



Raziskave Skupnosti



Evropska listina za raziskovalce

Kodeks ravnanja pri zaposlovanju raziskovalcev

www.europa.eu.int/eracareers/europeancharter

EUR 21620



EVROPSKI
RAZISKOVALNI PROSTOR

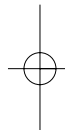
ČLOVEŠKI VIRI IN MOBILNOST



Interested in European research?

RTD info is our quarterly magazine keeping you in touch with main developments (results, programmes, events, etc). It is available in English, French and German. A free sample copy or free subscription can be obtained from:

European Commission
Directorate-General for Research
Information and Communication Unit
B-1049 Brussels
Fax: (32-2) 29-58220
E-mail: research@cec.eu.int
Internet: http://europa.eu.int/comm/research/rtdinfo/index_en.html



EUROPEAN COMMISSION

Directorate-General for Research
Directorate The human factor, mobility and Marie Curie activities
Unit D1

E-mail: sieglinde.gruber@cec.eu.int

Contact: Sieglinde Gruber

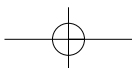
European Commission

Office SDME 03/51

B-1049 Brussels

Tel. (32-2) 29-84342

Fax (32-2) 29-99079



EUROPEAN COMMISSION

Evropski listini za raziskovalce

Kodeksu ravnanja pri zaposlovanju raziskovalcev

***Europe Direct is a service to help you find answers
to your questions about the European Union***

**Freephone number:
00 800 6 7 8 9 10 11**

LEGAL NOTICE:

Neither the European Commission nor any person acting on behalf of the Commission is responsible for the use which might be made of the following information.

The views expressed in this publication are the sole responsibility of the author and do not necessarily reflect the views of the European Commission.

A great deal of additional information on the European Union is available on the Internet. It can be accessed through the Europa server (<http://europa.eu.int>).

Cataloguing data can be found at the end of this publication.

Luxembourg: Office for Official Publications of the European Communities, 2006

ISBN 92-894-9326-7

© European Communities, 2006

Reproduction is authorised provided the source is acknowledged.

Printed in Belgium

PRINTED ON WHITE CHLORINE-FREE PAPER

PRIPOROČILO KOMISIJE z dne 11. marca 2005 o Evropski listini za raziskovalce ter o Kodeksu ravnanja pri zaposlovanju raziskovalcev

Komisija evropskih skupnosti –

ob upoštevanju Pogodbe o ustanovitvi Evropske skupnosti in zlasti člena 165,
ob upoštevanju naslednjega:

- (1) Januarja 2000 ¹ je Komisija menila, da je potrebno ustanoviti Evropski raziskovalni prostor kot glavni člen prihodnjega delovanja Skupnosti na tem področju, z namenom utrjevanja in strukturiranja evropske raziskovalne politike.
- (2) Evropski svet v Lizboni je Skupnosti postavil cilj, da do leta 2010 postane najbolj konkurenčna in dinamična ekonomija, temelječa na znanju, na svetu.
- (3) Svet je v svoji resoluciji z dne 10. novembra 2003 ² obravnaval zadeve, povezane s poklicem in kariero raziskovalcev znotraj Evropskega raziskovalnega prostora, ter pozdravil predvsem namen Komisije, da bo delovala pri oblikovanju Evropske listine za raziskovalce ter Kodeksa ravnanja pri zaposlovanju raziskovalcev.

¹ COM(2000) 6 konč., 18.1.2000.

² UL C 282, str. 1-2, 25.11.2003. Resolucija Sveta z dne 10. novembra 2003 (2003/C 282/01 o poklicu in karieri raziskovalcev v Evropskem raziskovalnem prostoru).

- (4) Ugotovljeno potencialno pomanjkanje raziskovalcev³ bo zlasti v nekaterih ključnih strokah pomenilo resno grožnjo inovativni moči, zmogljivosti znanja in rasti produktivnosti v EU v bližnji prihodnosti in lahko predstavlja oviro pri dosegu ciljev, določenih v Lizboni in Barceloni. Posledično si mora Evropa prizadevati, da bi postala raziskovalcem bistveno bolj privlačna, ter okrepiti zastopanost žensk med raziskovalci, in sicer tako, da pomaga ustvarjati nujne pogoje, v katerih bodo ženske lahko ustvarjale trajnejše in privlačnejše kariere na področju raziskav in razvoja⁴.
- (5) Zadostni in dobro razviti človeški viri na področju raziskav in razvoja so temelj napredka v znanosti, tehnološkega napredka, izboljšanja kakovosti življenja, zagotavljanja blaginje evropskih državljanov in prispevanja h konkurenčnosti Evrope.
- (6) Potrebno je sprejeti in izvajati nove načine razvoja kariere raziskovalcev ter tako prispevati k izboljšanju poklicnega napredovanja raziskovalcev v Evropi.
- (7) Izboljšano in vidnejše poklicno napredovanje prispeva tudi k ustvarjanju pozitivnega javnega odnosa do poklica raziskovalca in s tem spodbuja več mladih k ustvarjanju kariere na področju raziskovanja.
- (8) Glavni politični cilj tega priporočila je, da prispeva k razvoju privlačnega, odprtega in trajnega evropskega trga delovne sile na področju raziskovanja, kjer bodo okvirni pogoji omogočali zaposlitev in ohranitev visokokakovostnih raziskovalcev, v okoljih, primernih za učinkovito delovanje in produktivnost.
- (9) Države članice si morajo prizadevati ponuditi raziskovalcem trajne sisteme za razvoj kariere na vseh stopnjah, ne glede na njihova pogodbeno razmerja ali izbrane poti kariere na področju razvoja in

³ COM(2003) 226 konč. in SEC(2003) 489, 30.4.2003.

⁴ SEC(2005) 260.

raziskav, ter zagotoviti, da bodo raziskovalci obravnavani kot profesionalci in kot sestavni del ustanov, v katerih delajo.

- (10) Kljub temu, da so države članice naredile veliko v prizadevanjih za preseganje administrativnih in pravnih ovir za geografsko in med-sektorsko mobilnost, še vedno obstajajo številne ovire.
- (11) Spodbujati je treba vse oblike mobilnosti kot del splošne politike človeških virov na področju raziskav in razvoja na državni, pa tudi na regionalni in institucionalni ravni.
- (12) Pri sistemih poklicnega ocenjevanja in poklicnega napredovanja je treba upoštevati vrednost vseh oblik mobilnosti, ter tako zagotoviti, da je takšna izkušnja koristna za poklicni razvoj raziskovalca.
- (13) Pri razvoju skladne kariere in mobilnostne politike za raziskovalce, ki prihajajo v Evropsko unijo ⁵ ali iz nje odhajajo, je treba upoštevati razmere v državah in območjih v razvoju, tako v Evropi kot zunaj nje, da ne bi ustvarjanje raziskovalnih zmogljivosti znotraj Evropske unije potekalo na račun manj razvitih držav ali območij.
- (14) Financerji ali delodajalci, ki zaposlujejo raziskovalce, morajo biti odgovorni za odprto, pregledno in mednarodno primerljivo izbiro in postopke zaposlovanja raziskovalcev.
- (15) Družba mora bolj spoštovati odgovornosti in profesionalizem, ki ga kažejo raziskovalci pri izvajanju svojega dela na različnih stopnjah svoje kariere in v različnih vlogah kot znanstveniki, vodje, koordinatorji projektov, upravitelji, nadzorniki, mentorji, poklicni svetovalci ali strokovni poročevalci.
- (16) To priporočilo predvideva, da so vsi delodajalci ali financerji raziskovalcev dolžni zagotoviti, da raziskovalci izpolnjujejo zahteve ustreznih nacionalnih, regionalnih ali sektorskih zakonodaj.

