



# Guidelines for identification of best practices in research human potential management at EU universities and for performing the gap analysis

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## Introduction

### *To whom this document is intended*

The document is a tool for the collection of EU practices in managing researcher potential in the Universities of Coventry, Liege and Torino.

### *Objectives*

The objective of this document is to guide the activities of the preparation of joint meetings with WBC universities, to be organized in 2016. The EU partners are invited to prepare feedback on the questions, listed in the guidelines. The feedback should be presented during the visits of WBC universities. The questions are a subset of the questions from the questionnaire for mapping researcher potential and issues in WBC universities.

### *Data collection*

The questionnaire covers a range of topics relevant for HR management in research institutions, all of which are highlighted in the European Charter and Code, or The Human Resources Strategy for Researchers (HRS4R) process<sup>1</sup>. These topics are highly relevant for the overall objectives of Re@WBC project. The accuracy (or reliability, in case of estimations) and completeness of the input, provided by the partners are very important for the fulfillment of these objectives, in terms of establishment of a baseline for future activities. Thus, all partners are requested to provide accurate, and useful information.

### *How the data will be used*

The data, collected by this questionnaire will form the basis of a synthesis report<sup>2</sup>. The report will also consider the data collected by the WBC universities, by using another questionnaire very similar to this one. The synthesis report will be developed by University of Niš.

### *Help and support*

The person in charge of the mapping exercise from the University of Niš, namely a project mapping coordinator, is assigned. The project mapping coordinator will keep in contact with local mapping coordinators, and offer and provide help and assistance in data collection and missing and/or uncertain data situations. The role of project mapping coordinator is assigned to Milan Zdravković<sup>3</sup>.

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<sup>1</sup> <http://ec.europa.eu/euraxess/index.cfm/rights/strategy4Researcher>

<sup>2</sup> In the Re@WBC project, the synthesis report is referred to as "Comparative (gap) analysis"

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# Questionnaire

## 1. Research potential

### 1.1. Human resources potential

1.1.1. Would you consider a gender balance in your university as fair? Highlight the most important aspects, including overall gender balance, scientific excellence (mentoring/supervision, project coordination and leadership, outstanding scientific achievements), management (deans, department managers, centers management, etc.) and situation in different scientific fields:

1.1.2. Any other remarks relevant to human resources potential at your university?

## 2. Employment and career development

### 2.1. Employment and promotion

2.1.1. Where are all open positions advertised? Provide URL of a web page, if any.

2.1.2. How many days are the positions advertised for?

2.1.3. What is the maximum length of the contracts (with all possible extensions) for each of the positions? Indicate which positions can be permanent<sup>4</sup>.

2.1.4. What are the typical durations of contracts for each of the positions?

2.1.5. Does your university support/implement transferrable grants<sup>5</sup>? If yes, could you shortly describe the process of a transfer?

2.1.6. List all criteria factors<sup>6</sup> which are formally taken into account for career progression<sup>7</sup> (for example, from assistant to associate professor). Consider all possible promotions, not only the one given as an example.

2.1.7. Describe shortly the process (in bullet points - steps) in which the members of evaluation committees are nominated. Are there any criteria for participation in evaluation committees?

2.1.8. Describe shortly the process of candidate selection (in bullet points - steps). Are there standard evaluation templates (allowing that different standard templates may exist for the different scientific fields)?

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<sup>4</sup> For example, in Serbia, all full professorships positions are permanent, while all others are temporary.

<sup>5</sup> When a researcher transfers from one institution to another and requests continued support from a previously approved grant/project at the new location

<sup>6</sup> Possible criteria factors include but are not restricted to papers in journals, books, mentoring, participation in evaluation committees, project coordination, etc.

<sup>7</sup> Do not include the ones that are regarded but not mandatory, list only mandatory criteria.

- 2.1.9. Who is entitled to make a decision on announcing an open position at your university (or faculties, in case of disintegrated university)? List all possible factors for rendering such a decision, for example: long-term employment strategy, short-term need (available project grant), retirement, any other.

## 2.2. Career development services

- 2.2.1. What are the most commonly provided Career Development services to students?
- 2.2.2. How much staff is currently employed or engaged in the CD center at your university? What is their specialty and/or background (legal, administrative, marketing, etc.)? How many full time employees in CD center (working exclusively in providing CD services) are there?
- 2.2.3. Did staff of CD center receive some training? In which skills?
- 2.2.4. Does CD center at your university provide services to PhD students or researchers? If yes, what are the most commonly provided services to PhD students/researchers?
- 2.2.5. Does CD center at your university give trainings/courses to students/PhD students/researchers? In which skills?

## 3. Ethics

### 3.1. Institutional tools

- 3.1.1. Describe the process (in bullet points - steps) of nomination of members of Ethical Committees.
- 3.1.2. Present a few typical reasons for Ethical Committee engagement (in bullet points).
- 3.1.3. What are the possible consequences of a found misconduct? Are there any consequences for a complainant if his/her complaint is found to be unsupported?
- 3.1.4. Would you consider the cases handled by the Ethical Committee transparent? Which information is published on the university website (separately, during process and post-mortem)? URL?
- 3.1.5. Are members of Ethical Committees remunerated for their work? If yes, how is the amount of remuneration is determined? How the work of Ethical Committees is funded?
- 3.1.6. Are there any tools in your university which can help members of Ethical Committees in their work, such as plagiarism monitoring tools, PhD databases, etc.?
- 3.1.7. Does the Ethical Committee discuss the ethical issues arising from research projects, such as privacy, data protection, animal testing, clinical trials, etc.?

