

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

“A Human Resources Strategy for Researchers incorporating the Charter and Code”

University of Crete: Internal Framework Analysis

June 2012

Based on the standard template for the internal analysis – <http://ec.europa.eu/euraxess/rights>
 The headings refer to the principles of the Charter and Code. The accompanying text sets out the regulatory framework affecting implementation of the Charter and Code together with the main observations and proposals for action which arose through the internal analyses and consultation process.

I. Ethical and professional aspects

General – NO LAWS/REGULATIONS IMPEDING THE IMPLEMENTATION OF THESE PRINCIPLES

1. Research freedom	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices, <i>Observations and Actions Required</i>
<p>N4009/2011 [Structure, function, quality assurance of studies and internationalization of Higher Education Institutions] article 3: supports the principles of research freedom and freedom of thought and expression.</p> <p><i>ENABLING LEGAL FRAMEWORK – Specific provisions on professional ethics specified in existing laws on the governance of HEIs.</i></p>	<ul style="list-style-type: none"> • UoC Code of Ethics [s2 (3&4), ss3&4] addresses these issues; specifically, the value of research, research independence, academic freedom, and transparency. • UoC Internal Regulations (s2) obliges all members of the academic community to honor the ethical principles and all relevant codes of ethics in all their activities. • Also supported by Research Committee (ELKE) - Guide on Project Financing and Administration (Chapters Γ & Δ). <p><i>GENERAL: Researchers need systematic information about their rights and responsibilities and about procedures for observance of these.</i></p> <p><u><i>ACTIONS REQUIRED</i></u></p> <ul style="list-style-type: none"> -Preparation of information package /'rule book' documenting ethical and professional rights and responsibilities; -To be mandatory reading for all PIs, supervisors, and new entrant researchers -To request e-signature that s/he has read & understood the policies and agrees to abide by them <p><u><i>ACTION by</i></u> : UoC Administration (HR Services, Research Secretariat, systems administrators); individual researchers</p>

2. Ethical principles	
<p>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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>
<p>Supported by</p> <ul style="list-style-type: none"> The National Committee for Bioethics - Εθνικής Επιτροπής Βιοηθικής http://www.bioethics.gr/ Legal codes for specific research areas Hellenic Data Protection Authority - Αρχής Προστασίας Δεδομένων Προσωπικού Χαρακτήρα (protection of personal data & privacy) http://www.dpa.gr/ 	<ul style="list-style-type: none"> UoC Internal Regulations (s 2); UoC Code of Ethics: specifies principles of conduct/good practice and publishes as appendices relevant codes for research in specific areas <p><i>OBSERVATIONS: Provisions in Code (s12) for UoC Research Ethics Committee (REC) – constitution scheduled (July 2012) – remit concerns specifically compliance of research protocols with all relevant ethical principles and codes. REC will incorporate &/or supersede existing bodies and ad hoc procedures for the approval of research protocols &/or oversee specially constituted expert sub-committees for the review & approval of research protocols in specific areas/disciplines.</i></p> <p><i>Professional ethics remain the province of the University authorities.</i></p> <p><i>ACTIONS REQUIRED: the REC to be established and operational asap, starting with the collation and codification of existing protocols and approval mechanisms.</i></p> <p><i>ACTION by : REC members in association with Faculty Deans; individual researchers</i></p>

3. Professional responsibility	
<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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>