⁵ COM(2004) 178 konč., 16.3.2004.

- (17) To priporočilo je državam članicam, delodajalcem, financerjem in raziskovalcem pomemben pripomoček pri sprejemanju, na prostovoljni osnovi, nadaljnjih pobud za izboljšanje in utrjevanje poklicnega napredovanja raziskovalcev v Evropski uniji ter vzpostavitvi odprtega trga delovne sile za raziskovalce.
- (18) Splošna načela in zahteve, določene v tem priporočilu, so plod javnega posvetovanja, ki so se ga udeležili člani Upravljalne skupine za človeške vire in mobilnost.

Priporočja:

1. Države članice si prizadevajo za sprejetje potrebnih ukrepov, s katerimi bodo zagotovile, da bodo delodajalci ali financerji raziskovalcev razvijali in vzdrževali spodbudno raziskovalno okolje in delovno kulturo, kjer bodo posamezniki in raziskovalne skupine spoštovani, deležni spodbud in podpore, in kjer jim bo zagotovljena potrebna materialna in nematerialna podpora za izvajanje nalog in doseganje ciljev. V tem smislu je treba dati posebno prednost organizaciji delovnih pogojev in pogojev usposabljanja v zgodnji fazi raziskovalčeve kariere, saj ta vpliva na njegove odločitve v prihodnosti in na privlačnost ustvarjanja kariere na področju raziskav in razvoja.
2. Države članice si prizadevajo, kjer koli je to potrebno, za sprejetje ukrepov, ki zagotavljajo, da bodo delodajalci ali financerji izboljšali metode zaposlovanja in sisteme poklicnega ocenjevanja z namenom ustvarjanja preglednejšega, bolj odprtega, enakopravnega in mednarodno priznanega sistema zaposlovanja in poklicnega razvoja kot predpogoja za vzpostavitev avtentičnega evropskega trga delovne sile na področju raziskav.
3. Države članice pri oblikovanju in sprejemanju strategij in sistemov za razvoj trajnih karier za raziskovalce ustrezno upoštevajo splošna načela in zahteve iz Evropske listine za raziskovalce in Kodeksa rav-

nanja pri zaposlovanju raziskovalcev, objavljenih v Prilogi k priporočilu.

4. Države članice si v okviru njihovega področja pristojnosti prizadevajo za prenos omenjenih splošnih načel in zahtev v nacionalne regulativne okvire ali sektorske in/ali institucionalne standarde in smernice (listine in/ali kodekse za raziskovalce). Ob tem bi morale upoštevati veliko raznolikost zakonov, predpisov in praks, ki v različnih državah in na različnih področjih določajo potek, organizacijo in delovne pogoje pri ustvarjanju kariere na področju raziskav in razvoja.
5. Države članice štejejo splošna načela in zahteve za sestavni del institucionalnih mehanizmov zagotavljanja kakovosti, tako da jih upoštevajo kot sredstva za uvedbo meril za nacionalne/regionalne sisteme financiranja ter jih sprejmejo za revizije, nadzor in ocenjevalne postopke, ki jih izvajajo javna telesa.
6. Države članice nadaljujejo s prizadevanji za preseganje obstoječih pravnih in administrativnih ovir za mobilnost, vključno s tistimi, ki so povezane z medsektorsko mobilnostjo ter mobilnostjo med različnimi funkcijami ali znotraj njih, ob upoštevanju razširjene Evropske unije.
7. Države članice si prizadevajo zagotoviti, da bodo raziskovalci uživali primerno socialno varnost glede na njihov pravni status. V zvezi s tem je treba posebno pozornost nameniti prenosljivosti pokojninskih pravic, bodisi zakonsko določenih bodisi dodatnih, za raziskovalce, ki se zaposlujejo med javnimi in zasebnimi sektorji v isti državi, pa tudi za tiste, ki se zaposlujejo prek državnih meja znotraj Evropske unije. S takšnimi režimi bi morali zagotoviti, da raziskovalci, ki zamenjajo službo ali prekinejo kariero, ne izgubijo pravic socialne varnosti.
8. Države članice vzpostavijo nujne nadzorne strukture za redno ocenjevanje tega priporočila ter preverjanje obsega izvajanja Evropske listine za raziskovalce in Kodeksa ravnanja pri zaposlovanju raziskovalcev s strani delodajalcev, financerjev in raziskovalcev.

9. Države članice vzpostavijo merila za tovrstno ocenjevanje in se o njih dogovorijo na podlagi dela, ki ga opravi Upravljalna skupina za človeške vire in mobilnost.
10. Države članice kot predstavnice v mednarodnih organizacijah, ustanovljenih na medvladni ravni, ustrezno upoštevajo to priporočilo, kadar predlagajo strategije ali sprejemajo odločitve, ki zadevajo dejavnosti teh organizacij.
11. To priporočilo je naslovljeno na države članice, njegov namen pa je tudi spodbuditi socialni dialog in dialog med raziskovalci, interesnimi skupinami in širšo družbo.
12. Komisija poziva države članice, naj jo, kolikor je to mogoče, do 15. decembra 2005, potem pa enkrat letno, obveščajo o ukrepih, ki so jih sprejele na podlagi tega priporočila, in o prvih rezultatih uporabe tega priporočila ter navedejo primere dobre prakse.
13. To priporočilo bo Komisija občasno pregledala v smislu odprte metode usklajevanja.

V Bruslju, 11. marca 2005

*Za Komisijo
Janez Potočnik
Član Komisije*

PRILOGA

Oddelek 1

Evropska listina za raziskovalce

Evropska listina za raziskovalce je niz splošnih načel in zahtev, ki določajo vloge, odgovornosti in pravice raziskovalcev, pa tudi njihovih delodajalcev in/ali financerjev⁶. Namen Listine je zagotoviti, da bo odnos med raziskovalci in delodajalci in/ali financerji prispeval k uspešnemu izvajanju pri ustvarjanju, prenosu, delitvi in širjenju znanja in tehnološkega razvoja ter poklicnega razvoja raziskovalcev. Listina prav tako priznava pomembnost vseh oblik mobilnosti kot načina za izboljšanje poklicnega razvoja raziskovalcev.

V tem smislu Listina sestavlja okvir za raziskovalce, delodajalce in financerje, ki jih poziva, naj v svojem delovnem okolju delujejo odgovorno in profesionalno ter cenijo drugega.

Listina je naslovljena na vse raziskovalce v Evropski uniji na vseh stopnjah njihove kariere in pokriva vsa področja raziskav v javnih in zasebnih sektorjih ne glede na vrsto službe ali zaposlitve⁷, pravni status njihovega delodajalca ali vrsto organizacije ali ustanove, v kateri se delo izvaja. Listina upošteva tudi večplastne vloge raziskovalcev, ki niso zadolženi le za vodenje raziskav in/ali izvajanje razvojnih dejavnosti, ampak so vključeni tudi v izvajanje nadzora in mentorstva ter vodenje projektnih in administrativnih nalog.

Ta listina predvideva, da so raziskovalci, delodajalci in/ali financerji dolžni zagotoviti, da izpolnjujejo zahteve nacionalne ali regionalne zakonodaje.

⁶ Glejte opredelitev v oddelku 3.

⁷ Glejte opredelitev v oddelku 3.

Če raziskovalci uživajo status in pravice, ki so v določenih točkah ugodnejši od tistih, ki jih predvideva ta listina, se njena določila ne smejo uporabiti za zmanjšanje že pridobljenega statusa ali pravic raziskovalca.

