HRS4R Assessment process in a nutshell — Part I

SHARING EXPERIENCE

- ## HRS4R Training for Assessors
  11th June 2019, Brussels

LIÈGE université

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The purpose of …

assessment is to **INCREASE** quality.

evaluation is to **JUDGE** quality.

THE PRINCIPLE:

« Your are the gardener »

You as assessor …
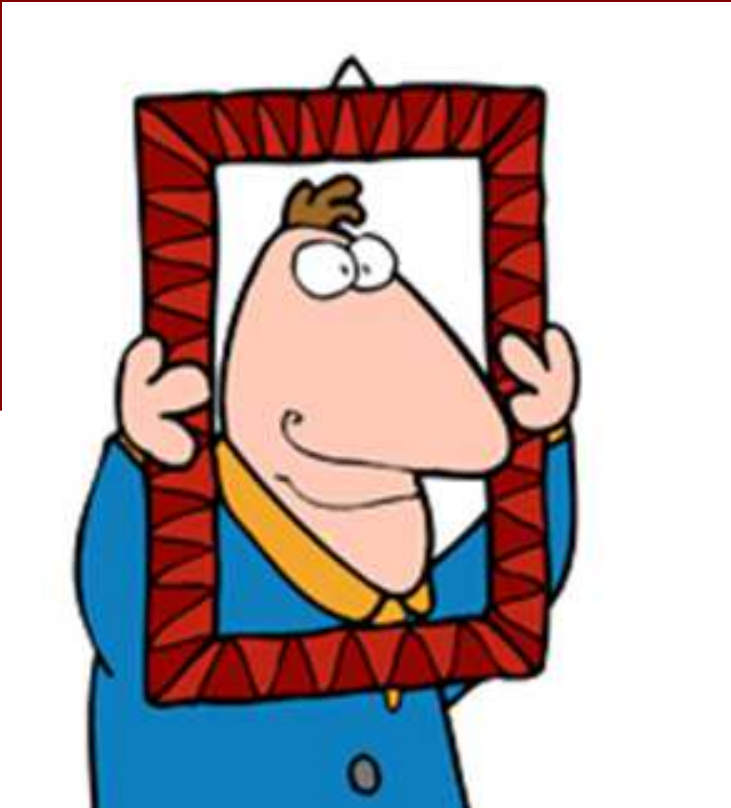
- Know about HRS4R from the inside
- Know about the assessment process
- Know about the ERA objectives
- Commit with the « EU contract » (role, confidentiality, COI, agenda)

You as assessor ...

Be Kind

Be Specific

Be Helpful

- Put yourself in the « flower pot »
- Give advices for growing in quality
- Discriminate between what must be done and what could be done
- Use short and clear sentences

The ERA objectives

« The ultimate political goal is to contribute to the development of an **attractive, open and sustainable European labour market** for researchers, where the framework conditions allow for **recruiting and retaining** high quality researchers in **environments conducive** of effective performance and productivity »

« … Europe must dramatically improve its attractiveness to researchers and strengthen the participation of **women researchers** by helping to create the necessary conditions for more sustainable and appealing careers fot them in R&D »

« Member states should endeavour to offer researchers sustainable **career developement** systems at **all career stag**e, regardless of their contractual situation and of the chosen R&D career path, and they should endeavour to ensure that researchers are treated as professional and as an **integral part of the institution** in which they work »

Operationalisation
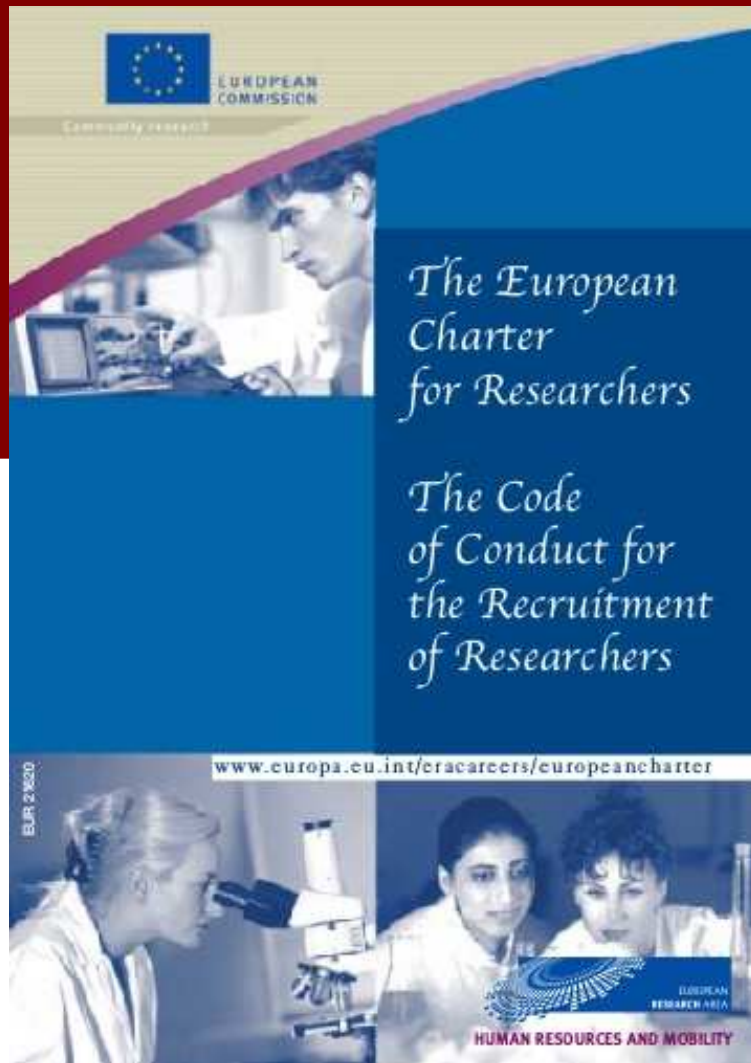
ARTICLE 32 AMGA
- Obligation to take measures to implement the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers
- Consequences of non-compliance

