

*The European Charter for Researchers and
the Code of Conduct for the Recruitment of Researchers*

Human Resource Strategy Internal Analysis for Reykjavik University

FINAL - May 2010

I. Introduction

In the summer of 2007 Reykjavik University signed two documents developed by the European Commission (Directorate-General for Research) aimed at improving the career development prospects of individuals wishing to build a career in research in Europe. These documents are the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers*.

The main principles of the Charter and the Code are as follows:

- Open recruitment, clear selection criteria, career development, international and inter-sectoral mobility, professional recognition.
- Special emphasis on post-doctoral appointments and the development of junior researchers.

In June 2009 Reykjavik University accepted an invitation by the European Commission to join the Institutional Human Resources Strategy group, which is a group of about 40 institutions committed to incorporate the Charter and the Code into their human resources strategy.

Reykjavik University sees this incorporation as a long term process and wishes to make use of the support made available to the participants in this project, to make RU a more attractive workplace for researchers at all levels.

A working group was established in September 2009, to conduct an internal analysis of Reykjavik University vis a vis the principles underlying the Charter and the Code. The working group consists of key players in research at all levels within RU, including one Dean (Gunnar Guðni Tómasson), two Professors (Magnús Már Halldórsson and Ragnhildur Helgadóttir), one Associate Professor (Vlad Vaiman), one Assistant Professor (Ásrún Matthíasdóttir), one Post-doc (Rafael Vargas), one doctoral researcher (Kristján Valur Jónsson), as well as the Director of Research Services (Kristján Kristjánsson), and the Executive Director of Human Resources and Quality (Ásta Bjarnadóttir), who manages the project. Appendix I shows a flowchart of the work as planned.

The group had seven meetings in the period from October 2009 through February 2010, and analyzed the current infrastructure at RU. For this the group used a special template for internal analysis provided by the European Commission through the Institutional HR strategy project.

To support the internal analysis, a special section of an employee survey conducted in November and December 2009 was designed to evaluate the environment at RU vis-a-vis these principles, and the results of that survey have been incorporated into this document (an overview of results can be seen in Appendix II).

Internal analysis

The text below contains the evaluation of the working group of the status of RU vis a vis each principle outlined in the Charter and the Code. The numbered headings (in bold) refer to the relevant paragraphs in the Charter and the Code, and the numbers correspond to numbers used in the template internal analysis document that we used.

Headings in the text below that stem from the Code of Conduct for the Recruitment of Researchers are identified especially (by „Code of Conduct.....“ in parentheses), but other headings refer to content stemming from the European Charter for Researchers.

When an action is required specific individuals are given responsibility for coordinating the implementation of the action, but other individuals and groups, for example the RU Research Council, will be expected to contribute as well.

Principles of the Charter and Code	RU internal analysis results
<p>1. 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.</p>	<p><i>Relevant legislation:</i> Act no. 63/2006 on Universities in Iceland (article 1) specifies the independence of universities. The Icelandic constitution also ensures freedom of speech in the community. These laws thus support this principle and no laws impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> The RU Code of Ethics, item 7, speaks to academic freedom. So does the RU Research Strategy, items B3 and C1.</p> <p><i>Actions required:</i> None.</p>
<p>2. 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.</p>	<p><i>Relevant legislation:</i> According to Icelandic law the government operates two institutions supporting this issue, The National Bioethics Committee (Vísindasiðanefnd) and Data Protection Authority,(Persónuvernd). No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The RU Code of</p>

	<p>Ethics.</p> <p><i>Actions required:</i> None.</p>
<p>3. Professional responsibility</p> <p>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.</p>	<p><i>Relevant legislation:</i> Art. 1 of Act no. 63/2006 on Universities in Iceland supports this principle.</p> <p><i>Existing rules of practices at RU:</i> Code of Ethics, par. 8, the RU Research strategy and the RU Intellectual Property Policy all speak to this issue.</p> <p><i>Actions required:</i> (1) Guidelines on the responsibilities of Principal Investigators (including hiring and delegating) are needed.</p> <p><i>When/who:</i> (1) Research Services & HR and Quality - 2010.</p>
<p>4. Professional attitude</p> <p>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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Deans of schools must sign grant applications for national or international grants. For internal grants, they must be made aware of the application. Annual reviews conducted the Deans of each school (based on Faculty Contribution Records) ensure that Deans are informed about the status of research projects.</p> <p><i>Actions required:</i> (1) Need guidelines on the responsibilities of Principal Investigators, including approvals and informational responsibility. These guidelines also need to specify the responsibilities of the University and the Dean when starting a research project or accepting a research grant. (2) Need to finish the work on rules regarding centres, labs, institutes and programs (CLIP's). (3) Regularly remind RU's staff and faculty of RU's strategy.</p> <p><i>When/who:</i> (1) See above (no. 3). (2) Provost – 2010. (3) RU Rector.</p>
<p>5. Contractual and legal obligations</p>	<p><i>Relevant legislation:</i> No laws impede the</p>