<p>Supported by</p> <ul style="list-style-type: none"> N.4009/2011 – through the Internal Regulations of the Institution. N.2121/93; N1733/87; Ministerial Decision/Ruling 31/12/87 	<ul style="list-style-type: none"> UoC Code of Ethics (ss 2,3,5 &7) ELKE: Addressed in internal regulations on IPR (Senate 292/29-9-2011) and IPR clauses in employment contracts. <p><i><u>OBSERVATION (1):</u> Professional responsibility/academic ethics – and appropriate procedures in the event of breaches - are addressed in the laws and regulations on the governance of HEIs, including provisions for an Academic Ethics Committee to be convened on request.</i></p> <p><i>Custom & Practice (C&P): resolution of any issues of academic ethics relies on good faith and informal appeals to academic authorities. In the event of failure to resolve complaints, bad faith or ethical breaches, cases have been resolved through the judiciary system.</i></p> <p><i><u>ACTIONS REQUIRED:</u> (a) Review institutional provisions for observance of professional ethics; report on appropriate mechanisms for internal appeals & fair internal disciplinary procedures and (b) implement recommendations.</i></p> <p><i><u>ACTION by:</u> UoC Administration (Rectorate & Legal Services; with Faculty Deans)</i></p> <p><i><u>OBSERVATION (2):</u> in addition to the ‘rule-book’ package, specific guidance and support services are required on IPR and related issues.</i></p> <p><i><u>ACTIONS REQUIRED:</u></i></p> <ul style="list-style-type: none"> (a) IPR comprehensive Information package for researchers on-line; (b) development of support services; (c) on-line guidance package (preferably interactive) on plagiarism (what it is, how to avoid it) geared particularly to educating undergraduate new entrants in the transition from school learning to critical, independent scholarship; (d) examine feasibility of research training induction courses in all Departments. <p><i><u>ACTION by:</u> UoC Administration</i></p> <ul style="list-style-type: none"> (a & b) Research Secretariat , Legal Services, Property Management services; (c & d) drawing on expertise of Bioethics course organizers; REC members; individual researchers (accessing).
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<h4>4. Professional attitude</h4>	
<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>Relevant legislation (permitting or impeding the implementation of this principle)</p> <ul style="list-style-type: none"> N.4009/2011 – through the Internal Regulations of the Institution 	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p> <ul style="list-style-type: none"> Code of Ethics – s.14 addresses obligations ELKE – Guide on Project Financing and Administration (Chapters Γ&Δ) ELKE clauses in employment contracts (ss9,11,12). <p><i><u>OBSERVATION (1):</u> as for #2. Ethical Principles</i></p> <p><i><u>OBSERVATION (2):</u> Familiarity with strategic goals and funding mechanisms is largely the product of research groups’ C&P and individuals’ experiences and initiatives.</i></p> <p><i><u>ACTIONS REQUIRED:</u> development of information and support services (as for #23 Research Environment’)</i></p>

5. Contractual and legal obligations	
<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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<ul style="list-style-type: none"> N.2121/93; N1733/87; Ministerial Decision/Ruling 31/12/87 	<p>Addressed in the Code of Ethics (ss. 2, 7,14,15,19), by internal IPR regulations (ELKE), by the Research Secretariat's Guide on Project Financing and Administration, and clauses in employment contracts (ss 11 & 12).</p> <p><i>OBSERVATIONS: on IPR as for #3 Professional Responsibility and #31 IPR.</i></p>

6. Accountability	
<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.</p> <p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<ul style="list-style-type: none"> N.4009/2011 – through the Internal Regulations of the Institution National regulations “Cl@rity” /ΔΙΑΥΓΕΙΑ aimed at transparent management in the public sector http://diavgeia.gov.gr/en 	<ul style="list-style-type: none"> Code of Ethics (ss 10,13,14,15) ELKE – Guide on Project Financing and Administration ELKE - clauses in employment contracts (2,5,7,10,17) <p><i>OBSERVATIONS: requirements for transparency do not necessarily coincide with efficient financial management – e.g. requirements for public calls on all purchases of equipment and consumables over €5.870 are bureaucratic and can result in long delays in fund absorption.</i></p> <p><i>ACTIONS REQUIRED: lobbying Ministry/ies for harmonization of national research calls/programs rules and procedures; for measures to expedite efficient management (e.g. review tender threshold requirements and procedures).</i></p> <p><i>ACTION by: Rectorate; Rectors Council.</i></p>

