



The new ERA and the Charter & Code

Principles of the European Charter and the promotion of young human capital in the context of the new ERA

Percorso di formazione sulle soft skill dei dottorandi

5 November 2021

DG RTD - Unit A.3 - R&I Actors and Research Careers

The new European Research Area

Patricia Postigo McLaughlin
DG RTD - Unit A.3
R&I Actors and Research Careers

<https://audiovisual.ec.europa.eu/en/video/I-195567>



European
Commission

The ERA concept

- **2000:** ERA launched to reduce fragmentation of EU's R&I system
- ERA conceived as a system of systems
 - Alignment on priorities, avoiding duplication – the problem is not money, but reaching critical mass
 - Analogies with common market: a common market for science.
 - Analogy with the four market freedoms – goods / knowledge, people / researchers, services / scientific tools including EOSC, capital / pooling-aligning investments

A journey throughout the ERA

Phase 1 MORE COHERENCE, LESS FRAGMENTATION | 2000 - 2007

Towards a European Research Area

*'The problem is not money but **fragmentation of the efforts** carried out at European level... So it is imperative that we mobilise resources and create a movement towards coherence of research policies in Europe. This is why I have launched the idea of a European Research Area.'*

Commissioner **Philippe Busquin**, 18 November 2000

FOCUS

A better organisation of research in Europe by addressing the fragmentation, isolation and compartmentalisation of national research systems and the lack of policy coordination between Member States and the EU.

PRIORITIES

- Large scale research infrastructures
- coherent implementation of national and European research activities
- mobile human resources
- cohesion
- attractiveness of the European R&I system
- common social and ethical values

ACHIEVEMENTS

- New instruments of FP6,
- ERA-NET
- Article 185 and 187 initiatives
- EURAXESS
- European Charter for Researchers
- the Code of Conduct for Recruitment of Researchers



Phase 2 THE FIFTH FREEDOM TO BECOME A REALITY | 2007 - 2012

The ERA: new perspectives

'We are gradually lifting the barriers to the freedom of movement of knowledge: we are making the "5th Freedom" a reality... Investing in R&D and innovation is not a supplementary burden but an indispensable investment in future jobs and growth.'

Commissioner **Janez Potocnik**, 2 December 2008

2009

ERA becomes a formal objective of the EU- Lisbon Treaty (Article 179 TFEU)



ERA National Action Plans on six agreed 'ERA priorities'



Phase 3 STRENGTHENING THE PARTNERSHIP BETWEEN THE COMMISSION, MEMBER STATES AND STAKEHOLDERS | 2012 - 2020

A reinforced ERA partnership for excellence and growth

Talk to any business leader and they will tell you that the quality of the research base is a major factor in their investment decisions. In today's economy, no Member State or region can afford to neglect its knowledge base.'

Commissioner **Maire Geoghegan-Quinn**, 17 July 2012

The European Research Area: 20 years on



Successes

- 37 **Research Infrastructures** implemented with close to 20 billion euro in investment
- 7 billion euro in **joint programmes** between Member States
- Better **research careers**: Charter and Code for Researchers, EURAXESS
- European **Open Science** Cloud



Points for improvement

- **3% target** not reached, lagging in private investment, public investment stagnated
- Significant **divides in R&I performance** across the EU
- More ambitious **policy reforms**
- Need to improve on **translating R&I results to the economy and to support the transition and the recovery**
- Progress to **gender equality**
- Better involvement of **citizens and society**

New political and social context: pandemic, climate and digital transitions, geopolitical shift.

Re-launching ERA

- Commission ERA Communication of September 2020, which proposed four new strategic objectives to revamp the ERA, a Roadmap of concrete joint actions, as well as new governance elements;
- The ERA Council Conclusions of 2020, which asked the Commission and Member States to roll-out the new ERA;
- The ERA Forum for Transition has been set up (as a Commission Expert Group);
- On 16 July the Commission adopted a proposal for a Council Recommendation on a Pact for Research and Innovation in Europe;
- The Council is preparing conclusions on the future ERA governance and the ERA Policy Agenda, as well as a Council Recommendation on the Pact for R&I;

Shaping the new ERA through 14 actions (1/2)

Prioritising
investments

1 Reaffirm the **target of 3% GDP on EU research and development investment** and propose a new EU 1.25% GDP public effort target to be achieved by Member States by 2030.