<p>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.</p>	<p>implementation of this principle. It is supported by, inter alia, the Act on intellectual property no. 73/1972.</p> <p><i>Existing rules of practices at RU:</i> Employment contracts specify relevant issues and IP regulations.</p> <p><i>Actions required:</i> (1) Need a document on the responsibilities of PI's (including the responsibility to deliver according to contracts). (2) Need templates and guidelines for making contracts when collaborating with industry, including clear guidelines regarding conflict of interest. (3) Need to create an information package for researchers on IP rights and related issues.</p> <p><i>When/who:</i></p> <p>(1) See above (no. 3). (2) Research Services will adapt work being done by the Icelandic Confederation of Icelandic Employers - 2010. (3) Research Services will put together an information package - 2010.</p>
<p>6. Accountability</p> <p>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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Faculty Contribution Record, the RU Dashboard.</p> <p><i>Actions required:</i> (1) Need guidelines on data ownership and access when new data is collected jointly by university and students or company. This can be part of guidelines for contracts for collaboration with industry and others (KK). (2) Also need policy on start-up companies. (3) Currently we are working on a policy on centres, labs institutes and programs (CLIP's). (4) Need a document on the responsibilities of Principal investigators, for example regarding their accountability.</p> <p><i>When/who:</i></p> <p>(1) See above (no. 5). (2) Provost – 2010. (3) See above (no. 4). (4) See above (no. 3).</p>
<p>7. Good practice in research</p> <p>Researchers should at all times adopt safe</p>	<p><i>Relevant legislation:</i> Laws on working conditions and safety, and Act no. 77/2000 on the</p>

<p>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.</p>	<p>Protection of Privacy as regards the Processing of Personal Data, support this principle</p> <p><i>Existing rules of practices at RU:</i> The Code of Ethics addresses this issue. A back-up system is in place for all RU data systems.</p> <p><i>Actions required:</i> (1) Need university-wide health and safety guidelines. (2) Need to finish IT strategy, with special emphasis on ensuring the security of research data and serving the needs of research groups. This strategy must be made public to all staff. (3) Need university wide training in first-aid.</p> <p><i>When/who:</i></p> <p>(1) HR and Quality and School of Science and Engineering – 2010.</p> <p>(2) IT and Technical Services, with consultation with academic staff – 2011.</p> <p>(3) HR and Quality – 2010.</p>
<p>8. 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 are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The RU intellectual property policy (see also in item 31).</p> <p><i>Actions required:</i> (1) Need to add to our Research strategy the importance of researchers making the results of research available for public use when possible.</p> <p>(2) Also need a centralized database where all research output is recorded, with links to actual publications whenever possible (as stipulated by RU's Research strategy).</p> <p><i>When/who:</i></p> <p>(1) Research Council – 2010 (the council is already working on this).</p> <p>(2) Work is ongoing with the Ministry of Education and Culture, The Icelandic Centre for Research (RANNIS) and Univ. of Iceland to create a common database. RU contact person is in Research Services. Estimated implementation: 2011-2012.</p>
<p>9. 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</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The Faculty</p>

<p>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.</p>	<p><i>Contribution Record provides a method to track public engagement of researchers.</i></p> <p><i>Actions required:</i> (1) Need to update research strategy; must refer more clearly to the importance of public engagement to the overall RU strategy. (2) Need a research information system that makes RU research more visible on the web (see above).</p> <p><i>When/who:</i> (1) See above (no. 8). (2) See above (no. 8).</p>
<p>10. 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.</p>	<p><i>Relevant legislation:</i> National Relevant legislation supports this principle, including notably Act no. 10/2008 on the equal status and equal rights of men and women and art. 65 of the Icelandic Constitution. No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i></p> <p><i>Actions required:</i> Need to add social or economic condition to the RU anti-discrimination statement (in the RU HR strategy).</p> <p><i>When/who:</i> HR and Quality - 2010.</p>
<p>11. 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.</p>	<p><i>Relevant legislation:</i> The Act on Universities in Iceland supports this, by requiring universities to monitor the quality of teaching and research. See Act. no. 63/2006. No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The Annual Research Evaluation, as specified in the RU Quality Assurance System, is conducted by independent and international academics. Also, we have the Faculty Contribution Record, followed by an annual review by the Dean (or Director). Finally, evaluation committees are always appointed for academic promotions. In-house rules on academic promotions stipulate that when evaluating for assistant or associate professorships at least one member should have a higher level of qualification and that if possible, at least one member of these committees should have international recognition.</p>