### **3.2. Seniority culture and its impact to research freedom**

- 3.2.1. Would you consider a situation in which PhD students are supervised by younger researchers (level of assistant professor) as common?
- 3.2.2. Would you consider a situation in which research projects are managed by younger researchers (level of assistant professor and below) as common?

## **4. Working conditions**

### **4.1. Working conditions**

- 4.1.1. Is there a EURAXESS Service Centre at your university? If yes, how many people are involved in its activities? What are their specialties and/or backgrounds? Which services are typically given?
- 4.1.2. What is the typical teaching/research balance in your university (estimation in percentage, provide different estimations for different scientific fields, if relevant)? What is average engagement (number of classes per week) in teaching, in different scientific fields, in different career levels/positions? Are PhD students involved in teaching activities? If yes, how many classes per week (typically)?
- 4.1.3. Do you have agreements with industries and/or other research organizations related to access to their specific research infrastructures?
- 4.1.4. Did your university implement a specific award system for extraordinary achievements in science and research?
- 4.1.5. Is sabbatical opportunity used in your university? Under which conditions? What are the typical purposes? Under which conditions, can a researcher working in your university pursue a visiting professorship opportunity?

## **5. Accountability and public responsibility**

### **5.1. Accountability of researchers**

- 5.1.1. How would you consider the level of awareness of researchers in your university on ethical issues and standards in research, related to data protection, privacy, confidentiality, plagiarism and others?
- 5.1.2. How would you consider the level of awareness of researchers in your university on the contractual and legal obligations arising from work contracts, laws and by-laws?
- 5.1.3. Which kind of reports related to teaching and research are the researchers in your university obliged to submit to management (in bullet points)? In which periods? How are these reports used, for statistical purposes/reporting to other bodies/individual assessment and evaluation/other?

## 5.2. Public engagement

- 5.2.1. List the typical activities (in bullet points) in which scientific results and achievements in your university are presented to the wider public:
- 5.2.2. Does your university have a PR department? If yes, how many people work in this department? What are their typical activities (in bullet points)? Do you have media kits?
- 5.2.3. Do you have university Facebook or Twitter account? If yes, is it regularly used for promotional activities? URL?

## 6. Training

### 6.1. Mentoring/supervision

- 6.1.1. Under which conditions (bullet points), can a researcher at your university work as a mentor /supervisor to a PhD candidate?
- 6.1.2. Under which conditions (bullet points), can a researcher at your university participate in a PhD evaluation committee?
- 6.1.3. When, after admission, is a PhD candidate in your university assigned a mentor/supervisor? What is the process for assigning a supervisor to a PhD candidate (bullet points)? Can the candidate have any influence on that decision (in other words, can he/she choose a mentor)?
- 6.1.4. Does PhD candidate or his/her mentor/supervisor submit regularly reports on his/her work? What exactly is reported (bullet points)? How these reports are used afterwards?
- 6.1.5. Under which conditions can a PhD candidate in your university be granted a request to change an assigned mentor or supervisor?
- 6.1.6. Are mentors remunerated for the mentoring/supervision work? How?
- 6.1.7. Are members of the PhD evaluation committees remunerated for their work? How?

### 6.2. PhD training

- 6.2.1. Does your university offer accredited PhD and/or master courses not native/English language? In which scientific fields? If yes, did you implement such courses so far? Any identified issues? If not, what is the reason for not offering such courses?
- 6.2.2. Does your university offer joint PhD degrees in collaboration with other universities? In which scientific fields? If yes, what were the main challenges? If not, what is the reason for not offering such degrees?
- 6.2.3. What is the typical engagement of PhD students in your university, in summer schools, visits to industry/other research organizations, participation at conferences and other similar

activities? How are the costs of such activities covered?

- 6.2.4. In which transferable skills are the PhD students in your university trained during their studies<sup>8</sup>? Is this training a regular part of the offered PhD courses?

## 7. Research projects and collaboration

### 7.1. Research projects

- 7.1.1. How is the research in your university funded? Can you estimate a proportion of overall research funding, coming from: a) national research fund; b) EU programmes; c) industry collaboration; d) own funds? Separate estimations in different scientific fields will be strongly regarded.
- 7.1.2. Does your university maintain a central database of research projects? Is this database open?

### 7.2. Research collaboration

- 7.2.1. What are the main ways that industry is involved in the formal research process (in specific, PhD studies and evaluation committees)?
- 7.2.2. Describe your activities in collaboration with the alumni association and scientific diaspora. Who carries out those activities?
- 7.2.3. How would you rate the collaboration of research teams in your universities with other actors, e.g. public administration, NGO, etc.

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<sup>8</sup> Examples of transversal skills: Creative skills (analysis, problem solving, critical thinking, ability for formulate new problems and ideas), Interpersonal (social) and leadership skills, Project management & organization, Research information management, Entrepreneurship, IPR, Self-management & work habits, Written and oral communication, Presentation skills, and others