Raziskovalci, delodajalci in financerji, ki spoštujejo to listino, bodo prav tako spoštovali Listino o temeljnih pravicah Evropske unije in se držali njenih načel ⁸.

⁸ UL C 364, 18.12.2000, str. 0001-0022.

Splošna načela in zahteve, ki veljajo za raziskovalce:

Svoboda raziskovanja

Raziskovalci se morajo pri svojih raziskavah osredotočiti na dobro človeštva in širjenje znanstvenih spoznanj, ob uživanju svobode misli in izražanja ter svobode določanja metod, po katerih rešujejo probleme, v skladu s priznanimi etičnimi načeli in praksami.

Vendar pa morajo raziskovalci upoštevati omejitve teh svoboščin, ki bi lahko nastale kot rezultat določenih raziskovalnih okoliščin (vključno z nadzorom/vodenjem/upravljanjem) ali operativnih omejitev, npr. iz proračunskih ali infrastrukturnih razlogov ali, zlasti v industrijskem sektorju, iz razlogov varstva intelektualne lastnine. Takšne omejitve ne bi smele kršiti priznanih etičnih načel in praks, ki jih morajo raziskovalci spoštovati.

Etična načela

Raziskovalci morajo spoštovati priznane etične prakse in temeljna etična načela, primerna njihovi stroki, kot tudi etične standarde, kot je zapisano v različnih nacionalnih, sektorskih ali institucionalnih etičnih kodeksih.

Poklicna odgovornost

Raziskovalci si morajo prizadevati zagotoviti, da so njihove raziskave pomembne za družbo, in da ne ponavljajo raziskav, ki so bile že opravljene drugje.

Izogibati se morajo kakršnemu koli plagiatstvu in upoštevati načela intelektualne lastnine ter skupno last nad podatki v primeru raziskave, ki jo opravijo v sodelovanju z nadzorniki in/ali drugimi raziskovalci. Potrebe

po potrditvi novih ugotovitev z dokazovanjem, da so poskusi ponovljivi, ne bi smeli šteti za plagiat, pod pogojem, da so podatki, ki jih je treba potrditi, natančno navedeni.

Če je za kateri koli vidik njihovega dela pooblaščen druga oseba, morajo raziskovalci zagotoviti, da je ta oseba kompetentna za opravljanje tega dela.

Poklicni odnos

Raziskovalci morajo poznati strateške cilje, ki urejajo njihovo raziskovalno okolje in finančne mehanizme, in pred začetkom raziskave ali dostopom do razpoložljivih virov pridobiti vsa potrebna dovoljenja.

Svoje delodajalce, financerje ali nadzornika morajo obvestiti o zamudi, spremembi ali zaključku raziskovalnega projekta, ali sporočiti, če nameravajo raziskavo predčasno prekiniti ali jo iz kakršnega koli razloga opustiti.

Pogodbene in pravne obveznosti

Raziskovalci na vseh ravneh morajo biti seznanjeni z nacionalnimi, sektorskimi ali institucionalnimi predpisi, ki vplivajo na usposabljanje in/ali delovne pogoje. To vključuje tudi poznavanje predpisov, ki zadevajo pravice intelektualne lastnine, in zahtev ali pogojev katerega koli naročnika ali financerja, ne glede na vrsto njihove pogodbe. Raziskovalci morajo upoštevati te predpise tako, da posredujejo zahtevane rezultate (npr. znanstvena dela, publikacije, patente, poročila, razvoj novih izdelkov itd.), kot je določeno v pogojih v pogodbi ali v drugem enakovrednem dokumentu.

Odgovornost

Raziskovalci se morajo zavedati, da so odgovorni svojim delodajalcem, financerjem ali drugim javnim ali zasebnim telesom pa tudi na bolj etični osnovi družbi kot celoti. Raziskovalci, ki se financirajo iz javnih skladov, so posebej odgovorni tudi za učinkovito porabo davkoplačevalskega denarja. Zato se morajo držati načel preudarnega, preglednega in učinkovitega upravljanja in sodelovati v primeru pooblaščenega pregleda njihovega raziskovanja, ne glede na to, ali ga izvajajo njihovi delodajalci/financerji ali etični odbori.

Metode zbiranja in analize, rezultati in, kjer je primerno, podrobnosti o podatkih morajo biti dostopni za interni ali zunanji pregled, kadar koli je to potrebno in če to zahtevajo ustrezne oblasti.

Dobre prakse pri raziskavah

Raziskovalci morajo ves čas izvajati varne delovne prakse, v skladu z nacionalno zakonodajo, vključno z nujnimi previdnostnimi ukrepi glede zdravja in varnosti ter povrnitve podatkov v primeru odpovedi informacijske tehnologije, npr. s pripravo ustreznih podpornih strategij. Prav tako morajo biti seznanjeni z obstoječimi nacionalnimi pravnimi zahtevami glede varstva podatkov in zaupnosti ter sprejeti potrebne ukrepe za njihovo izvajanje ob vsakem času.

Širjenje, izkoriščanje rezultatov

Vsi raziskovalci morajo zagotoviti, v skladu s svojimi pogodbami, da bodo rezultate raziskav širili in izkoriščali, npr. da bodo o njih poročali, jih prenesli v druga raziskovalna okolja ali, če je primerno, tržili. Še posebej raziskovalci na višjih položajih morajo zagotoviti, da bo raziskava obrodila sadove ter da bodo njeni rezultati bodisi tržno izkoriščeni bodisi dostopni javnosti (ali oboje), kadar koli se za to pojavi priložnost.

Sodelovanje z javnostjo

Raziskovalci morajo zagotoviti, da je z njihovimi raziskovalnimi dejavnostmi seznanjena širša družba, in sicer tako, da jih razumejo tudi nestrokovnjaki, ter tako izboljšati razumevanje znanosti s strani javnosti. Neposredno sodelovanje z javnostjo bo pomagalo raziskovalcem pri boljšem razumevanju zanimanja javnosti za prednostne naloge znanosti in tehnologije, kot tudi pri razumevanju skrbi javnosti.

Odnosi z nadzorniki

Raziskovalci, ki so na stopnji usposabljanja, morajo vzpostaviti strukturiran in reden odnos z nadzornikom/-i in predstavniki fakultete/oddelka, da bi lahko od tega odnosa imeli čim več.

To vključuje vodenje evidence o celotnem poteku dela in izsledkih raziskave, pridobivanje povratnih informacij v smislu poročil in seminarjev, uporabo takšnih informacij in delo v skladu z dogovorjenimi razporedi, fazami, končnimi izsledki in/ali rezultati raziskave.

Nadzor in vodstvene obveznosti

Vodilni raziskovalci morajo posebno pozornost posvetiti svoji večplastni vlogi nadzornikov, mentorjev, poklicnih svetovalcev, vodij, koordinatorjev projektov, direktorjev ali strokovnih poročevalcev. Te naloge bi morali opravljati po najvišjih poklicnih standardih. Glede na njihovo vlogo nadzornikov ali mentorjev raziskovalcev, morajo vodilni raziskovalci vzpostaviti konstruktiven in pozitiven odnos z raziskovalci na začetni stopnji, ter tako ustvariti pogoje za učinkovitejši prenos znanja in nadaljnji uspešen razvoj karier raziskovalcev.

Nadaljevanje poklicnega razvoja

Raziskovalci na vseh stopnjah kariere se morajo nenehno izpopolnjevati z rednim posodabljanjem in širjenjem strokovnega znanja in kompetenc. To lahko dosežejo na različne načine, med drugim (ne pa izključno) z uradnim usposabljanjem, delavnicami, konferencami in e-izobraževanjem.