	<p><i>Actions required:</i> (1) We need to implement the annual reviews by Deans in a more consistent manner, so that all research staff and faculty undergo review once a year. (2) Also, more stringent requirements for international involvement in promotion committees may be needed.</p> <p><i>When/who:</i> (1) HR and quality - 2011. (2) HR and quality - 2011.</p>
<p>12. Recruitment Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of 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.</p>	<p><i>Relevant legislation:</i> Act no. 63/2006 on Universities in Iceland supports this by requiring selection committees when professors, associate professors and assistant professors are recruited. No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Since 2009 a process for recruitment and hiring of academic staff has been in place.</p> <p><i>Actions required:</i> (1) Need guidelines on hiring post-doctoral staff and PhD students. (2) Need to finish University-wide Universal Promotion Criteria. (3) Need to present rules on recruitment and hiring of academic staff regularly to all faculty and staff.</p> <p><i>When/who:</i> (1) HR and quality - 2010. (2) Provost and HR and quality - 2010. (3) HR & quality.</p>
<p>13. Recruitment (Code of Conduct for the Recruitment of Researchers) Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The process for recruitment and hiring of academic staff specifies open recruitment and international advertisements.</p> <p><i>Actions required:</i> Need to improve advertisements in terms of describing working conditions and career development prospects, such as stipulating duration of contract and type of track. Advertisements should also specify arrangements for travel and whether any start-up funds are available.</p>

	<p><i>When/who:</i> HR and Quality - 2010.</p>
<p>14. Selection (Code of Conduct for the Recruitment of Researchers) Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</p>	<p><i>Relevant legislation:</i> Chapter 6 in the Act on universities no. 63/2006, and article 3.2 of the RU Regulation support this principle. No laws impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> Process for recruitment and hiring of academic staff specifies the existence of selection committees. Selection committees generally come from within the school, although for higher positions (e.g. professorial, Dean) they generally include independent and/or international academics as well. It also specifies interviews and on-campus visits including an open talk by the candidate. Candidates are also requested to provide names of persons who can provide references.</p> <p><i>Actions required:</i> (1) Need to provide our staff with training (or at least an information package) in selection and promotion work (e.g. a course for permanent Assistant professor committees). (2) Also need to clearly aim for gender balance on selection committees.</p> <p><i>When/who:</i> (1) HR and quality - 2010. (2) HR and quality - 2010.</p>
<p>15. Transparency (Code of Conduct for the Recruitment of Researchers) Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Advertisements generally include selection criteria and the number of available positions. Candidates receive automated acknowledgement letters, and letters are written to all candidates who are not hired.</p> <p><i>Actions required:</i> (1) Need to provide more information in advertisements, or acknowledgement letters (e.g. put a link to an information site on the RU web). (2) Candidates who have entered the final phase of the selection process need to be invited to inquire about the strengths and weaknesses of their applications. Due to open international recruitment, the number of applicants prohibits feedback to each one.</p> <p><i>When/who:</i></p>

	<p>(1) HR and Quality – 2010. (2) HR and Quality – 2010.</p>
<p>16. Judging merit (Code of Conduct for the Recruitment of Researchers) The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</p>	<p><i>Relevant legislation:</i> the RU Regulation supports this principle.</p> <p><i>Existing rules of practices at RU:</i> We have implemented an annual review process using the Faculty Contribution Record. This helps faculty and managers at RU to balance the items mentioned in the principle.</p> <p><i>Actions required:</i> (1) Need to finalize the Universal Promotion Criteria as, this will provide a very clear message regarding the expectations of candidates at various levels. (2) Need to provide selection and promotion committees with guidelines on this when they are advised about the task at hand.</p> <p><i>When/who:</i> (1) Provost and HR and Quality – 2010. (2) HR and Quality – 2010.</p>
<p>17. Variations in the chronological order of CV's (Code of Conduct for the Recruitment of Researchers) Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</p>	<p><i>Relevant legislation:</i> Icelandic law no. 10/2008 the equal status and equal rights of men and women, article 26 supports or mandates this principle. No laws impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> Candidates can submit CV's in whatever format they choose.</p> <p><i>Actions required:</i> (1) Encouragement in this direction will be put into the official HR strategy of RU. (2) Need to put this into the guidelines for selection and promotion committees.</p> <p><i>When/who:</i> (1) HR and Quality – 2010. (2) HR and Quality – 2010.</p>
<p>18. Recognition of mobility experience (Code of Conduct for the Recruitment of Researchers) Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage</p>	<p><i>Relevant legislation:</i> No laws or rules impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> PhD students at RU are generally required to go abroad for some time during their studies. In general mobility experience is viewed very positively at RU.</p>