7. Good practice in research	
<p>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.</p>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<ul style="list-style-type: none"> • N.4009/2011 – through the Internal Regulations of the Institution • H&S legislation, regulations & codes of practice – through the Occupational H&S Agency (Ministry of Labour & Social Security, General Directorate of Working Conditions and Health) with scientific and technical support from the Centre for Occupational H&S (KYAE). • Hellenic Data Protection Authority - Αρχή Προστασίας Δεδομένων Προσωπικού Χαρακτήρα (protection of personal data & privacy) http://www.dpa.gr/ 	<ul style="list-style-type: none"> • Code of Ethics – (particularly ss4,5,18). • IT back-up procedures/programs currently operational for all UoC data systems. • UNIVERSITY H&S Committee –Departmental & Lab officers- Departmental Codes. <p><i>OBSERVATIONS (1): Availability of health and safety (H&S information and training varies between Departments. C&P e.g. Medical School has guidance leaflet + 2hr seminar annually for postgraduate students, but it is poorly attended.</i></p> <p><i>ACTIONS REQUIRED: SWOT analysis of H&S organization, guidance, procedures and training at all levels (University, departmental, labs and clinics) to include :</i></p> <ul style="list-style-type: none"> - General (fire/earthquake) - Specific environmental (waste disposal/pollution control) - Specific occupational (labs and clinics) <p><i>Recommendations on role and responsibilities of H&S Committee, Departmental safety officers, elected or nominated lab/clinic safety representatives.</i></p> <p><i>ACTION BY UoC Administration: Vice-Rector, Technical Services, Faculty Deans, Department Heads and Clinic/Lab PIs.</i></p> <p><i>OBSERVATIONS (2): like everything else IT systems services, as run by departmental systems administrators, dependent on secure funding to ensure reliable backup provisions.</i></p>

8. Dissemination, exploitation of results	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>

<ul style="list-style-type: none"> N.4009/2011 – through the Internal Regulations of the Institution 	<ul style="list-style-type: none"> Code of Ethics (s10) on the ‘promotion of research’ ELKE – Guide on Project Financing and Administration (s17) on the completion & dissemination of research results and (s18) on the use of research products ELKE – IPR Regulations: management of copyright & patents <p><i>OBSERVATIONS (1) on IPR as for #3 Professional Responsibilities and #31 IPR.</i></p> <p><i>OBSERVATIONS (2) classic academic channels (publication/dissemination) for the exploitation of research results are well used. Commercial exploitation is another matter - only recently addressed by internal regulations on IPR. Critical issue is non-availability of funds to support patent applications, let alone the resources necessary to act as incubator &/or invest in the lead-in development phases. To date, actions taken (patents, spin-off companies) are the result of individuals’ initiatives and the University has had little/no return from patents which do lead to successful commercial exploitation of results obtained using its’ resources (incl talent) and infrastructure. Recently introduced internal regulations address the contractual aspects of IPR and secure UoC participation in patents and any associated returns. Need to build on this further, with policy, information, guidance and support services.</i></p> <p><u>ACTIONS REQUIRED:</u></p> <ul style="list-style-type: none"> - Policy – ‘third mission’ issues - clarification of how commercial exploitation of results fits with UoCs mission as HEI; explicit commitment on use of any revenues accruing to the UoC as a result of commercial exploitation to support talented researchers and to develop core research facilities. - Review C&P, including mapping IPR track record for patents, spin-offs; - develop comprehensive IPR guidance package; - examine feasible options for development of support services. - Lobbying regional &/or national authorities in collaboration with other HEIs and research institutes for regional/national enterprise/ innovation body – to support patent applications and for investment in development phases (e.g. on the lines of ‘Scottish Enterprise’) <p><u>ACTION BY</u> UoC Administration: Rectorate, Research Secretariat, Legal Services, Property Management services.</p>
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9. Public engagement	
<p>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.</p>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>- N.4009/2011 – through the Internal Regulations of the Institution</p>	<p>Ethics Code s 2 – research as a public resource; s10 on dissemination</p> <p><u>OBSERVATIONS.</u></p> <p>(a) Range of permanent and occasional forums and means: exhibitions (including museums) , public lectures, school visits, Open Days, etc</p> <p>(b) Actions also in hand to improve e-access i.e. user-friendly tools to improve accessibility by the public as well as academics, including website highlights & development of an on-line research directory (database with search engine) linked to publications.</p> <p><u>ACTIONS REQUIRED:</u> support and develop current initiatives</p> <p><u>ACTION BY</u> UoC Administration</p> <p>(a) Public Relations services;</p> <p>(b) Library, Research Secretariat, e-services, and academic and administrative departments as required</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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
Enabling: N.4009/2011 ss3 & 4	UoC Ethics Code s3(2) & s5(1) forbid any kind of discrimination in the conduct of research <i><u>OBSERVATION:</u> Socio-political history and environment makes for sensitivity on these issues, particularly in recruitment/ selection procedures (see #12 Recruitment).</i> <i><u>ACTIONS REQUIRED:</u> Non-discrimination policy commitment; institute Equality evaluation and recommend accordingly.</i> <i><u>ACTION BY UoC Administration:</u> Rectorate, Legal Services, Personnel Services.</i>