HRS4R - The essentials

Gap Analysis

Action Plan
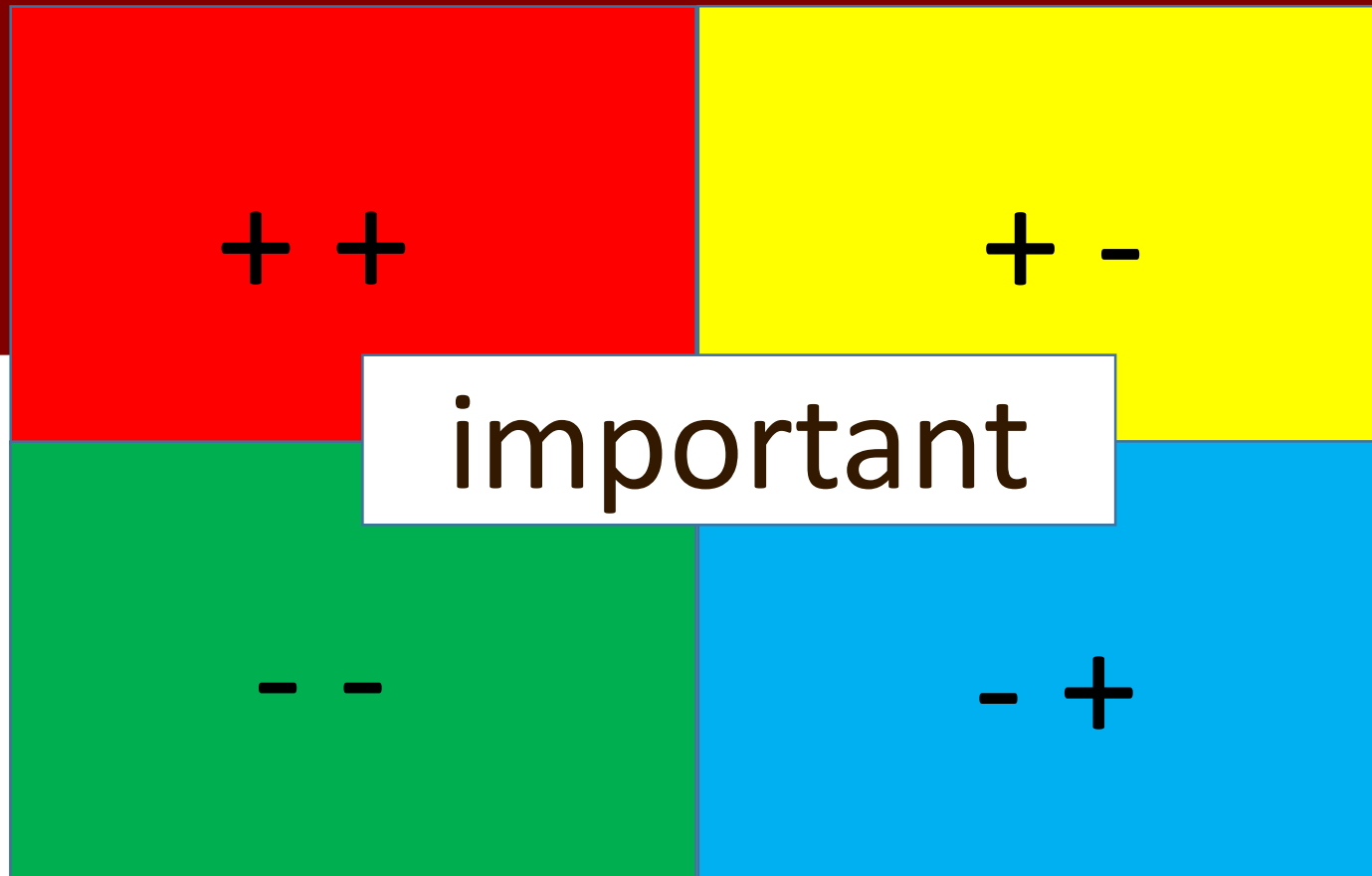
Publication

HRS4R Assessment process in a nutshell — Part II

SHARING EXPERIENCE

- HRS4R Training for Assessors
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HRS4R - The essentials