<p>of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>	<p><i>Actions required:</i> (1) Encouragement on mobility will be put into the official HR strategy of RU. (2) Put mobility into guidelines on hiring of post-doctoral researchers.</p> <p><i>When/who:</i> (1) HR and Quality – 2010. (2) HR and Quality – 2010.</p>
<p>19. Recognition of qualifications (Code of Conduct for the Recruitment of Researchers) Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</p>	<p><i>Relevant legislation:</i> The Act on Universities in Iceland and the RU regulation support this principle.</p> <p><i>Existing rules of practices at RU:</i> RU strategy (international university). Faculty Contribution Records ensures an overview of all qualifications of the individual.</p> <p><i>Actions required:</i> (1) Need to finish Universal Promotion Criteria. (2) Will be looking into alternative career ladders in 2010-2011.</p> <p><i>When/who:</i> (1) Provost and HR and Quality - 2010. (2) Provost and HR and Quality-2011.</p>
<p>20. Seniority (Code of Conduct for the Recruitment of Researchers) The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i></p> <p><i>Actions required:</i> (1) Encouragement in this direction can be put into the official HR strategy of RU. (2) Put it into guidelines for selection and promotion committees.</p> <p><i>When/who:</i> (1) HR and Quality - 2010. (2) HR and Quality - 2010.</p>
<p>21. Postdoctoral appointments (Code of Conduct for the Recruitment of Researchers) Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> In general those who have funds are allowed to advertise for a post-doc.</p> <p><i>Actions required:</i> (1) Need guidelines on the hiring of post-doctoral researchers (the duration of the contract, their role, their development,</p>

<p>institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.</p>	<p>their evaluation, maximum duration of contracts etc.). Also need a template contract for post-docs.</p> <p><i>When/who:</i> (1) See above (no. 12).</p>
<p>22. Recognition of the profession All researchers engaged in a research career should be recognized 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).</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> According to the Code of Ethics, all staff and students are respected as individuals. Post-graduate students who are hired to work on projects are generally treated the same as staff (for example regarding insurance, benefits etc.), although in instances where their appointment is limited to their final project research they are hired as contractors, and in those cases do not have the same rights.</p> <p><i>Actions required:</i> (1) Need to clarify the categories of staff when students are on the payroll or receiving a stipend. (2) Also need rules on when faculty wish to enrol in doctoral studies at RU.</p> <p><i>When/who:</i> (1) HR and Quality - 2010. (2) The Research Council has already put together a draft of guidelines for doctoral studies by staff at RU - 2010.</p>
<p>23. 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.</p>	<p><i>Relevant legislation:</i> Icelandic laws on occupational safety support this principle. No laws or rules impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> RU generally provides good IT equipment and facilities for teaching and administration, but research-related IT support needs improvement.</p> <p><i>Actions required:</i> (1) Need health and safety rules for all labs, plus courses for lab staff. (2) Need to appoint a representative for security (öryggistrúnaðarmann). (3) A comprehensive IT strategy is needed at RU, couple with more information flow on IT support issues to academic staff.</p> <p><i>When/who:</i> (1) see above (no. 7).</p>