Splošna načela in zahteve, ki veljajo za delodajalce in financerje:

Priznanje poklica

Vsi raziskovalci, ki ustvarjajo raziskovalno kariero, bi morali biti priznani kot profesionalci in temu primerno obravnavani že na samem začetku njihove kariere – na podiplomski ravni, pri čemer je potrebno upoštevati vse ravni, ne glede na njihovo razvrstitev na nacionalni ravni (npr. zaposleni, podiplomski študent, kandidat za doktorja, oseba z doktoratom, državni uradnik).

Nediskriminacija

Delodajalci in/ali financerji ne smejo raziskovalcev na noben način diskriminirati glede na spol, starost, etnično, narodnostno ali socialno poreklo, vero, spolno usmerjenost, jezik, invalidnost, politično prepričanje, socialni ali ekonomski položaj.

Raziskovalno okolje

Delodajalci in/ali financerji raziskovalcev morajo zagotoviti karseda spodbudno raziskovalno okolje ali okolje za raziskovalno usposabljanje ter primerno opremo, objekte in priložnosti, vključno s sodelovanjem na daljavo prek raziskovalnih mrež, ter spoštovanje nacionalnih ali sektorskih predpisov glede zdravja in varnosti pri raziskavah. Financerji morajo zagotoviti ustrezne vire za podporo pri izvajanju dogovorjenega delovnega programa.

Delovni pogoji

Delodajalci in/ali financerji morajo zagotoviti, da delovni pogoji za raziskovalce, vključno z raziskovalci invalidi, kjer je to primerno, omogočajo fleksibilnost, ki je nujna za uspešno opravljanje raziskav, v skladu z obstoječo nacionalno zakonodajo ter nacionalnimi ali sektorskimi kolektivnimi pogodbami. Prizadevati si morajo za vzpostavitev takšnih delovnih pogojev, ki moškim in ženskam omogočajo združljivost družine in dela, otrok in kariere⁹. Posebno pozornost je treba nameniti med drugim fleksibilnemu delovnemu času, skrajšanemu delovnemu času, delu na daljavo in študijskemu dopustu, kot tudi nujnim finančnim in administrativnim določbam, ki urejajo te zadeve.

Stabilnost in stalnost zaposlitve

Delodajalci in/ali financerji morajo zagotoviti, da nestalne pogodbe o zaposlitvi ne spodkopavajo dela raziskovalcev, in si torej prizadevati, kolikor je to mogoče, za izboljšanje stabilnosti zaposlitvenih pogojev za raziskovalce, ob uveljavljanju in spoštovanju načel in pogojev, določenih z *Direktivo EU o delu za določen čas*¹⁰.

⁹ Glejte SEC (2005) 260, Ženske in znanost: Odličnost in inovacija – Enakost med spoloma v znanosti.

¹⁰ Namen Direktive je preprečiti neenakopravno obravnavo zaposlenih za določen čas v primerjavi z redno zaposlenimi, preprečiti zlorabe, ki bi lahko izhajale iz zaporednih pogodb za določen čas, izboljšati dostop do usposabljanja za zaposlene za določen čas ter zagotoviti seznanjenost začasno zaposlenih s prostimi stalnimi delovnimi mesti. Direktiva Sveta 1999/70/ES, ki se nanaša na „Okvirni dogovor o delu za določen čas“, ki so ga sklenili ETUC, UNICE in CEEP, in je bil sprejet 28. junija 1999.

Financiranje in plače

Delodajalci in/ali financerji morajo raziskovalcem zagotoviti poštene in privlačne pogoje financiranja in/ali plač z ustreznimi in pravičnimi ugodnostmi socialne varnosti (vključno z bolniškim staležem, starševskim nadomestilom, pokojninskimi pravicami in denarnim nadomestilom za primer brezposelnosti), v skladu z obstoječo nacionalno zakonodajo in nacionalnimi ali panožnimi kolektivnimi pogodbami. Ti pogoji morajo veljati za raziskovalce na vseh stopnjah kariere, vključno z začetniki, sorazmerno z njihovim pravnim statusom, delom in s stopnjo usposobljenosti in/ali odgovornosti.

Enakomerna zastopnost spolov ¹¹

Delodajalci in/ali financerji si morajo prizadevati za enakomerno zastopnost spolov na vseh ravneh osebja, vključno z nadzornim in upravnim osebjem. To je treba doseči na podlagi politike enakih možnosti pri zaposlovanju ter pri kasnejših kariernih stopnjah, vendar ne na račun kakovosti ali konkurenčnosti. Da bi zagotovili enako obravnavo pri izbiri raziskovalcev, morata biti oba spola enakopravno zastopana tudi v izbirnih in ocenjevalnih odborih.

Razvoj kariere

Delodajalci in/ali financerji morajo razviti, po možnosti znotraj okvira upravljanja s človeškimi viri, posebno strategijo razvoja kariere za raziskovalce na vseh stopnjah njihove kariere, ne glede na njihov pogodbeni položaj, vključno z raziskovalci, ki so zaposleni za določen čas. Ta strategija mora vključevati razpoložljivost mentorjev, ki sodelujejo pri zagotavljanju podpore in vodenja za osebni in poklicni razvoj raziskovalcev, ob

¹¹ Glejte SEC (2005) 260, Ženske in znanost: Odličnost in inovacija – Enakost med spoloma v znanosti.

spodbujanju raziskovalcev in zmanjševanju kakršne koli negotovosti glede njihove poklicne prihodnosti. Vsi raziskovalci morajo biti seznanjeni s takšnimi predpisi in ureditvami.

Vrednotenje mobilnosti

Delodajalci in/ali financerji morajo priznati pomen geografske, medsektorske, inter- ali transdisciplinarne ter virtualne¹² mobilnosti, kot tudi mobilnosti med javnim in zasebnim sektorjem kot pomembnih načinov za izboljšanje znanstvenih spoznanj in poklicnega razvoja na kateri koli stopnji raziskovalčeve kariere. Zato bi takšne možnosti morali vnesti v posebno strategijo razvoja kariere in polno vrednotiti in priznavati izkušnje z mobilnostjo v svojem sistemu ocenjevanja/presojanja karier.

Takšno ravnanje zahteva tudi uvedbo potrebnih administrativnih instrumentov, ki bodo omogočili prenosljivost subvencij in ugodnosti socialnega zavarovanja, v skladu z nacionalno zakonodajo.

Dostop do raziskovalnega usposabljanja in trajnega razvoja

Delodajalci in/ali financerji bi morali vsem raziskovalcem na kateri koli stopnji njihove kariere zagotoviti, ne glede na njihov pogodbeni položaj, možnost poklicnega razvoja in izboljšanja njihove zaposljivosti preko dostopa do ukrepov za trajen razvoj spretnosti in usposobljenosti.

Takšne ukrepe je treba redno ocenjevati glede na njihovo dostopnost, uveljavljenost in učinkovitost pri izboljševanju usposobljenosti, strokovnega znanja in zaposljivosti.

¹² Npr. sodelovanje na daljavo prek elektronskih omrežij.

Dostop do poklicnega svetovanja

Delodajalci in/ali financerji morajo vsem raziskovalcem na vseh stopnjah njihove kariere in ne glede na njihov pogodbeni položaj zagotoviti dostop do poklicnega svetovanja in pomoči pri zaposlitvi, bodisi v zadevnih ustanovah bodisi skozi sodelovanje z drugimi strukturami.

