



**POLITECNICO  
DI TORINO**

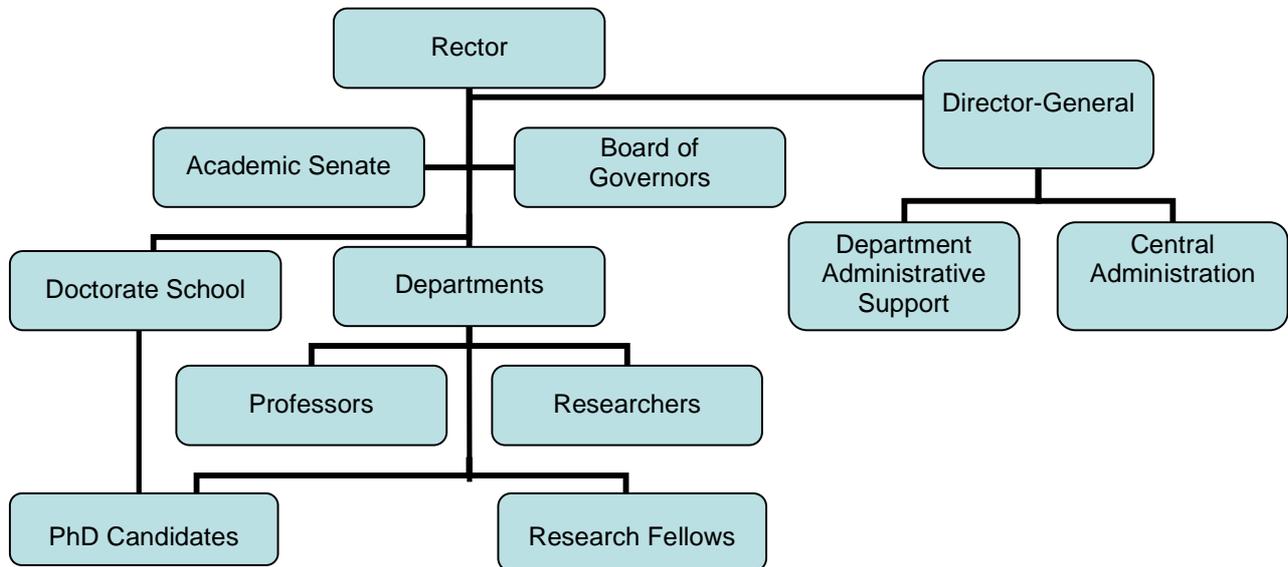
**GAP ANALYSIS  
POLITECNICO DI TORINO**

## INDEX

<b>UNIVERSITY BODIES AND GLOSSARY</b>	<b>3</b>
<b>I. INTRODUCTION</b>	<b>8</b>
I.1 Brief presentation of Politecnico di Torino	8
I.2 Mission	8
I.3 Methodology and Institutional commitment	9
I.4 Legal framework: National and University legislation	12
<b>II. GAP ANALYSIS</b>	<b>16</b>
<b>III. SUMMARY DIAGRAM OF THE LEVEL OF IMPLEMENTATION OF THE PRINCIPLES</b>	<b>62</b>

## UNIVERSITY BODIES AND GLOSSARY

### ❖ UNIVERSITY ORGANISATION CHART



### ❖ UNIVERSITY BODIES

#### ***Governing bodies of Politecnico di Torino: the Rector, the Academic Senate and the Board of Governors***

##### **The Rector:**

- represents the University;
- holds office for a single mandate of six years, which is not renewable;
- his/her election involves all members of the University (professors, researchers, technical and administrative staff and student representatives) with a weighted voting system;
- chairs the Academic Senate and the Board of Governors;
- appoints a Deputy-Rector and up to a maximum of six Vice-Rectors. In our University have been appointed as follows: (1) a Vice-Rector for Teaching, (2) a Vice-Rector for Research and Technology Transfer (delegate for International Affairs), (3) a Vice-Rector for Quality, (4) a Vice-Rector for Logistics and Organisation.

##### **The Academic Senate:**

- consists of a total of 28 members who represent the University community as follows: the Rector, 18 permanent professors -including nine representatives of permanent professors and researchers and nine Heads of Departments-, two representatives of technical and administrative staff, a representative of temporary researchers, a representative of research fellows who holds a PhD qualification and five students representatives, including one elected by PhD candidates;
- defines medium and long term strategy for teaching and research;
- coordinates and connects the teaching and research facilities;
- approves the Statute, the General Regulations of the University, the Code of Ethics and the University regulations relating to teaching and research.

**The Board of Governors:**

- is in charge for planning, management and resource allocation;
- assigns the budgetary financial resources to departments, which are the fundamental structures for the development of the institutional activities within the framework of training and educational activities, scientific research, technology transfer and services to the territory;
- consists of 11 members: the Rector, 5 members belonging to the University personnel, 3 members external to the University with proven expertise in the management field or a high-level professional experience, and 2 students representatives.

***Management bodies: the Director-General*****Director-General:**

- on the basis of guidelines provided by the Board of Governors, is responsible for the overall management and organisation of services, facilities and technical and administrative staff of the University, with the exception of tasks and responsibilities relating to research and teaching activities.