2 Support Member States in the coordination and prioritisation of national research and innovation funding and reforms through an **European Research Area Forum for Transition**. Voluntarily commit 5% of national public research and development investments to joint programmes and European partnerships by 2030.

Access to
excellence

3 Support Member States that are below the EU average level of research and innovation investments **to increase their investment by 50% in the next 5 years**.

4 Support Member States that have lower performance in training their researchers to access and develop excellence and **increase their number of highly cited publications by one-third over 5 years**.

Translating R&I
results into economy

5 Develop common **industrial technology roadmaps** to maximise innovation in strategic areas like Artificial Intelligence, circular industries and resilient health industries.

6 Develop and test a **networking framework in support of Europe's research and innovation ecosystems**, building on existing capacities, to strengthen excellence and maximise the value of knowledge creation, circulation and use.

7 Update and develop guiding principles for **creating value from knowledge** and a code of practice for the **smart use of intellectual property**.



Shaping the new ERA through 14 actions (2/2)

Deepening the ERA

- 8 Deliver a **toolbox of measures to support researchers' careers**, through a mobility scheme, trainings and more, in order to make Europe more attractive for talent.
- 9 Launch a platform of **peer-reviewed open access publishing** and incentivise **open science practices** by improving the research assessment system.
- 10 Support the creation of **world-class research infrastructures** and establish an updated governance structure for research and **technological infrastructures**.
- 11 Develop a **roadmap of actions** for creating synergies between higher education and research, notably building on the dual role of universities.
- 12 Develop concrete plans with Member States to promote **gender equality**, as well as diversity and inclusiveness, in science, research and innovation.
- 13 Organise **citizen science campaigns** and hackathons to engage citizens, especially young people, in science and innovation.
- 14 Develop with Member States a new approach to set and implement **strategic priorities** for the European Research Area, through a **Pact for Research and Innovation in Europe**.



How it concerns you

fully exploiting universities' potential in ERA

**Commission
proposes**



Empowering universities and surrounding ecosystems, as part of key synergy initiatives between EEA and ERA

- Higher Education Transformation Agenda empowering universities to modernise, covering education, R&I and service to society missions
- Toolbox of legal measures facilitating cross-border cooperation
- Investment strategy to deliver on the transformation agenda, in synergy with other EU and national funding programmes
- Protection of academic freedom

How it concerns you / 2

Research careers and mobility

Commission proposes

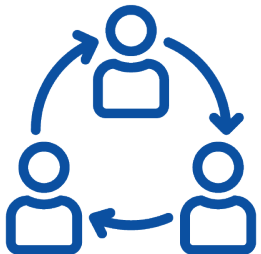


European framework for research careers

- comparable and interoperable research careers
- taxonomy of researchers' skills and competences, new ESCO classification
- improving employability & entrepreneurial skills, reform research assessment

Accompanying measures

- Observatory to monitor trends (labour market, careers, skills, mobility)
- Revamped Charter & Code and new ERA Talent Platform (EURAXESS)



ERA4You initiative

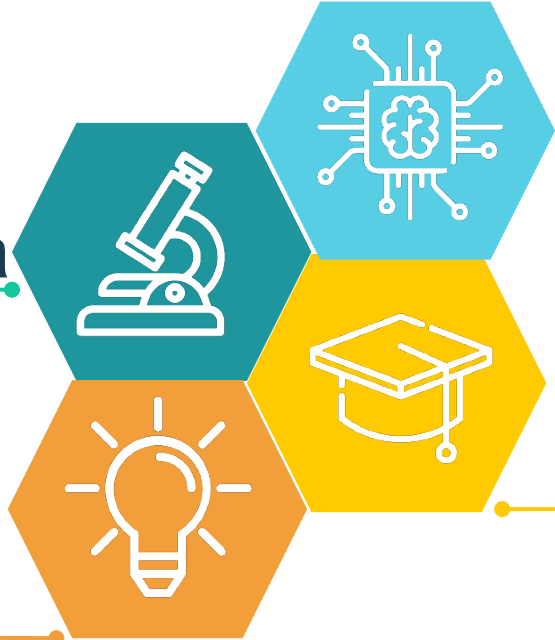
- targeted mobility measures attracting talents to Widening countries
- mobility schemes between industry and academia, incentivising researchers to pursue careers outside academia

