working conditions as well as reinforcing research and development across Europe.

European Charter for Researchers: What is missing?

- Unfortunately, a signature of support does not necessarily translate into action: there are still significant barriers regarding social security, administration and pensions,
- Integrated social security system
  - portable pensions
- Personal database
  - status of 'researcher in Europe'
  - Researchers as Clerici Vagantes
- Status of PhD candidates
  - The European Charter: "all researchers, including postgraduate students and doctoral candidates should be recognised and treated as 'professionals'"

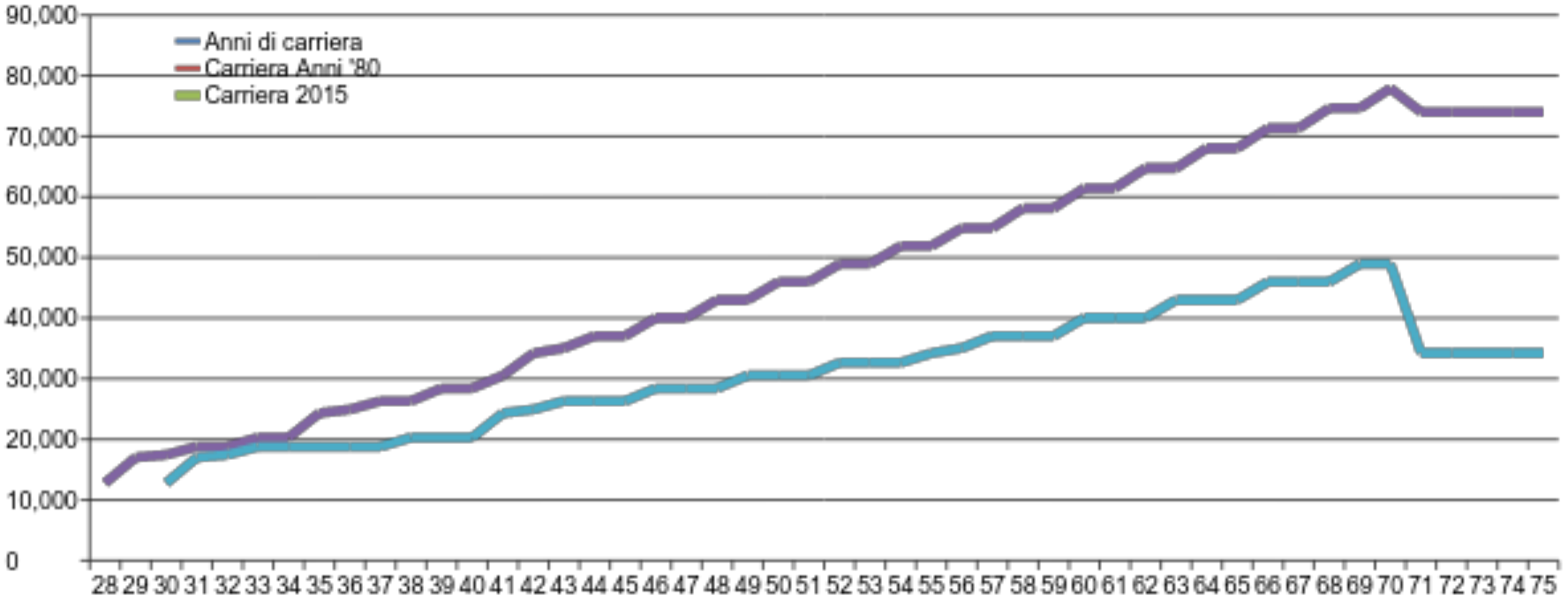
CONCLUSIONS

A set of rules for a proper competition

- The European Research Area needs a set of rules where researchers may feel at home because:
  - Anomalies in the distribution of resources are mitigated, not enlarged, by EU rules;
  - There are local regulations, but in a general framework where the "rules of the game" are the same;
  - Competition is fair, and the differences are not as such that the outcome of competition is known *ex ante*!

Intergenerational equity

- Comparison by age of the average salary a professor who started the academic career in the Eighties and the perspective income of a PhD student who start academic career today



The direction

…towards a real European market…

For research and researchers!

APPENDIX

General Principles and Requirements applicable to Researchers

- 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.
- Ethical principles
  - Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.
- Professional responsibility
  - Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.
  - They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.
  - Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

General Principles and Requirements applicable to Researchers

- Professional attitude
  - Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.
  - They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.
- Contractual and legal obligations
  - Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.
- Accountability
  - Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.
  - Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

General Principles and Requirements applicable to Researchers

- Good practice in research
  - Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.
- Dissemination, exploitation of results
  - All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results 14 are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.
- Public engagement
  - Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

General Principles and Requirements applicable to Researchers

- Relation with supervisors
  - Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.
  - This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.
- Supervision and managerial duties
  - Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.
- Continuing Professional Development
  - Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

General Principles and Requirements applicable to Employers and Funders

- Recognition of the profession
  - All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).
- Non-discrimination
  - Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.
- Research environment
  - Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.
- Working conditions
  - Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career9. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

General Principles and Requirements applicable to Employers and Funders

- Stability and permanence of employment
  - Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work10.
- Funding and salaries
  - Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.
- Gender balance
  - Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

General Principles and Requirements applicable to Employers and Funders

- Career development
  - Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.
- Value of mobility
  - Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual12 mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.
  - This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.
- Access to research training and continuous development
  - Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.
  - Such measures should be regularly assessed for their accessibility, takeup and effectiveness in improving competencies, skills and employability.

General Principles and Requirements applicable to Employers and Funders

- Access to career advice
  - Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.
- Intellectual Property Rights
  - Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.
  - Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.
- Co-authorship
  - Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

General Principles and Requirements applicable to Employers and Funders

- Supervision
  - Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.
  - Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedbackmechanisms.
- Teaching
  - Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.
  - Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

General Principles and Requirements applicable to Employers and Funders

- Evaluation/appraisal systems
  - Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.
  - Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.
- Complaints/appeals
  - Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/ appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.
- 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 institution13.

General Principles and Requirements applicable to Employers and Funders

- Recruitment
  - Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.
  - Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.