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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
Supported by N.4009/2011 s21 & s22 sets out requirements for the evaluation of all researchers with a permanent or non-permanent employment relationship with the UoC	<ul style="list-style-type: none"> • new legal provisions – pending implementation • Currently - evaluation procedures for faculty on initial election and subsequent promotions. • UoC Internal Regulations s1 (3): enables evaluation of all members of the University community <p>For researchers on short-term contracts handled by the Research Secretariat (ELKE):</p> <ul style="list-style-type: none"> • ELKE – Guide on Project Financing and Administration (s7) on the responsibilities of Principal Investigators (EYs) • ELKE – s5 in employment contracts <p><i><u>OBSERVATION:</u> consultation process indicated overwhelming support for periodic evaluation of professional performance of researchers at all levels.</i></p> <p><i><u>ACTIONS REQUIRED:</u> pending activation of legal provisions, internal QA procedures could pinpoint key quality indicators for teaching and research to evaluate performance on a Departmental basis and assist in profiling faculty strengths and weaknesses.</i></p> <p><i><u>ACTIONS BY UoC Administration:</u> QA Committee, Faculty Deans, Heads of Departments.</i></p>

II. Recruitment

General – COMPLEX LEGAL REGULATIONS AFFECTING IMPLEMENTATION OF THESE PRINCIPLES

12. Recruitment	
<p>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at 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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>N.4009/2011 ss17-20 sets out the procedures and selection criteria required for the recruitment of all researchers with <u>a permanent or non-permanent employment relationship with the UoC</u></p> <p>Impeding : N 4057/12, 4075/12: severely complicate relevant practices by the academic & research community</p>	<p>UoC Internal Regulations s32 deals with the selection of post-graduate students.</p> <p>ELKE Guide for researchers on short-term contracts</p> <p>ELKE: Guide on the recruitment of researchers and support staff through grant funded programs (in draft- completion pending clarification of legal requirements)</p> <p><i>GENERAL OBSERVATION: Recruitment and selection procedures for faculty, for research support staff, and for researchers on fixed-term contracts are each subject to specific sets of detailed rules and regulations. For fixed-term positions connected to research grants, hiring has traditionally been at the discretion of project PIs. Recent internal regulations (ELKE) are indicative of efforts being made to bring the recruitment and selection procedures more in line with the principles of the C&C (e.g. posting of all job positions on the EURAXESS Job Portal).</i></p> <p><i>New regulations on hiring are considered to <u>impact negatively</u> on best practices and institutional autonomy by introducing additional complex, bureaucratic procedures requiring all appointments to be referred to through central (national) standing committees.</i></p> <p><i>ACTIONS within the scope of the UoC internally are <u>already in hand</u> to review and if necessary amend internal regulations (with particular reference to fixed-term positions), including guidelines on selection and provision for independent evaluators, as required by the new law N.4009/2011 and subsequent regulations.</i></p> <p><i>ACTIONS BY UoC Administration: Research Committee, Research Secretariat.</i></p>
13. Recruitment (Code)	
<p>Employers and/or funders should establish recruitment procedures which are open 14, 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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>N.4009/2011 ss15,17-20.</p> <p>National regulations ΔΙΑΓΓΕΙΑ / “Cl@rity” – transparency in public hiring – all job vacancies posted on national site</p>	<ul style="list-style-type: none"> Follows procedures as laid down by law (publication of positions etc). Code of Ethics s13 on the selection of co-researchers. ELKE – Use of EURAXESS Job Portal as standard procedure for posting research positions. <p><i>OBSERVATION as in #12 above</i></p>