Promoting synergies and reinforcing knowledge

European Research Area (ERA)

Skills Agenda

- Pact for Skills
- Strengthen skills intelligence
- Roll out the European Universities initiative and upskilling scientists
- Skills to support the green and digital transitions
- Skills for life
- Increase STEM graduates, foster entrepreneurial and transversal skills



Digital Education Action Plan

- Help develop high-performing digital education ecosystems
- Enhance digital skills and digital transformation competences

European Education Area (EEA)

Enabling young people to benefit from the best education and training, and to find employment across Europe

- Spend time abroad to study and learn as norm
- Recognise school/ higher education qualifications across EU
- Access to high-quality education for everyone, irrespective of socio-economic background
- Strong sense of identity as a European, of Europe's cultural heritage and its diversity.

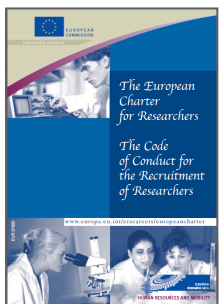
The European Charter & Code and its implementation strategy

State of play and developments

Michele ROSA-CLOT
HRS4R portfolio manager
DG RTD.A.3 - R&I Actors and Research Careers

The “Charter & Code” and its implementation

Charter & Code



2005

*EC recommendation
2005/251/EC*

HRS4R procedure



2008

Mechanism of C&C implementation

H2020 MGA, Art. 32



2014

*'Best effort' obligation
for beneficiaries*

Strengthened HRS4R procedure



2017

*OTM-R Checklist
added to the
self-assessment process*

Digitalisation of HRS4R



2018

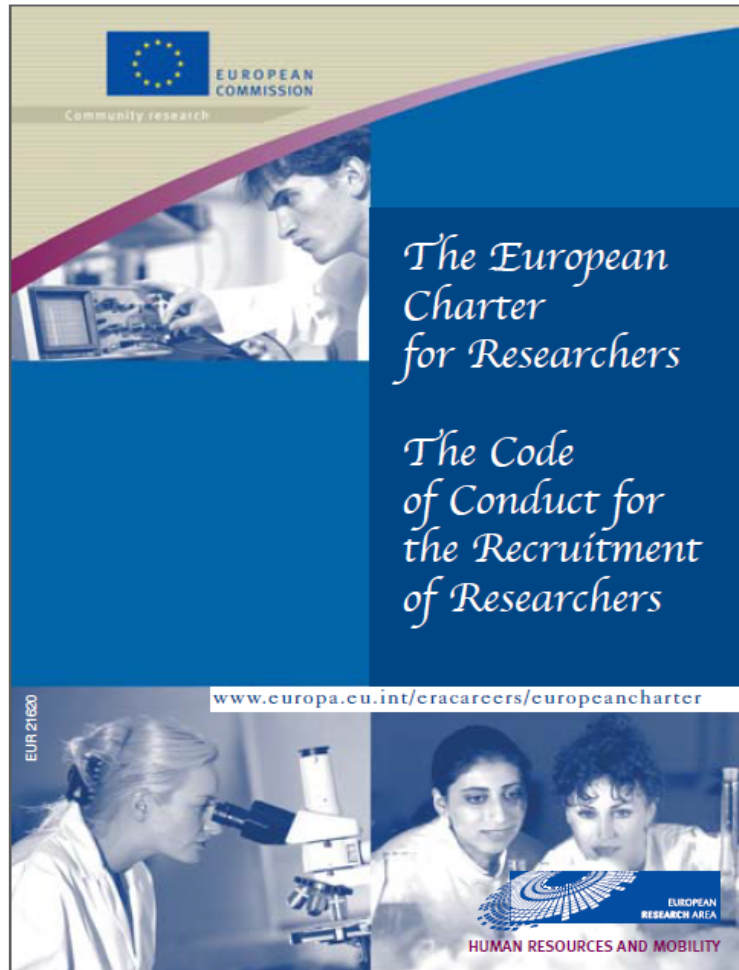
*E-tool of the HRS4R
process*

Overall
GOAL

Foster an open, transparent, sustainable European labour market for researchers

Charter & Code

The cornerstone of research careers policy (former ERA priority 3)



The Charter (the European Charter for Researchers)

- set of principles for the roles, responsibilities and entitlements of researchers
- Provides a reference framework.