Pravice intelektualne lastnine

Delodajalci in/ali financerji morajo poskrbeti, da raziskovalci na vseh stopnjah kariere uživajo ugodnosti izkoriščanja (če te sploh obstajajo) svojih rezultatov raziskav in razvoja s pomočjo pravnega varstva, zlasti pa z ustrezno zaščito pravic intelektualne lastnine, vključno z avtorskimi pravicami.

Politike in prakse morajo določiti, katere pravice pripadajo raziskovalcem in/ali, kjer je primerno, njihovim delodajalcem ali drugim stranem, vključno z zunanjimi gospodarskimi ali industrijskimi organizacijami, po možnosti predvidenimi po posebnih sporazumih o sodelovanju ali drugih vrstah sporazumov.

Soavtorstvo

Soavtorstvo morajo institucije pri ocenjevanju osebja obravnavati kot pozitivno, kot dokaz konstruktivnega pristopa k vodenju raziskave. Delodajalci in/ali financerji morajo torej razviti strategije, prakse in postopke, ki bodo raziskovalcem, tudi tistim na začetku raziskovalne kariere, zagotovili okvirne pogoje, da bodo lahko v okviru svojih dejanskih prispevkov priznani, omenjeni in citirani kot avtorji dokumentov, patentov itd., ali pa, da bodo lahko svoje lastne rezultate raziskave objavili neodvisno od svojih nadzornikov.

Nadzor

Delodajalci in/ali financerji morajo jasno navesti osebo, na katero se lahko raziskovalci v zgodnji fazi kariere obrnejo v zvezi z izvajanjem poklicnih dolžnosti, ter o tem obvestiti raziskovalce.

V takšnih ureditvah mora biti jasno izraženo, da so predlagani nadzorniki zadostno strokovno usposobljeni za nadzor raziskave, da imajo čas, strokovno znanje, izkušnje in so zavezani k temu, da bodo raziskovalcem pripravnikom lahko ponudili ustrezno podporo in poskrbeli za potreben napredek ter postopke presoje, kot tudi za potrebne mehanizme povratnih informacij.

Poučevanje

Poučevanje je osnovni način oblikovanja in širjenja znanja in bi torej moralo predstavljati dragoceno možnost na raziskovalčevi poklicni poti. Vendar pa zadolžitve poučevanja ne smejo biti preobsežne in ne smejo ovirati raziskovalcev, zlasti na začetku njihove kariere, pri izvajanju raziskovalnih dejavnosti.

Delodajalci in/ali financerji morajo poskrbeti za ustrezno nagrajevanje poučevanja in njegovo upoštevanje pri sistemih ocenjevanja ter za to, da se čas, ki ga starejši člani osebja namenijo poučevanju raziskovalcev začetnikov, šteje kot del njihovih obveznosti. Za poučevanje, kot del poklicnega razvoja raziskovalcev, je treba opraviti ustrezno usposabljanje.

Sistemi ocenjevanja/presoje

Delodajalci in/ali financerji morajo za vse raziskovalce, vključno s starejšimi, uvesti sisteme ocenjevanja/presoje, s katerimi bo njihovo poklicno delo redno in pregledno vrednotil neodvisni (v primeru starejših raziskovalcev po možnosti mednarodni) odbor.

Takšni postopki ocenjevanja in vrednotenja morajo ustrezno upoštevati celotno raziskovalno ustvarjalnost in rezultate raziskav, npr. publikacije, patente, vodenje raziskave, poučevanje/predavanja, nadzor, mentorstvo, sodelovanje na državni ali mednarodni ravni, administrativne dolžnosti, dejavnosti ozaveščanja javnosti in mobilnost. Postopke ocenjevanja in vrednotenja je treba upoštevati v okviru poklicnega napredovanja.

Pritožbe/prizivi

Delodajalci in/ali financerji morajo, v skladu z nacionalnimi predpisi in uredbami, uvesti ustrezne postopke, po možnosti z izbiro nepristranske osebe (podobne ombudsmanu), za obravnavo pritožb ali prizivov raziskovalcev, vključno s tistimi, ki se nanašajo na spore med nadzorniki in raziskovalci na začetku poklicne poti. Pri takšnih postopkih mora biti celotnemu osebju na voljo zaupna in neformalna pomoč pri reševanju delovnih sporov, nesoglasij in pritožb, z namenom pospeševanja poštene in nepristranske obravnave znotraj institucije in izboljšanja splošne kvalitete delovnega okolja.

Udeležba v organih odločanja

Delodajalci in/ali financerji raziskovalcev morajo priznati, kot popolnoma legitimno in dejansko zaželeno, udeležbo raziskovalcev v pomembnih informativnih in posvetovalnih organih ter organih odločanja v ustanovah, v katerih delajo, da bi tako ščitili in promovirali svoje individualne in skupne interese kot profesionalci ter dejavno prispevali k delovanju ustanove ¹³.

¹³ V tem smislu glejte tudi Direktivo 2002/14/ES.

Zaposlovanje

Delodajalci in/ali financerji morajo zagotoviti, da so standardi za sprejem raziskovalcev, zlasti tistih na začetku kariere, jasno določeni, in olajšati dostop prikrajšanim skupinam ali raziskovalcem, ki se vračajo k raziskovalni karieri, vključno z učitelji (na vseh ravneh), ki se vračajo k raziskovalni karieri.

Delodajalci in/ali financerji morajo pri imenovanju in zaposlovanju raziskovalcev spoštovati načela, določena v Kodeksu ravnanja pri zaposlovanju raziskovalcev.

Oddelek 2

Kodeks ravnanja pri zaposlovanju raziskovalcev

Kodeks ravnanja pri zaposlovanju raziskovalcev je sestavljen iz niza splošnih načel in zahtev, ki jih morajo upoštevati delodajalci in/ali financerji pri imenovanju ali zaposlovanju raziskovalcev. Ta načela in zahteve morajo zagotoviti upoštevanje vrednot, kot sta preglednost postopkov zaposlovanja in enaka obravnava vseh prosilcev, zlasti glede razvoja privlačnega, odprtega in trajnega evropskega trga delovne sile za raziskovalce, in se dopolnjujejo z načeli, določenimi v Evropski listini za raziskovalce.

Ustanove in delodajalci s spoštovanjem Kodeksa ravnanja odkrito pokažejo svojo zavezanost k odgovornemu in spoštljivemu delovanju in vzpostavitvi poštenih okvirnih pogojev za raziskovalce, z jasnim namenom prispevanja k napredku Evropskega raziskovalnega prostora.

Splošna načela in zahteve za Kodeks ravnanja

Zaposlovanje

Delodajalci in/ali financerji morajo uvesti postopke zaposlovanja, ki bodo odprti¹⁴, učinkoviti, pregledni, podporni in mednarodno primerljivi, kot tudi prilagojeni vrsti delovnega mesta, navedenega v ponudbi za zaposlitev.

¹⁴ Treba je uporabiti vse razpoložljive instrumente, zlasti mednarodne ali globalno dostopne spletne vire, kot je Vseevropski raziskovalni mobilnostni portal: <http://europa.eu.int/eracareers>.

Ponudbe za zaposlitev morajo podati širok opis zahtevanih znanj in usposobljenosti, in ne smejo biti sestavljene tako, da bi odvrnile ustrezne prosilce. Delodajalci morajo v ponudbo vnesti tudi opis delovnih pogojev in pravic, vključno z možnostmi napredovanja. Poleg tega mora biti čas od objave ponudbe do izteka roka za oddajo vlog prosilcev ustrezno dolg.