14. Selection (Code)	
<p>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 should be realistic.</p>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>N.4009/2011 ss 3,4,15, 17-20.</p> <p>Includes regulations on the composition of selection panels for faculty & other researchers.</p> <p>Impeding :</p> <p>N 4057/12, 4075/12 severely complicates relevant practices by the academic & research community</p>	<ul style="list-style-type: none"> Follows legal requirements. ELKE: Guide on the recruitment of researchers and support staff through grant funded programs (in draft- completion pending clarification of legal requirements) <p><u>OBSERVATION</u> as in #12 above</p>

15. Transparency (Code)	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>N.4009/11 s15.</p> <p>National regulations ΔΙΑΥΓΕΙΑ / “Cl@rity” – transparency in public hiring</p>	<p>Procedures as set out in legal framework</p> <p>ELKE: Guide for researchers on short-term contracts.</p> <p><u>OBSERVATION</u>; the number of applications for some positions means that individual feedback to each candidate is not reasonably practicable (also inhibited by weight given to qualitative/subjective elements -see #16 below).</p> <p><u>ACTIONS REQUIRED</u>: Examine feasibility of a feedback policy and provision of template &/or guidelines for feedback on request to candidates(in final round)</p> <p><u>ACTIONS BY</u> UoC Administration: Research Committee & Secretariat; HR services.</p>

16. Judging merit (Code)	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>N.4009/2011 ss 3,4,15, 17-20.</p>	<p>Principles consistent with academic C&P.</p> <p><u>OBSERVATION</u> as in #12 above</p>

17. Variations in the chronological order of CVs (Code)	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/2011 ss 3,4,15, 17-20.	Principles consistent with academic C&P. <u>OBSERVATION</u> as in #12 above

18. Recognition of mobility experience (Code)	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/2011 ss 3,4,15, 17-20.	Principles consistent with academic C&P. <u>OBSERVATION</u> as in #12 above

19. Recognition of qualifications (Code)	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/2011 ss 3,4,15, 17-20 Legal framework for recognition of qualifications issued outside Greece : <u>Hellenic National Academic Recognition Information Centre (NARIC) / ΔΟΑΤΑΠ</u>	Recognition of professional qualifications according to national regulations. Regulatory procedures (NARIC/ΔΟΑΤΑΠ) considered to be cumbersome and governed by bureaucratic rather than academic/professional criteria. No formal provisions concerning non-formal qualifications. Principles consistent with academic C&P.

20. Seniority (Code)	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/2011 ss 3,4,15, 17-20.	Principles consistent with academic C&P.

21. Postdoctoral appointments (Code)	
<p>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.</p>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
As above - general for recruitment	<p>No formal provisions beyond those for recruitment of researchers generally.</p> <p><i><u>OBSERVATION:</u> reflecting opportunities for paid employment and the state of the job market, we have the phenomenon of researchers <u>operating long-term at the post-doc level</u> through successive appointments. While promoting post-doctoral research as transitional (an ideal case), care is necessary to ensure that these researchers are not subject to prejudicial treatment (eg age-cut-offs for post-doc positions)*</i></p> <p><i><u>ACTIONS REQUIRED:</u> as in #12 above</i></p>

*Source : direct from post-doc consultation

III. Working conditions and social security

General: EXISTENCE OF LAWS & REGULATIONS IMPEDING IMPLEMENTATION OF THESE PRINCIPLES

22. Recognition of the profession	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N4009/11 and all preceding legislation impedes this principle with regard to all levels up to & including PhD candidates, who are classed as 'students' and subject to the rights & responsibilities of students (not professionals).	<p><i><u>OBSERVATION:</u> legal descriptors affecting postgraduate students and research support staff inhibit recognition of their status as professionals. Irrespective of whether a post-graduate student is treated as a young professional/researcher in training' by his/her supervisor, terms and conditions of any scholarship or grant contract are dictated by his/her formal status as a student.</i></p> <p><i><u>ACTIONS REQUIRED:</u> Clarify how the EC descriptors for researchers correspond to the UoCs researcher community.</i></p> <p><i><u>ACTIONS BY UoC Administration:</u> QA Committee, Research Committee.</i></p>