	<p>(2) Ásta Bjarnadóttir (HR and Quality) – 2010. (3) IT and Technology Services, in collaboration with SCS and SSE.</p>
<p>24. 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 career. Particular attention should be paid, <i>inter alia</i>, 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.</p>	<p><i>Relevant legislation:</i> This is permitted/mandatory under article 21 of the Act on the equal status and equal rights of men and women no 10/2008, see also law on rights of the disabled (59/1992). No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The RU HR Strategy speaks to this issue. The new building at Nautholsvik is very accessible for the disabled. RU is flexible regarding family-related leave, tele-working and other flexible work arrangements. Rules on sabbatical leaves are in effect.</p> <p><i>Actions required:</i> None.</p>
<p>25. 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 <i>EU Directive on Fixed-Term Work</i>.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Post-doctoral researchers and doctoral researchers generally have temporary contracts, but faculty generally have permanent contracts. The general rule on the Icelandic labour market is that a permanent contract has a three-month termination period. However, Deans and Directors at RU are free to offer longer termination periods (generally 6 months or in exceptional cases 12 months). In exceptional cases, faculty have temporary contracts, of three or five years duration. These contracts also have a three-month termination period.</p> <p><i>Actions required:</i> (1) Guidelines for hiring doctoral researchers and post-doctoral researchers. (2) Should look into the possibility of offering a longer minimum termination period for all faculty.</p> <p><i>When/who:</i> (1) HR and quality – 2010. (2) HR and quality – 2010, in collaboration with the Research Council.</p>

<p>26. Funding and salaries</p> <p>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.</p>	<p><i>Relevant legislation:</i> This is generally mandatory under social security legislation (i.e. equal rights to sick-leave benefits, parental-leave benefits, pension rights and unemployment benefits regardless of the level of employee or the type of contract). No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The RU Research Strategy, section C.3. speaks to the importance of linking performance and pay. The RU sick-leave fund ensures that those who do not belong to a union-based sick leave fund enjoy equivalent benefits in case of long-term illness. All employment contracts at RU refer to a union contract with reference to vacation days and sick-leave rights, and thus the employee enjoys the same rights, whether or not he or she belongs to the union or not.</p> <p><i>Actions required: (1)</i> Need to clarify the rights of independent contractors with regards to the items specified, and when RU will use contractor agreements and when not. Put in guidelines on hiring doctoral researchers and post-doctoral researchers.</p> <p><i>When/who:</i> (1) HR and Quality – 2010.</p>
<p>27. Gender balance</p> <p>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.</p>	<p><i>Relevant legislation:</i> The law on the equal status and equal rights of men and women supports this clause (no. 10/2008). No laws impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> The RU HR strategy has a special section on equality, with special emphasis on gender equality. Salaries are analyzed regularly to ascertain that there is not gender bias in pay levels for any given position type.</p> <p><i>Actions required: (1)</i> Selection and evaluation committees need to have a gender balance if possible.</p> <p><i>When/who:</i> (1) See above (no. 14).</p>

<p>28. Career development</p> <p>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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Doctoral researchers and post-doctoral researchers always have mentors or advisors, as to researchers who are hired into existing research groups. Due to the skewed age distribution at RU, with many junior faculty members and a lack of senior ones, there is a lack of mentors for young faculty members.</p> <p><i>Actions required:</i> (1) Need to look into the development of a career ladder for researchers, where their possibilities for career development would be specified. (2) RU should look into supporting young faculty members in obtaining mentors outside RU.</p> <p><i>When/who:</i> (1) See above (no. 19). (2) This is a long term strategy requiring certain resources. Can perhaps be implemented 2011-2012 (HR and Quality).</p>
<p>29. Value of mobility</p> <p>Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual 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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle. However, the immigration law in Iceland permits the development of a „fast-track“ route for highly specialized individuals, and this route has not been developed yet, with the result that the immigration process takes a long time.</p> <p><i>Existing rules of practices at RU:</i> The RU Strategy on becoming an international university and an international workplace supports this. Also the emphasis in the RU Research Strategy on international recognition as a way to evaluate researchers. The International Office at RU supports mobility by helping researchers take advantage of various opportunities. Nothing in RU regulations or practices prevents the portability of grants, either from RU or to RU. The new Faculty Contribution Record, now being implemented, has increased the visibility of international experience when performance is evaluated.</p> <p><i>Actions required:</i> (1) The Universal Promotion Criteria, now under development, will also make</p>