Gap Analysis

Action Plan

Publication

Process

Involvement

Implementation

Coherence

Evidence

Ambition

CONTENT

Gap Analysis

Involvement	Evidence	Gender	Ethics	OTM-R	Open Science

- Involvement of all levels of researchers is MANDATORY
- Each principle has to be analysed regarding the current gaps and initiatives undertaken + suggestions for improvement
  - Focus on important principles: gender, ethics, OTM-R, *OS*
- Description of the process has to be clear and documented
- Gap Analysis is kept confidential

INVOLVEMENT

Gap Analysis

| Involvement | Evidence | Gender | Ethics | OTM-R | Open Science |

- Different schemes are pertinent for involving researchers:
  - Working groups
  - Focus groups
  - Large meetings
  - Surveys
- Stakeholders should be included during the whole process: listing the gaps, the actual initiatives, ideas for improvement
- Researchers are supposed to commit/validate the gap analysis

ABOUT SURVEYS

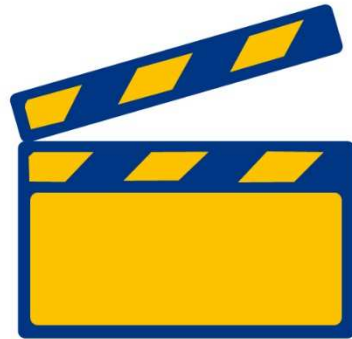Gap Analysis

Objectives Context Researchers Stakeholders Quality

What is important is to do it correctly:
- Address pertinent questions to all researchers
- Report of data and results
- Response rate has to be described regarding classes, gender, pertinent groups, …
- Interpretation has to make sense

CONTENT

Action Plan

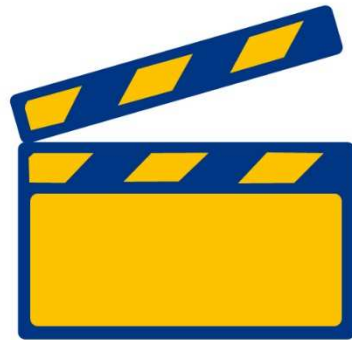| Institution	Principles	Action	Implementation	Indicator

- Organisational information (read it first)
- Narrative regarding the 4 groups of principles
- Actions to be implemented within 2 years / 5 years
  - *Action title – Timing – Responsible Unit – Indicator(s) / Target(s).*
- Involvement of researchers in the implementation process
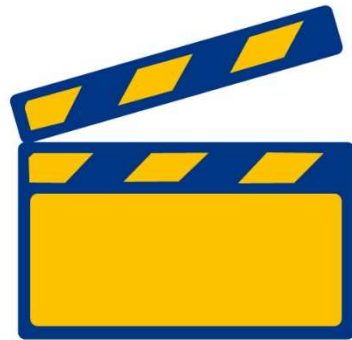
Weaknesses

Action Plan

Coherence Ambition Process Implementation Indicator

- Weak description of the organisation (autonomy of faculties or not, multisite, …)
- Actions are not fully coherent with the gaps
- Priorities given are not explained.
- All the gaps are not to be covered within 2-5 years. This a long term cycling process.

Weaknesses

Action Plan

| Coherence | Ambition | Process | Implementation | Indicator |

Main weaknesses in AP:

- Agenda is not realistic (duration, start-end, eavyness)
- Progress assessment is not clear (targets, indicators)
- Communication and dissemination is not considered
- Implementation doesn't involve researchers
- Researchers didn't commit with the Action Plan

MANDATORY

When? **Before** submission

Where? Has to be vi**sible**

What? **HR & AP** + important docs

Publication

Not acceptable if...

... Not published on invisible page

... Not in English

... HR & AP do not present the process and items from Template 4

... GA process is not described

... Divergence with submission

THE PRINCIPLE:

« Your are the gardener »

Possible decisions

- **Accepted**
- **Accepted pending (minor)**
- **Declined**

MINOR (2 months)

MAJOR (12 months)

RECOMMENDATION

Individual Form

is a **working document**
with your personal analysis
submitted to the lead assessor

Report

- Give strengths and weaknesses
- Discriminate between what is major or what is minor
- Be clear on what is mandatory, optional but of added value, just a comment or just a typing error
- Provide recommendation for improvement
- Try to estimate how many time it will take to modify

Individual Form

Report

And also :
- Do not read what is not written
- Be as precise as possible
- Use simple sentences
- Respect the agenda

Be Kind

Be Specific

Be Helpful

Individual Form

Report

Is it?

I'm not sure...

- Write what is uncertain to you, what is questionable, seems « strange »
- If you cannot make recommendation, say it to the lead assessor

Consensus Form

Coherence · Ambition · Evidence · Implementation · Involvement

- This is the (only) feedback document sent to the institution
- The lead assessor is responsible for aggregating the IFs into the CF
- Clarification and discussion with assessors is often necessary
- A good skype can help
- If a consensus cannot be reached, the lead interacts with the EU

And then?

Award

HR EXCELLENCE IN RESEARCH

- You can be requested for revisions
- Keep track of your experience
- Stay connected through the website (news)
- Participate in webinars for assessors/organisations
- Disseminate your knowledge and experience