23. Research environment
<p>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>

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>Research policy framework & associated funding instruments (national, incorporating EC regulations e.g. availability of structural funds for research purposes) ;Min of Finance; Min of Education (Secretariat of Research); Min of Development; etc</p>	<p><u>OBSERVATIONS (1):</u> quality of the research environment is critically dependent on research funding. Shortcomings in national R&D funding for HEIs and the associated reliance on EC and national competitive calls creates insecurity of funding.</p> <p><u>ACTIONS REQUIRED:</u> on a macro level, lobbying at national level on research funding allocations & calls. At the institutional level, promote access to existing resources- upgrade research support services to provide/ to improve</p> <ul style="list-style-type: none"> (a) systematic & targeted dissemination of information on research funding, opportunities and calls, including scholarships and other funding options open to young researchers; (b) guidance and support services in proposal preparation and project management. (c) Review internal research funding criteria and independence of allocation mechanisms (e.g. included independent external evaluators) to support research excellence; specifically, to support talented young researchers (scholarships), to develop core research facilities, and to provide start-up funds for new faculty. (d) Institute awards (honorary &/or with monetary bonus) for postgraduates (e.g. best publication) and for faculty for significant successes (e.g. publication/prestigious research grant). (e) Highlight internationally prestigious awards/ contributions by UoC researchers (all levels) <p><u>ACTIONS BY UoC Administration:</u> Rectorate, QA Committee; Faculty Deans, Research Committee & Secretariat (ELKE).</p> <p><u>OBSERVATIONS (2) Health & Safety:</u> see #7 Good Practice in Research.</p>

24. Working conditions	
<p>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>	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<p>National Legislation on working conditions generally does not provide for flexibility</p>	<p><u>OBSERVATIONS</u> Terms and conditions of employment including hours, types of leave (including parental leave and sabbatical leave) are subject to detailed regulations. Eligibility dependent on type of contract. Improvement dependent on changes to employment laws at national level.</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 EU Directive on Fixed-Term Work .	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
Impeding New employment regulations 2011 et seq	Internal regulations follow national law. New employment regulations 2011 et seq impede these principles as they are designed specifically to facilitate 'flexibility' vs stability in employment <i>OBSERVATIONS: Instability/impermanence of employment contracts applies primarily to post-docs and others hired on fixed-term employment contracts or contracted as 'self-employed professionals'. Neither type of contract guarantees permanence of employment.. Apart from legal constraints on successive contracts, contract renewals are evidently dependent on project cycles & insecurity of funding. Temporary /short-term positions are inherent also to post-doc work. Researchers operating at this level are particularly vulnerable in the current economic circumstances.</i>

26. 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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
<u>Salaries: upper limits.</u> New public sector salary code (2011) applies to academic staff – specifies upper limits by category <u>Social security provisions</u> 'Harmonization' pending with merger of all insurance funds; process initiated in 2011.	-Follows national law For <u>payment rates</u> : contracts through ELKE – max rates per category as determined by the Research Committee 322-14/1/2011. For <u>social security provisions</u> : dependent on type of employment contract. _ <i>OBSERVATIONS: There are significant differences in the pay scales and social security provisions for faculty and for (typically young) researchers employed on fixed-term contracts (including adjunct lecturers -ΠΔ407). Neither are considered to offer particularly attractive terms, which recent cuts in academic salaries being a case in point. For researchers on fixed-term contracts, including post-graduate students hired to work on projects, cash-flow delays in grant funding can cause serious delays in payment of salaries. Moreover, type of contract ('employment' or 'self-employed professional') currently determines insurance fund and hence social security entitlements [through allocation to IKA vs OAEE (TEBE)] It is not clear at this stage whether, when or how the recent merger of insurance funds under one umbrella (ΕΟΠΥΥ) will lead to harmonization of social security provisions (upgrading/downgrading)..</i> <i>Improvement largely dependent on changes to employment laws at national level, and lobbying actions to date have been unsuccessful.</i> <u>ACTIONS REQUIRED</u> (a) step up lobbying activities (e.g. ΑΣΕΠ) for 'fast-track' provisions enabling employment of researchers on fixed –term contracts with fully transferrable social security provisions; (b) Ensure all PIs are aware of their rights & responsibilities in accessing the reserve fund on behalf of researchers hired through their grants in the event of program cash-flow delays;. <u>ACTIONS BY UoC Administration</u> (a) Rectorate and Legal services; (b) Research Secretariat.