The Code (the Code of Conduct for the Recruitment of Researchers)

- Provides for transparency of the recruitment and selection process, ensuring equal treatment for all applicants
- Includes obligations for employers and funders

Commission Recommendation on Charter and Code 4 pillars to strengthen the ERA

40 principles in 4 Thematic Areas:



1. **Working Conditions & Social Security** - promoting and creating a stimulating and favourable working environment
2. **Recruitment** - assessing, attracting and retaining talent; international visibility
3. **Training and Career Development**
4. **Ethical and Professional Aspects**

Commission Recommendation on Charter and Code 4 pillars to strengthen the ERA

40 Principles



- ✓ Research freedom
- ✓ Dissemination and exploitation of results
- ✓ Recognition of the researcher's profession
- ✓ Working conditions
- ✓ Stability and permanence of the employment
- ✓ Remuneration package (funding and salaries)
- ✓ Gender balance
- ✓ Career development
- ✓ Access to research training and continuous development
- ✓ Intellectual property rights
- ✓ Evaluation and appraisal systems
- ✓ Code of recruitment of researchers (OTMR)

HRS4R STRATEGY in a nutshell

The Human Resources Strategy for Researchers (HRS4R) is the mechanism to implement the principles set forth in the C&C:

- **Voluntary, structured and monitored auditing mechanism**, centered on a **continuous assessment** cycle
- Based on **gap-analysis** and **action plans** for ongoing monitoring, self-assessment, peer reviews