	<p>this importance very clear. (2) The importance of mobility needs to be written into the RU HR strategy and made clear to selection and evaluation committees. (3) RU needs to continue to put pressure on the government to implement the „fast-track“ route.</p> <p><i>When/who:</i> (1) See above (no. 12) (2) See above (no. 18) (3) HR and Quality – 2010.</p>
<p>30. 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.</p>	<p><i>Relevant legislation:</i> No rules impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The establishment in 2007 of the post of an Executive Director responsible for human resources within the university supports this principle. We also have a Career Services office for students in place since 2006.</p> <p><i>Actions required:</i> (1) Support in this area must be strengthened, with courses, seminars, help in using local or international job portals and with resources for seeking new opportunities, career advice or mentoring outside RU.</p> <p><i>When/who:</i> (1) Research Services, Margrét Jónsdóttir, HR and Quality: 2010-2011.</p>
<p>31. 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.</p>	<p><i>Relevant legislation:</i> Icelandic law on intellectual property makes this mandatory, see act no. 73/1972. Supporting this is act no. 77/2000 on the Protection of Privacy as regards the Processing of Personal Data, and the Icelandic information law no. 50/1996. No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> RU developed a policy on intellectual property in 2007. All employment contracts since then have included a clause relevant to this, guaranteeing the right of the researcher to their intellectual property. Under development are policies regarding centres, labs and institutes (CLIP's), where the rights of all involved are clarified. The Director of Research Services at RU is on a committee with the Icelandic Confederation of Icelandic Employers to develop such contract</p>

	<p>templates, using Danish models.</p> <p><i>Actions required:</i> (1) Need to revise the policy on intellectual property to deal with cases where students and faculty members cooperate in collecting new data. (2) Need to establish a way to offer appropriate legal counsel to our students and staff on these matters. (3) Also need to develop prototypes of contracts that may be used when collaborating with students or parties outside RU, and train staff in using them. (4) Need to develop a policy on start-ups that originate within RU.</p> <p><i>When/who:</i> (1-3) Research Services (see also above) - 2011. (4) Provost (see also above)- 2010.</p>
<p>32. 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 contribution, as co-authors of papers, patents, etc, or to publish their own research results independently from the supervisor(s).</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Post-doctoral researchers and doctoral researchers are generally publishing their results with authorship based on their actual contribution, although this is not stipulated in any RU policies. Statistics collected at RU do not in any way discount publications with more than one author. See also paragraph 2 in article 3 of the RU Regulation.</p> <p><i>Actions required:</i> None.</p>
<p>33. 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</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The Regulation on RU and the standard employment contracts used for faculty both emphasise the importance of teaching and puts it on an equal footing with research. Attempts are made to limit the teaching load of researchers to enable them to focus on their research. Deans at RU have the right to increase the teaching load of individuals not producing research outputs, and this helps them limit the teaching load of research-active individuals. All teachers at RU have access to a teaching coach, and various courses and support materials (such as the RU Teaching Quality Handbook) are offered. Also, a Teaching Award is</p>

<p>professional development of researchers.</p>	<p>being introduced at RU in 2010. The new Faculty Contribution Record counts all teaching activities, also supervision of research-oriented students, and this support a balanced assessment of the overall workload. See also paragraph 2 in article 3 of the RU Regulation.</p> <p><i>Actions required:</i> (1) A new course-analysis system is now being developed, which when completed will help Deans to evaluate and adjust the teaching load of their faculty. (2) The Universal Promotion Criteria, now under development, will also make it very clear that teaching has an equal status to research at RU. (3) A survey question asking researchers about their assessment of their teaching duties will be repeated in 2011.</p> <p><i>When/who:</i> (1) HR and Quality – 2011/2012. (2) See above (no. 12). (3) HR and Quality – 2011.</p>
<p>34. 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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> RU has an Executive Director of Human Resources and Quality, where disputes between supervisors and staff, including researchers, can be handled. RU also has an ethics policy and an ethics committee where serious complaints can be voiced. RU has two academic councils, Research Council and Curriculum Councils where concerns are often brought up.</p> <p><i>Actions required:</i> Should write up a document describing the possible avenues for complaints or inquiries regarding their working conditions or employment relationship with RU, where the role of the Councils in this regard is increased. Need to present information on the code of ethics and the ethics committee regularly to staff.</p> <p><i>When/who:</i> (1) HR and Quality - 2011.</p>
<p>35. Participation in decision-making bodies Employers and/or funders of researchers</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p>