27. Gender balance	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.3896/2010 (equal opportunities) <i>Also as in section 10 above re non-discrimination: N.4009/2011 ss3 & 4</i>	As for #10 Non discrimination <i>OBSERVATIONS: Although there is an evident gender imbalance among senior academic staff, gender prejudice is generally not seen as an issue. There is nonetheless scope for developing an equal opportunity policy</i> <i>ACTIONS REQUIRED: Profile existing gender balance; review scope for gender action.</i> <i>ACTIONS BY UoC Administration: QA Committee</i>

28. 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 insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/11 (enables via s5- internal organization)	No formal provisions <i>OBSERVATIONS: Experiences of researchers are fundamentally dependent on supervisor/group culture.</i> <i>ACTIONS REQUIRED Examine scope for University-wide guidelines based on best practices</i> <i>ACTIONS BY: HR Services, Careers Advisory Services.</i>

29. Value of mobility	
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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>

<p>N.4009/11 (enables via s5- internal organization)</p>	<p>No formal provisions</p> <p><i><u>OBSERVATIONS:</u> Portability of grants and social security provisions, notably pension rights, particularly from outside the EC, are problematic at all levels. Existing university-wide services supporting mobility of researchers need to be upgraded</i></p> <p><u>ACTIONS REQUIRED</u></p> <ul style="list-style-type: none"> (a) <i>Improve central information resources and services of the EURAXESS Help Desk;</i> (b) <i>investigate possibilities of association with European Funds(note onerous funding pre-requisites);</i> (c) <i>provide information and guidance on recognition of pension and other social security provisions</i> <p><u>ACTION BY</u> UoC Administration: Rectorate, Directorate of Planning & Development, International Office, HR services.</p>
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<p>30. Access to career advice</p>	
<p>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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>
<p>N.4009/11 (enables - internal organization)</p>	<p>Existing structures that partially address the issue</p> <ul style="list-style-type: none"> -Office of International Relations -Careers Office -Liaison Office <p><i><u>OBSERVATIONS:</u> clear allocation of respective responsibilities will help quality of service provision. In particular, these services should systematically utilize and highlight access to tremendous on-line resources available via graduate employment & researcher portals (rather than attempting to duplicate these resources).</i></p> <p><u>ACTION BY</u> UoC Administration: Rectorate, above services and EURAXESS Help Desk</p>

<p>31. Intellectual Property Rights</p>	
<p>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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>

<p>N.1733/1987 N.2121/1993</p>	<ul style="list-style-type: none"> - UoC Code of Ethics s3(2) & s7. - ELKE IPR Guide -ELKE Guide on Project Financing and Administration(ss 18 & 19) -ELKE ss11 & 12 of employment contracts <p><i><u>OBSERVATIONS (1): as for #3 Professional Responsibility & #8 Dissemination and Exploitation of Results.</u></i></p> <p><i><u>OBSERVATIONS (2): Supervised and joint research within the University currently relies predominately on good faith for IPR and joint data ownership issues. Internal regulations and contract clauses address some of these, but there is scope for action to safeguard parties' rights or impartially resolve conflicts in the event of 'bad faith' by one party.</u></i></p> <p><u>ACTIONS REQUIRED</u></p> <ul style="list-style-type: none"> - Contractual and legal obligations in employment and grant contracts to be reviewed & augmented as required, with particular reference to IPR. - Contracts/Agreements related to IPR, joint authorship & copyright to be drafted for research projects <u>at all levels</u> specifying & safeguarding the rights & obligations of the co-researchers and the University. <p><i><u>ACTION BY UoC Administration: University Legal Services</u></i></p>
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<p>32. Co-authorship</p>	
<p>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).</p>	
<p>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>
<p>N.4009/11 (enables - internal rules & organization)</p>	<p>Code of Ethics s3(2-4);s5(2) & s7. <i>OBSERVATIONS: as for #31 above</i></p>

<p>33. Teaching</p>	
<p>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.</p>	
<p>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>