Izbira

Izbirni odbori morajo združevati različna strokovna znanja in usposobljenosti, razmerje med spoloma v odborih mora biti uravnoteženo, in, kjer je to izvedljivo, odbore morajo sestavljati člani iz različnih sektorjev (javnih in zasebnih) in strok, vključno s člani iz drugih držav, ki pa so ustrezno usposobljeni za ocenjevanje kandidata. Če je to mogoče, je potrebno uporabiti čim več izbirnih metod, kot so npr. ocena s strani zunanjega izvedenca ali osebni razgovori s kandidati. Člani izbirnih odborov morajo biti ustrezno usposobljeni.

Preglednost

Kandidati morajo biti še pred izbiro seznanjeni s postopkom zaposlovanja in izbirnimi merili, številom delovnih mest, ki so na voljo, in možnostmi poklicnega razvoja. Tudi po končanem postopku izbire morajo biti seznanjeni s prednostmi in slabostmi svojih vlog.

Merila ocenjevanja

V postopku izbire je treba upoštevati vse izkušnje¹⁵ kandidatov. Osredotočili se je treba na njihov celoten potencial za delo raziskovalca, ob tem pa upoštevati tudi njihovo ustvarjalnost in stopnjo samostojnosti.

¹⁵ Glejte tudi Evropsko listino za raziskovalce: Ocenjevalni sistemi v oddelku 1 tega dokumenta.

To pomeni, da je treba primernost kandidata presojeti kvalitativno in kvantitativno, in se ob tem osredotočiti na izstopajoče rezultate na raznoliki poklicni poti in ne le na število objavljenih publikacij. Zato mora biti pomen bibliografskih kazalcev ustrezno uravnotežen znotraj širšega niza ocenjevalnih meril, kot so poučevanje, nadzor, skupinsko delo, prenos znanja, upravljanje z viri in inovacijami ter dejavnosti ozaveščanja javnosti. Pri kandidatih z izkušnjami v industriji je treba pozornost posvetiti patentom, razvoju ali izumom.

Kronološka odstopanja v življenjepisu

Prekinitve kariere ali kronološka odstopanja v življenjepisu ne smejo biti vzrok za kaznovanje kandidatov, temveč je treba nanje gledati kot na razvojno stopnjo v karieri in posledično kot na potencialno dragocen prispevek k poklicnemu razvoju raziskovalca v smeri večdimenzionalne poklicne poti. Kandidatom je torej treba omogočiti, da oddajo življenjepis, ki temelji na dokazih, ki odražajo vzorčni seznam dosežkov in kvalifikacij, primernih delovnemu mestu, za katero je bila vloga oddana.

Priznavanje izkušenj z mobilnostjo

Izkušnje z mobilnostjo, npr. bivanje v drugi državi/regiji ali v drugem raziskovalnem centru (javnem ali zasebnem), ali prehod iz ene stroke ali sektorja v drugo/drugega, bodisi kot del prvotnega raziskovalnega usposabljanja bodisi na kasnejši stopnji v karieri raziskovalca, ali virtualno mobilnostno izkušnjo je treba upoštevati kot dragocen prispevek k poklicnemu razvoju raziskovalca.

Priznavanje kvalifikacij

Delodajalci in/ali financerji morajo poskrbeti za ustrezno oceno in presojo akademskih in poklicnih kvalifikacij, vključno z neformalnimi kvali-

fikacijami, vseh raziskovalcev, zlasti v smislu mednarodne in poklicne mobilnosti. Seznaniti se morajo s pravili, postopki in standardi tovrstnih kvalifikacij, jih v celoti razumeti ter posledično preučiti nacionalno zakonodajo, konvencije in posebne predpise glede priznanja teh kvalifikacij prek vseh razpoložljivih kanalov ¹⁶.

Delovna doba

Stopnje zahtevanih kvalifikacij morajo biti usklajene s potrebami položaja, ne pa delovati kot ovira za vstop. Pri prepoznavanju in oceni kvalifikacij se je treba osredotočiti na dosežke osebe, ne pa na njene okoliščine ali ugled ustanove, v kateri je pridobila kvalifikacije. Ker so lahko poklicne kvalifikacije pridobljene na začetku dolge kariere, je treba upoštevati tudi vzorec dolgega poklicnega razvoja.

Podoktorska imenovanja

Ustanove, ki imenujejo podoktorske raziskovalce, morajo postaviti jasna pravila in natančne smernice za zaposlovanje in imenovanje takšnih raziskovalcev, vključno z najdaljšim trajanjem in cilji takšnih imenovanj. Takšne smernice morajo upoštevati čas, ki ga je kandidat preživel na prejšnjih podoktorskih zaposlitvah v drugih ustanovah, ob upoštevanju dejstva, da mora biti podoktorski status prehodnega značaja, pogloblitni namen pa mora biti omogočanje dodatnih možnosti poklicnega razvoja za raziskovalno kariero v smislu dolgoročnih kariernih pričakovanj.

¹⁶ Glejte <http://www.enic-naric.net/> za več informacij o omrežjih NARIC (National Academic Recognition Information Centres in ENIC (European Network of Information Centres)).

Oddelek 3 Opredelitve

Raziskovalci

Za namene tega priporočila se uporablja mednarodno priznana Frascati-jeva opredelitev raziskave ¹⁷. Raziskovalci so posledično opisani kot

„strokovnjaki, ki se ukvarjajo s pojmovanjem ali ustvarjanjem novega znanja, izdelkov, postopkov, metod in sistemov ter z upravljanjem zadevnih projektov.“

Natančneje se to priporočilo nanaša na vse osebe, ki so poklicno zaposlene pri raziskavah in razvoju v kateri koli fazi svoje kariere ¹⁸ ne glede na njihovo klasifikacijo. To vključuje tudi dejavnosti, povezane s „temeljnimi raziskavami“, „strateškimi raziskavami“, „uporabnimi raziskavami“, poskusnim razvojem in „prenosom znanja“, vključno z inovacijami in posvetovalnimi, nadzornimi in učnimi zmogljivostmi, upravljanjem z znanjem in pravicami do intelektualne lastnine, izkoriščanjem rezultatov raziskav ali znanstvenim novinarstvom.

Treba je razlikovati med raziskovalci v zgodnji fazi raziskovalne kariere in izkušenimi raziskovalci:

¹⁷ V: Predlagana standardna praksa za ankete o raziskavah in poskusnem razvoju, Frascati Manual, OECD, 2002.

¹⁸ COM (2003) 436, 18.7.2003: Raziskovalci v Evropskem raziskovalnem prostoru: En poklic, več karier.

- Izraz raziskovalec v zgodnji fazi raziskovalne kariere ¹⁹ se nanaša na raziskovalce v prvih štirih letih (polni delovni čas) njihove raziskovalne dejavnosti, vključno z obdobjem raziskovalnega usposabljanja.
- Izkušeni raziskovalci ²⁰ so opredeljeni kot raziskovalci z najmanj štirimi leti (polni delovni čas) raziskovalnih izkušenj od pridobitve univerzitetne diplome, ki jim omogoča pripravo doktorata, v državi, v kateri je diploma pridobljena, oz. raziskovalci, ki so že pridobili doktorat, ne glede na to, koliko časa je pridobitev trajala.

Delodajalci

V smislu tega priporočila se izraz „delodajalci“ nanaša na vse javne ali zasebne institucije, ki zaposlujejo raziskovalce na podlagi pogodb ali gostijo raziskovalce na podlagi drugih vrst pogodb ali sporazumov, vključno s tistimi, ki ne predvidevajo neposrednega finančnega razmerja. Slednje se zlasti nanaša na visokošolske ustanove, oddelke na fakultetah, laboratorije, sklade ali zasebna telesa, kjer raziskovalci bodisi opravijo usposabljanje ali izvajajo raziskovalne dejavnosti na podlagi financiranja, ki ga omogoči tretja stran.