gap analysis

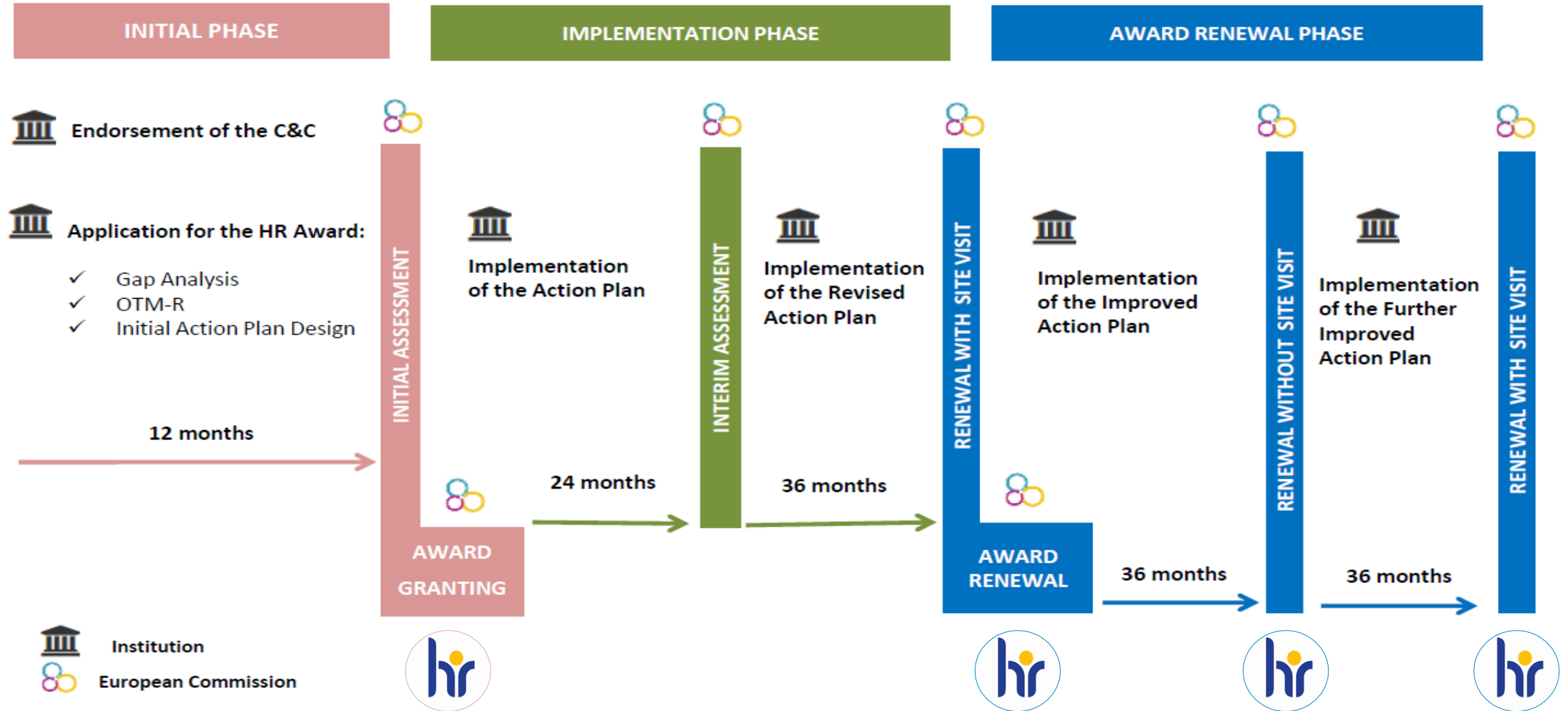


action plan



online
publication

HRS4R – A long term commitment



Horizon 2020 - MGA Article 32

Beneficiaries must take all measures to implement the principles set out in the C&C, in particular regarding:

- working conditions
- transparent recruitment processes based on merit
- career development

Best effort obligation: “must be proactive and take specific steps to address conflicts between their policies and the principles set out in C&C”

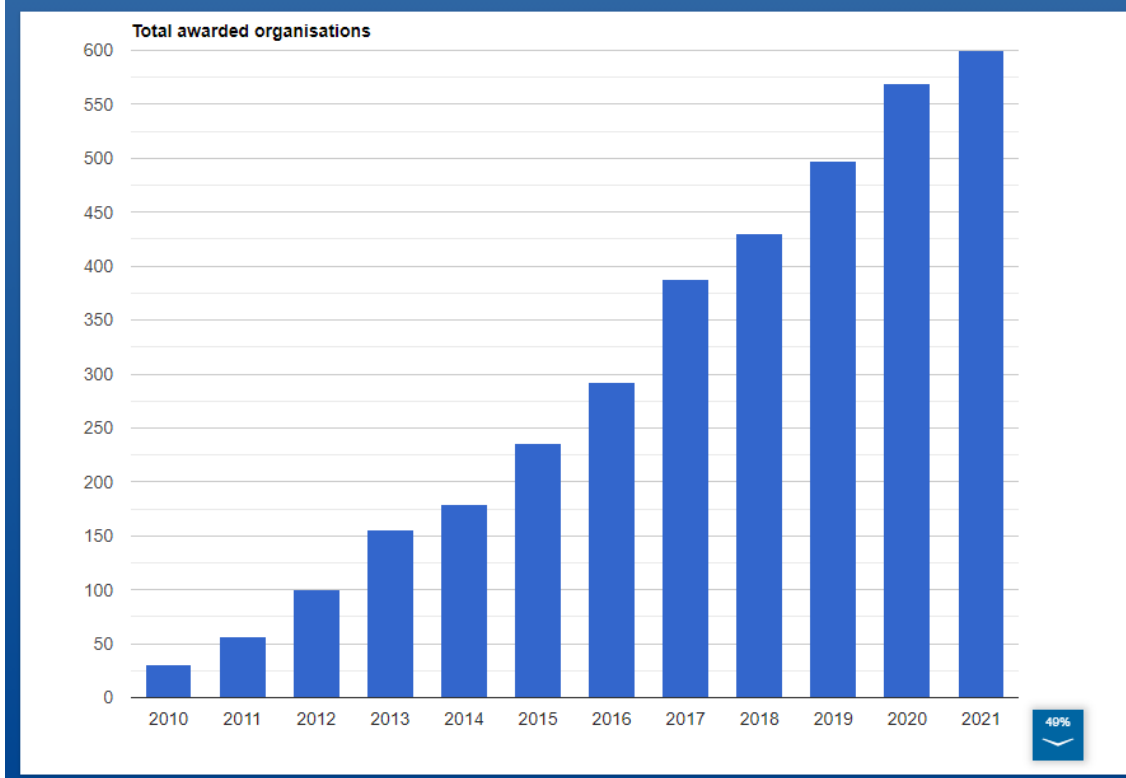
Beneficiaries should keep **appropriate documentation** about the steps taken and measures put in place.