<p>N.4009/11 (enables internal organization)</p>	<p><i>OBSERVATIONS: Teaching commitments of faculty are fairly well regulated internally, although there has been a creep towards increasing teaching loads in most Departments over the last decade with increasing student enrolments. Employing young researchers and others as ‘adjunct lecturers’ on short-term contracts (ΠΔ407) has been a mainstay of the system and a recognised step in the career path of researchers. The number of adjunct lecturer positions and associated remuneration is determined nationally and included in the HEIs operational budget. In many departments the allocated positions are split between two or more researchers with commensurate reductions in the remuneration of each. With the current cutbacks the number of adjunct lecturer positions has been drastically reduced, negatively impacting on pay and opportunities for young researchers and also on teaching commitments generally.</i></p> <p><i>ACTIONS REQUIRED :</i></p> <ul style="list-style-type: none"> - Lobbying at national level on the current restrictions placed on faculty hiring and the budget allocations of HEIs. - within the UoC guidelines for regular departmental reviews assessing teaching and research commitments (e.g. enabling newly appointed faculty to have a reduced teaching commitment for the first year of their appointment) <p><i>ACTIONS BY UoC Administration: Rectorate (lobbying); Department Heads & Committees.</i></p>
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<p>34. Complaints/ appeals</p>	
<p>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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>
<p>N.4009/11 (enables internal organization)</p>	<p><i>Institutional Provisions and observations: as for #3 Professional Responsibility</i></p>

<p>35. Participation in decision-making bodies</p>	
<p>Employers and/or funders of researchers 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>Relevant legislation (permitting or impeding the implementation of this principle)</p>	<p>Existing Institutional rules and/or practices <i>Observations and Actions Required</i></p>
<p>N.4009/11 (enables internal organization)</p>	<p><i>OBSERVATIONS: Internal rules together with C&P – representation at all levels for faculty researchers, staff and students in the current composition of the Departmental, Faculty, and University bodies, including the Senate.</i></p> <p><i>There is no formal provision for representation of researchers on short-term contracts/‘self-employed professionals’.</i></p> <p><i>Changes in representative arrangements along with changes in the governing structure of the University are foreseen in the new law on HEIs (N.4009/11). Pending implementation, no actions are required.</i></p>

IV. Training

General – NO LAWS/REGULATIONS IMPEDING THE IMPLEMENTATION OF THESE PRINCIPLES

36. 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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/11 (enables internal organization)	Addressed in the Code of Ethics and in (ELKE) contract clauses ss1,5,17. <i>OBSERVATIONS: Supervisory relationship is subject to Departmental codes (e.g. specifying the maximum number of PhD students a faculty member may supervise). Academic C&P considered in the main satisfactory. See also observations under #3 Professional Responsibility</i> <i>ACTIONS REQUIRED: Guidance notes for new entrant PhD candidates on the supervisory relationship</i>

37. 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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N.4009/11 (enables -internal organization)	Code of Ethics s15 on the obligations of PIs <i>OBSERVATIONS as for #36 (above)</i>

38. 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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
Legal constraints affecting use of public financing, but enabled by s5 of new law N4009/11.	<i>OBSERVATIONS: Various regulations and internal rules affect access to classic academic means of continuing professional development (including sabbaticals, conferences, workshops, etc) as well as EC training grants (e.g. Erasmus STA,STT) and the use of public (University) and grant funding for these purposes.</i>

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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
N4009/11 s5	<u><i>OBSERVATIONS</i></u> . Accessibility, take-up and effectiveness of existing training and career development opportunities are not systematically monitored or assessed. <u><i>ACTIONS REQUIRED</i></u> : Review monitoring and feedback procedures to promote equitable access and assess added value. <u><i>ACTIONS BY</i></u> UoC Administration, QA Committee, Careers Services.

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.	
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices <i>Observations and Actions Required</i>
	<u><i>OBSERVATIONS (1)</i></u> as for #36 Relation with supervisors <u><i>OBSERVATIONS (2)</i></u> ensuring quality in doctoral training requires some means not only of highlighting particular achievements, but also being able to pinpoint possible issues/incidents where the supervisory relationship is not working as it should. <u><i>ACTIONS REQUIRED</i></u> : <ul style="list-style-type: none"> - follow Innovation Union ERA supporting measures on 'Quality in Doctoral Training' so as to be able to assess C&P within the UoC against recommended best practices; - use internal QA procedures to highlight particular achievements and also to pinpoint possible problems (e.g. as indicated by completion rates, average duration). <u><i>ACTION BY</i></u> UoC Administration: Departmental QA committees.