Financerji

Izraz „financerji“ se nanaša na vse organe ²¹, ki financirajo (vključno s plačami, nagradami, subvencijami in štipendijami) javne in zasebne

¹⁹ Glejte: Delovni program „Strukturiranje evropskega raziskovalnega območja: Človeški viri in mobilnost, ukrepi Mari Curie“, izdaja september 2004, str. 41.

²⁰ Prav tam, str. 42.

²¹ Skupnost si bo prizadevala za izvajanje obveznosti, določenih v tem priporočilu, do prejema sredstev v okviru Okvirnega/-ih programa/-ov za raziskave, tehnološki razvoj in demonstracijske dejavnosti.

raziskovalne ustanove, vključno z visokošolskimi ustanovami. V tej vlogi lahko kot ključni pogoj za financiranje določijo, da morajo ustanove, ki jih podpirajo, sprejeti in izvajati učinkovite strategije, prakse in mehanizme, v skladu s splošnimi načeli in zahtevami, predstavljenimi v tem priporočilu.

Imenovanje ali zaposlitev

To se nanaša na katero koli vrsto pogodbe ali plače ali na štipendijo, subvencijo ali nagrade, ki jih financira tretja stran, vključno s financiranjem znotraj okvirnega programa/-ov ²².

²² Okvirni program/-i za raziskave, tehnološki razvoj in demonstracijske dejavnosti.

EUROPEAN COMMISSION

The European Charter for Researchers

The Code of Conduct for the Recruitment of Researchers



Commission Recommendation of 11 March 2005 on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers

The Commission of the European Communities

Having regard to the Treaty establishing the European Community, and in particular Article 165 thereof

Whereas

- (1) The Commission considered it necessary in January 2000¹ to establish the European Research Area as the linchpin of the Community's future action in this field with a view to consolidating and giving structure to a European research policy.
- (2) The Lisbon European Council set the Community the objective of becoming the most competitive and dynamic knowledge economy in the world by 2010.
- (3) The Council has addressed issues related to the profession and the career of researchers within the European Research Area in its Resolution of 10 November 2003² and welcomed in particular the Commission's intention to work towards the development of a European Researcher's Charter and a Code of Conduct for the Recruitment of Researchers.

¹ COM(2000) 6 final of 18.1.2000.

² JO C 282, p. 1-2, of 25.11.2003. Council Resolution of 10 November 2003 (2003/C 282/01 on the profession and the career of researchers within the European Research Area).

- (4) The identified potential shortage of researchers³, particularly in certain key disciplines, will pose a serious threat to EU's innovative strength, knowledge capacity and productivity growth in the near future and may hamper the attainment of the Lisbon and Barcelona objectives. Consequently, 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 for them in R&D⁴.
- (5) Sufficient and well-developed human resources in R&D are the cornerstone of advancement in scientific knowledge, technological progress, enhancing the quality of life, ensuring the welfare of European citizens and contributing to Europe's competitiveness.
- (6) New instruments for the career development of researchers should be introduced and implemented, thus contributing to the improvement of career prospects for researchers in Europe.
- (7) Enhanced and more visible career prospects also contribute to the building of a positive public attitude towards the researchers' profession, and thereby encourage more young people to embark on careers in research.
- (8) The ultimate political goal of this Recommendation 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 to effective performance and productivity.
- (9) Member States should endeavour to offer researchers sustainable career development systems at all career stages, regardless of their contractual situation and of the chosen R&D career path, and they

³ COM (2003) 226 final and SEC(2003) 489 of 30.4.2003.

⁴ SEC (2005) 260.

should endeavour to ensure that researchers are treated as professionals and as an integral part of the institutions in which they work.

- (10) Even though Member States have made considerable efforts to overcome administrative and legal obstacles to geographical and inter-sectoral mobility, many of these obstacles still remain.
- (11) All forms of mobility should be encouraged as part of a comprehensive human resource policy in R&D at national, regional and institutional level.
- (12) The value of all forms of mobility needs to be fully recognised in the career appraisal and career advancement systems for researchers, thus guaranteeing that such an experience is conducive to their professional development.
- (13) The development of a consistent career and mobility policy for researchers to ⁵ and from the European Union should be considered with regard to the situation in developing countries and regions within and outside Europe, so that building research capacities within the European Union does not occur at the expense of less developed countries or regions.
- (14) Funders or employers of researchers in their role as recruiters should be responsible for providing researchers with open, transparent and internationally comparable selection and recruitment procedures.
- (15) Society should appreciate more fully the responsibilities and the professionalism that researchers demonstrate in executing their work at different stages of their careers and in their multi-faceted role as knowledge workers, leaders, project coordinators, managers, supervisors, mentors, career advisors or science communicators.

⁵ COM(2004) 178 final of 16.3.2004.

- (16) This Recommendation takes as its premise that employers or funders of researchers have an overriding obligation to ensure that they meet respective national, regional or sectoral legislation requirements.
- (17) This Recommendation provides Member States, employers, funders and researchers with a valuable instrument to undertake, on a voluntary basis, further initiatives for the improvement and consolidation of researchers' career prospects in the European Union and for the creation of an open labour market for researchers.
- (18) The general principles and requirements outlined in this Recommendation are the fruits of a public consultation process to which the members of the Steering Group on Human Resources and Mobility have been fully associated,

Hereby recommends:

1. That Member States endeavour to undertake the necessary steps to ensure that employers or funders of researchers develop and maintain a supportive research environment and working culture, where individuals and research groups are valued, encouraged and supported, and provided with the necessary material and intangible support to enable them to fulfil their objectives and tasks. Within this context, particular priority should be given to the organisation of working and training conditions in the early stage of the researchers' careers, as it contributes to the future choices and attractiveness of a career in R&D.
2. That Member States endeavour to take, wherever necessary, the crucial steps to ensure that employers or funders of researchers improve the recruitment methods and career evaluation/appraisal systems in order to create a more transparent, open, equal and internationally accepted system of recruitment and career development as a prerequisite for a genuine European labour market for researchers.

3. That Member States - as they formulate and adopt their strategies and systems for developing sustainable careers for researchers - take duly into account and are guided by the general principles and requirements, referred to as The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers outlined in the Annex.
4. That Member States endeavour to transpose these general principles and requirements within their area of responsibility into national regulatory frameworks or sectoral and/or institutional standards and guidelines (charters and/or codes for researchers). In so doing they should take into account the great diversity of the laws, regulations and practices which, in different countries and in different sectors, determine the path, organisation and working conditions of a career in R&D.
5. That Member States consider such general principles and requirements as an integral part of institutional quality assurance mechanisms by regarding them as a means for establishing funding criteria for national/regional funding schemes, as well as adopting them for the auditing, monitoring and evaluation processes of public bodies.
6. That Member States continue their efforts to overcome the persisting legal and administrative obstacles to mobility, including those related to intersectoral mobility and mobility between and within different functions, taking into account an enlarged European Union.
7. That Member States endeavour to ensure that researchers enjoy adequate social security coverage according to their legal status. Within this context, particular attention should be paid to the portability of pension rights, either statutory or supplementary, for researchers moving within the public and private sectors in the same country and also for those moving across borders within the European Union. Such regimes should guarantee that researchers who, in the course

of their lives, change jobs or interrupt their careers do not unduly suffer a loss of social security rights.