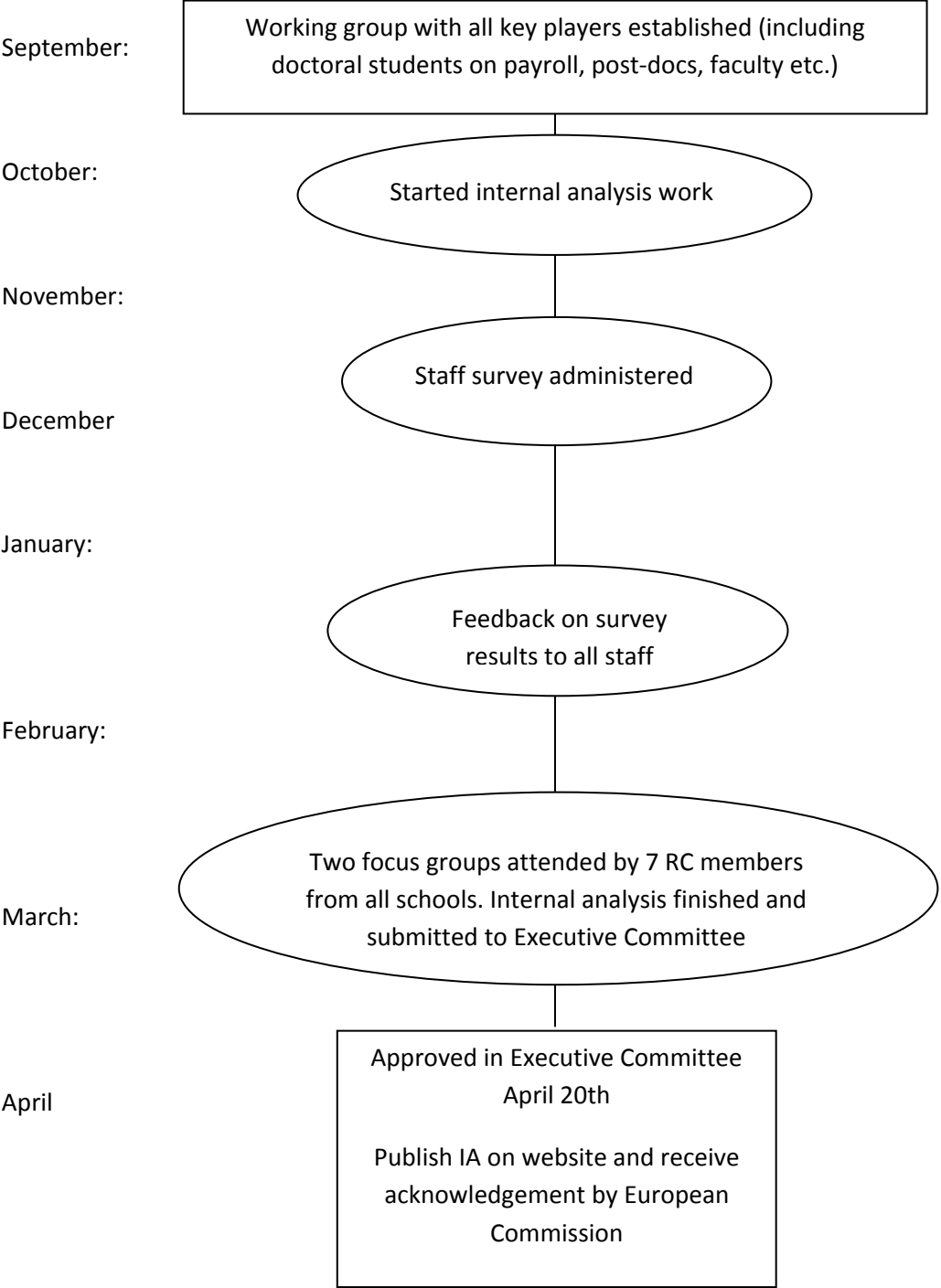
<p>should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>	<p><i>Existing rules of practices at RU:</i> Since 2007 representative researchers from all schools at RU have formed the RU Research Council (originally labelled RU Science Council), based on section C.5. of the RU Research Strategy. The Chair of this council is a full member of the RU Executive Committee. Members of the RU Research Council are generally Heads of the Research Council at their School, and are as such full members of the School Councils of their Schools. Minutes of the RC meetings are posted on the RU intranet, for the information of all faculty and staff at RU. Researchers are always represented in working groups relevant to their domain, and they have a large role in Town hall meetings held regularly at RU.</p> <p><i>Actions required:</i> None, although care must be taken to consistently consult with faculty and staff, whether via meetings, e-mail or other means. The Executive Committee should make this a routine approach when dealing with important policies affecting staff.</p>
<p>36. Relation with supervisors</p> <p>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.</p>	<p><i>Relevant legislation:</i> The Act on Universities in Iceland and regulation no. 37/2007, which sets out criteria that universities must meet, in order to offer doctoral training, support this principle. No laws impede its implementation.</p> <p><i>Existing rules of practices at RU:</i> Doctoral researchers or post-doctoral researchers who are paid by RU or from grants received by RU have a contract specifying their roles and responsibilities, including who they report to. Rules on doctoral studies (both the Icelandic National Qualification Framework and RU specific rules) also specify the parties' rights and responsibilities to some degree.</p> <p><i>Actions required:</i> (1) Employment contracts made when doctoral students, masters students and post-doctoral researchers participate in research projects at RU could be more thorough, so as to clarify rights with regard to supervision, reporting relationships and feedback. It should also be clarified when the individual should be an employee and when he or she should be an independent contractor. (2) Also need guidelines about the responsibilities of PI's (and doctoral and post-doctoral advisors)</p>