C&C and HRS4R: statistics

Awarded organisations 2010-2021



||| Total awarded organisations



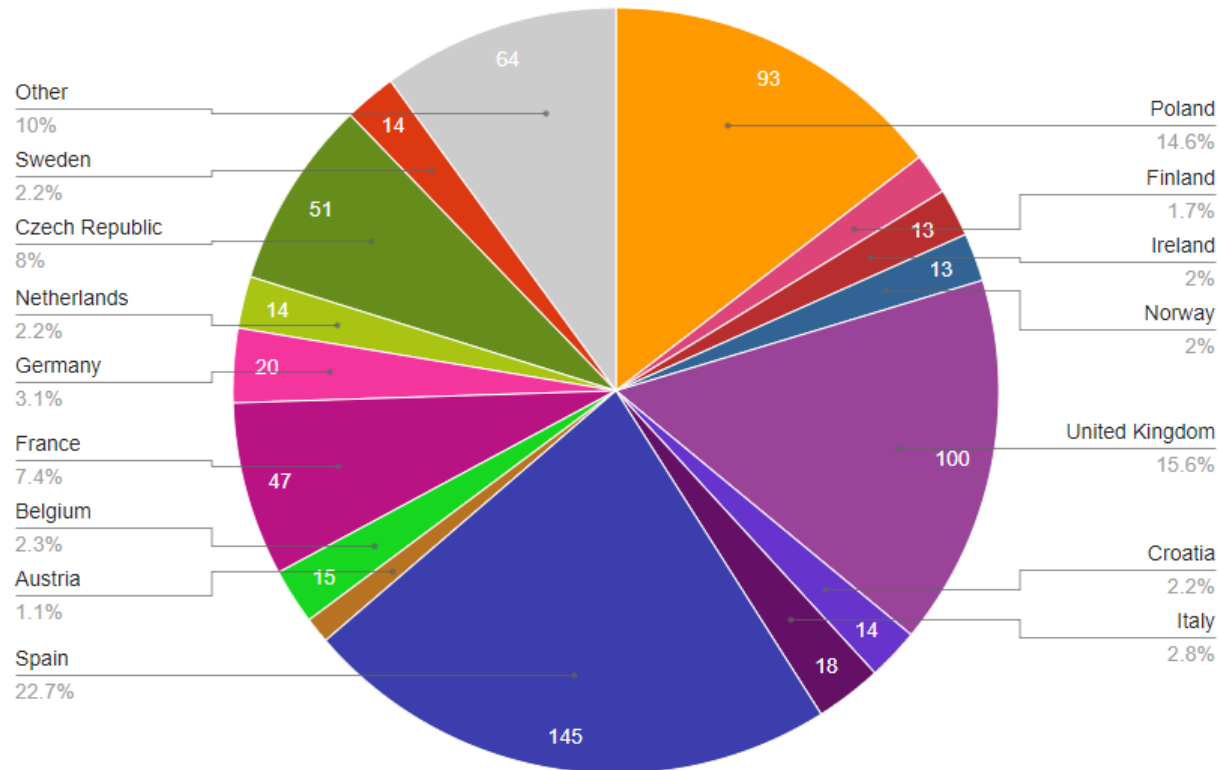
- ❖ 1300 Institutions have endorsed the Charter & Code principles
- ❖ 630 research institutions from over 40 Countries received the HR Excellence in Research Award
- ❖ 67 new institutions were awarded in 2019
- ❖ 72 new institutions were awarded in 2020
- ❖ 60 awarded in 2021