8. That Member States put in place the necessary monitoring structures to review this Recommendation regularly, as well as to measure the extent to which employers, funders and researchers have applied the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.
9. That the criteria for measuring this will be established and agreed with the Member States within the context of the work undertaken by the Steering Group on Human Resources and Mobility.
10. That Member States in their role as representatives in the international organisations established at intergovernmental level take due account of this Recommendation when proposing strategies and taking decisions concerning the activities of those organisations.
11. This Recommendation is addressed to the Member States but it is also intended as an instrument to encourage social dialogue, as well as dialogue among researchers, stakeholders and society at large.
12. The Member States are invited to inform the Commission, as far as possible, by 15th December 2005 and annually thereafter of any measures they have taken further to this Recommendation, and to inform it of the first results of its application as well as to provide examples of good practice.
13. This Recommendation will be reviewed periodically by the Commission in the context of the Open Method of Coordination.

Done at Brussels, 11 March 2005

For the Commission
Janez Potočnik
Member of the Commission

ANNEX

Section 1

The European Charter for Researchers

The European Charter for Researchers is a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers⁶. The aim of the Charter is to ensure that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. The Charter also recognizes the value of all forms of mobility as a means for enhancing the professional development of researchers.

In this sense, the Charter constitutes a framework for researchers, employers and funders which invites them to act responsibly and as professionals within their working environment, and to recognise each other as such.

The Charter addresses all researchers in the European Union at all stages of their career and covers all fields of research in the public and private sectors, irrespective of the nature of the appointment or employment⁷, the legal status of their employer or the type of organisation or establishment in which the work is carried out. It takes into account the multiple roles of researchers, who are appointed not only to conduct research and/or to carry out development activities but are also involved in supervision, mentoring, management or administrative tasks.

⁶ See definition in Section 3.

⁷ See definition in Section 3.

This Charter takes as its premise that researchers as well as employers and/or funders of researchers have an overriding obligation to ensure that they meet the requirements of the respective national or regional legislation. Where researchers enjoy a status and rights which are, in certain respects, more favourable than those provided for in this Charter, its terms should not be invoked to diminish the status and rights already acquired.

Researchers, as well as employers and funders, who adhere to this Charter will also be respecting the fundamental rights and observe the principles recognised by the Charter of Fundamental Rights of the European Union ⁸.

⁸ Official Journal C 364, 18.12.2000 p. 0001-0022.

General Principles and Requirements applicable to Researchers:

Research Freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.

Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.

They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results

are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.

This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

General Principles and Requirements applicable to Employers and Funders:

Recognition of the profession

All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Non-discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career ⁹. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the *EU Directive on Fixed-Term Work* ¹⁰.

⁹ See SEC (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.

¹⁰ Which aims to prevent fixed-term employees from being treated less favourably than similar permanent employees, to prevent abuse arising from the use of successive fixed-term contracts, to improve access to training for fixed-term employees and to ensure that fixed-term employees are informed about available permanent jobs. Council Directive 1999/70/EC concerning the “Framework Agreement on fixed-term work” concluded by ETUC, UNICE and CEEP, adopted on 28 June 1999.

Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Gender balance ¹¹

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.

Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any

¹¹ See SEC (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.

insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Value of mobility

Employers and/or funders must recognise the value of geographical, inter-sectoral, inter- and trans-disciplinary and virtual¹² mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.

This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.

Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.

¹² i.e. remote collaboration over electronic networks.

Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.

Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

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.

Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Evaluation/appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

Complaints/appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Participation in decision-making bodies

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution ¹³.

¹³ In this context see also EU Directive 2002/14/EC.

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.

Section 2

The Code of Conduct for the Recruitment of Researchers

The code of conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. These principles and requirements should ensure observance of values such as transparency of the recruitment process and equal treatment of all applicants, in particular with regard to the development of an attractive, open and sustainable European labour market for researchers, and are complementary to those outlined in the European Charter for Researchers. Institutions and employers adhering to the Code of Conduct will openly demonstrate their commitment to act in a responsible and respectable way and to provide fair framework conditions to researchers, with a clear intention to contribute to the advancement of the European Research Area.

General Principles and Requirements for the Code of Conduct

Recruitment

Employers and/or funders should establish recruitment procedures which are open¹⁴, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

¹⁴ All available instruments should be used, in particular international or globally accessible web-based resources such as the pan-European Researcher's Mobility Portal: <http://europa.eu.int/eracareers>.

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.

Selection

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.

Transparency

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.

Judging merit

The selection process should take into consideration the whole range of experience¹⁵ of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.

¹⁵ See also The European Charter for Researchers: Evaluation/Appraisal systems in Section 1 of this document.

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.

Variations in the chronological order of CVs

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.

Recognition of mobility experience

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 of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Recognition of qualifications

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 ¹⁶.

Seniority

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.

Postdoctoral appointments

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 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.

¹⁶ Look at <http://www.enic-naric.net/> to find more detailed information about the NARIC Network (National Academic Recognition Information Centres) and the ENIC Network (European Network of Information Centres).

Section 3 Definitions

Researchers

For the purpose of this Recommendation the internationally recognised Frascati definition of research¹⁷ will be used. Consequently, researchers are described as

“Professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned.”

More specifically, this Recommendation relates to all persons professionally engaged in R&D at any career stage¹⁸, regardless of their classification. This includes any activities related to “basic research”, “strategic research”, “applied research”, experimental development and “transfer of knowledge” including innovation and advisory, supervisory and teaching capacities, the management of knowledge and intellectual property rights, the exploitation of research results or scientific journalism.

A distinction is made between Early-Stage Researcher and Experienced Researchers:

- The term Early-Stage Researcher¹⁹ refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training.

¹⁷ In: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002.

¹⁸ COM (2003) 436 of 18.7. 2003: Researchers in the ERA: One profession, multiple careers.

¹⁹ See Work Programme Structuring the European Research Area Human Resources and Mobility Marie Curie Actions, edition September 2004, page 41.

- Experienced Researchers ²⁰ are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it.

Employers

In the context of this Recommendation “employers” refers to all those public or private institutions which employ researchers on a contractual basis or which host them under other types of contracts or arrangements, including those without a direct financial relationship. The latter refers particularly to institutions of higher education, faculty departments, laboratories, foundations or private bodies where researchers either undergo their research training or carry out their research activities on the basis of funding provided by a third party.

Funders

“Funders” refers to all those bodies ²¹ which provide funding, (including stipends, awards, grants and fellowships) to public and private research institutions, including institutions for higher education. In this role they might stipulate as a key condition for providing funding that the funded institutions should have in place and apply effective strategies, practices and mechanisms according to the general principles and requirements presented in this Recommendation.

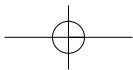
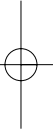
²⁰ Idem, page 42.

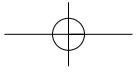
²¹ The Community will endeavour to apply the commitments laid down in this Recommendation to the receiver of funding in the context of the Framework Programme(s) for Research, Technological Development and Demonstration Activities.

Appointment or employment

This refers to any type of contract or stipend or to a fellowship, grant or awards financed by a third party including funding within the context of the Framework Programme(s) ²².

²² The Framework Programme(s) for Research, Technological Development and Demonstration Activities.







European Commission

**EUR 21620 — Evropska listina za raziskovalce
Kodeks ravnanja pri zaposlovanju raziskovalcev**

Luxembourg: Office for Official Publications of the European Communities

2006 — 60 pp. — 14,8 x 21 cm

ISBN 92-894-9326-7