	<p><i>When/who:</i> (1) See above (no. 12). (2) See above (no. 3).</p>
<p>37. Supervision and managerial duties</p> <p>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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i></p> <p><i>Actions required:</i> (1) Need to provide supervisory training and guidelines for senior researchers responsible for the work of junior researchers. Must state this clearly in RU HR strategy and put into guidelines for principal investigators. (2) The Research Council has started a discussion of how mentoring can be implemented at RU.</p> <p><i>When/who:</i> (1) see above (PI guidelines, no. 3). (2) HR and quality + Research Council.</p>
<p>38. Continuing professional development</p> <p>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.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> The RU HR strategy stipulates the availability of professional development, and various policies such as the policy on sabbaticals and free tuition within RU, support this. Also guidelines within schools in support for attending conferences, although these are always dependent on the funding situation each year. This is not dependent on contractual situation, with the exception that sabbaticals are only for faculty. The size of the university and the relatively small number of doctoral researchers and post-docs makes it difficult to offer a large selection of training programs in-house. Annual reviews with the Faculty Contribution Record (or a similar tool for non-faculty researchers) will help this.</p> <p><i>Actions required:</i> (1) More training should be provided to early-stage researchers, for example on career development and transferable skills, or assistance in seeking such training elsewhere. (2) Need application forms and report forms for sabbaticals. (3) Need to look into developing a system where faculty members have discretionary funds to use e.g. for travel or books.</p>

	<p><i>When/who:</i> (1) HR and Quality. (2) HR and Quality. (3) HR and Quality.</p>
<p>39. 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, take up and effectiveness in improving competencies, skills and employability.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Same as above (38).</p> <p><i>Actions required:</i> See above (no. 38).</p> <p><i>When/who:</i> See above (no. 38)</p>
<p>40. 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 feedback mechanisms.</p>	<p><i>Relevant legislation:</i> No laws impede the implementation of this principle.</p> <p><i>Existing rules of practices at RU:</i> Doctoral researchers and post-doctoral researchers always have advisors who they have good access to. Faculty members have good access to their Dean. The new Faculty Contribution Record will support this.</p> <p><i>Actions required:</i> Need to ensure that Doctoral researchers and post-doctoral researchers also participate in the new Faculty Contribution Record process, or a similar process for non-faculty researchers, to ensure that they receive enough feedback and mentoring. Need to state this in guidelines for Principal Investigators that have not yet been developed, and provide training for all PI's, as well as for Deans.</p> <p><i>When/who:</i> See above (no. 3: PI guidelines).</p>

APPENDIX I:

A flowchart of the major steps involved in participating in the *Institutional HR strategy project* 2009-2010



APPENDIX II:

Assessment of the University's research environment based on principles of the "Charter and Code"

Based on the Reykjavik University Employee Survey 2009 (N=86*)

	% Agree	% Neutral**	% Disagree
Academic and research positions at RU are adequately advertised in an open recruitment process	49%	24%	28%
When positions are advertised, the required skills, knowledge and competencies are broad enough to encourage the widest interest of potential candidates	58%	33%	8%
Selection committees are used to select persons for academic positions at RU	69%	16%	15%
Academic schools and institutions at RU provide a supportive and encouraging environment for researchers	58%	21%	22%
The participation of researchers in decision making at RU is ensured	61%	19%	19%
Researchers at RU receive regular and proper feedback regarding their performance	51%	19%	30%
Teaching duties are reasonable so that researchers can perform their research duties	37%	23%	40%
The sabbatical system at RU supports the effectiveness of researchers at RU	72%	18%	11%
RU supports researchers who wish to move between countries, universities and other organizations, in order to develop their research career	66%	14%	21%
Junior researchers at RU have mentors or advisors who they can turn to for advice and support regarding the development of their research career	30%	16%	54%
Researchers at RU have adequate support and guidance on how to obtain research funds	56%	13%	31%
Average	55%	20%	25%

* Only the 86 respondents whose job duties involve research answered these questions

** "Don't know" answers excluded