<https://euraxess.ec.europa.eu/jobs/hrs4r/dashboard>

HRS4R: figures



 Awarded organisations per country



<https://euraxess.ec.europa.eu/jobs/hrs4r/dashboard>

In 2021 (to-date):

- ❖ 180 assessments
- ❖ 18 site visits already performed + 20 in preparation*
- ❖ Over 100 institutions are currently preparing for the Award (initial phase)
- ❖ Over 200 organizations currently preparing for renewal

HRS4R: reported benefits

observed by experts and institutions

- **Process itself** (framework for institution strategy)
 - Catalyst for change
 - giving support for internal processes and developing good practices;
 - bringing essential human resource policies into the foreground of institutional policy-making
- **Internationalization**
 - Raises awareness of European and international context to all staff;
 - Participation in international networks and sharing best practice on issues such as career development and supervision
 - Supports open-mindedness; facilitates change in internal process, ...
- **Improvement & Progress**
 - put researchers at the core of process and engages all categories of researchers to define activities tailored to different career stages;
 - it creates favorable conditions for research career development and develops career support actions;
 - Promotes equal opportunities
 - Improves researchers' status and working conditions
 - Foster in-house transversal cooperation
 - showcases achievements that would go collectively unseen otherwise...

HRS4R: reported benefits

observed by experts and institutions

- **Visibility**
 - Increased national and international visibility
 - demonstrates a commitment to good working conditions and career development for researchers
 - induces cultural change, promotion and support of a European network and a collection of best practices
- **Attraction and mobility**
 - Enhanced ability to attract and retain high caliber staff
 - Promotion of the commitment and strengthen the attraction, development and retain of national and international researchers and staff to pursue research excellence
 - Contributes to the reestablishment of a symmetry in brain mobility
- **Added value**

Added value to funding applications (Art 32 compliance)...

ERAC Taskforce (HRM, Open Science, Gender)



40 principles
???



- ❖ A more ambitious C&C - Potential review through the lenses of:
 - ✓ Human Resources and Mobility trends
 - ✓ Open Science
 - ✓ Gender
- ❖ Desk research
- ❖ 4 Webinars with MS delegates, experts/ stakeholders
- ❖ Analysis of results & consultation:
 - ✓ End of 2020
- ❖ ERAC- PT Presidency Workshop

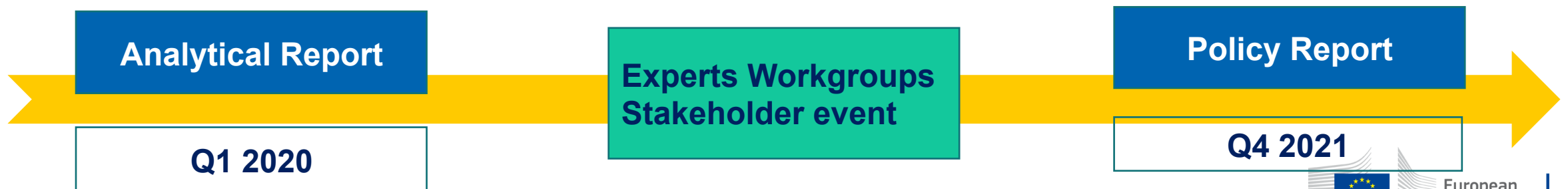
Study on ERA Priority 3

General Objectives:

- Taking stock of existing policy measures (Charter & Code, HRS4R, EURAXESS)
- Defining needs of transformations to review/ revamp/strengthen the policy measures:
 - Recommendations on the future set-up and development of existing measures
 - Recommendations on additional new policy activities/tools/measures to achieve the same objectives under the renewed ERA.

Specific Objectives:

- Content, outreach and added value
- Process
- Challenges and needs
- Governance and stakeholder engagement



Thank you for your attention

For questions and procedural support, please write to RTD-Charter@ec.Europa.eu