***Evaluation bodies: Evaluation Board and the Board of Auditors*****The Evaluation Board:**

- has the function of evaluating research and teaching activities, the right to education and administrative management;
- consists of five members, including a representative elected by students. At least three members come from outside the University and at least two of them must be expert in the field of evaluation.

**Board of Auditors:**

- ensures the regularity of the administrative and accounting management;
- consists of three members, all external, two of them must be enrolled in the Register of Accounting Auditors.

***Other bodies: the Equality Committee for equal opportunities, non-discrimination and anti-harassment; the Academic Staff Disciplinary Board; the University Student Ombudsman.***

## ❖ INTERNAL ORGANIZATION

### **Departments:**

- constitute the main organizational units for carrying out the institutional activities within the scope of teaching, scientific research, technology transfer and services to the community;
- are centres of responsibility, they are autonomous in the management of their budget and draft their financial statements;
- all professors and researchers pertain to a Department and they can be granted an option to change Department according to the General Regulations of the University. Research fellows and External professors also pertain to a Department, where their research and teaching are relevant.

### **Doctorate School:**

- promotes, organises and manages activities related to research doctorates and post-graduate specialization;
- its operation is defined by special regulations;
- the Council, the Director and the Executive Committee are bodies of the Doctorate School.

## ❖ GLOSSARY: CATEGORIES OF INTERNAL STAKEHOLDERS IN RESEARCH

A) **PhD candidate:** the doctorate programme is a course which requires an exclusive full-time commitment. It provides skills to perform research activity within highly qualified public and private organisations and is also qualifying in the practice of liberal professions, thus contributing to the creation of the European Higher Education Area and the European Research Area. The Bologna process and subsequent laws (*DM 509/99* and *DM 270/04*) define doctorates as third-level of higher education studies; for instance, the PhD candidate is defined as a student and not as a researcher, nor as an early-stage researcher, following the recommendations of the European Community. This different status generates issues in the relationship with potential European partners and in the application for international projects. The Ministry of Education, University and Research (MIUR) recently issued a new Ministerial Decree concerning doctorate programmes (*DM 94 of 08/02/2013*), which the Politecnico di Torino is now adopting.

B) **Research fellow:** Politecnico di Torino, in accordance with Art. 22 of *L. 240 of 30/12/2010*, within the available budget, must guarantee, under its own provisions (*Regolamento per l'attribuzione di assegni per lo svolgimento di attività di ricerca*), the adoption of objectives, transparent methods of comparison, the publicity of deeds in order to award research fellowships. Those are aimed at responding to the needs of the Departments, Centers and other structures of the Politecnico, or at creating specific research programs relevant for Politecnico di Torino, thus expanding the range of opportunities to access research activities, especially among young people. Research fellowships can be assigned to scholars who own an appropriate professional and scientific CV in the frame of research activity, excluding permanent staff of Politecnico di Torino, of other Universities and of other research bodies, as indicated in Art. 22 of *L. 240/2010*.

Research fellowships, according to the General Regulation of the University, include the following categories, characterized by different entry requirements and amount:

- a) "professionalizing" research fellowships: designed for Bachelor or Master's degree holders, who also have a suitable professional and scientific CV, or for degrees ruled by older regulations (previous to *DM 509/1999*);
- b) "post-doc" research fellowships: designed for holders of a minimum three-year duration PhD;
- c) "senior" research fellowships: designed for holders of a minimum three-year duration PhD; require a two-year professional and scientific experience, demonstrated by scientific publications.

The whole duration of the partnerships (which can also involve external bodies), determined by Art. 22 of *L. 240/2010* and including possible renewals, cannot exceed four years, excluding the period in which the grant is awarded in parallel with the attendance of the PhD programme.

A share of research fellowships can be reserved for Italian and international scholars in possession of a PhD, or an equivalent qualification abroad, or for international scholars who achieved a PhD in Italy.

The research fellow's co-operation has a continuous and not merely occasional nature, is temporarily defined and coordinated within the relevant whole programme of activities.

C) **Permanent researchers:** the *Riforma Moratti (L. 230/2005)* with effect in 2013, cancelled the "Permanent researcher" position. This deadline has been advanced by *Legge Gelmini (L. 240/2010)*, which established that no more "Permanent researcher" positions could be published (Art. 29, par. 1). This law, according to Art. 24, established the new "Temporary researcher" figure, who, with regards to research and teaching, has the same tasks as current permanent researchers. The differences concern commitment, costs and selection process.

D) **Temporary Researchers:** this new category was introduced by *L. 240/2010*, Art. 24. These are individual contracts for fixed-term employment, which Universities may stipulate in order to carry

out research, teaching, supplementary teaching and student services, and which belong to three-year programming. Recipients must be chosen through public selection procedures and there are two types of different contracts:

- Type a) contracts correspond to "post-doc" positions, which cannot be turned into permanent positions (they are not, i.e., under the current terminology, "tenure track"). These are three-year duration contracts, which can be renewed only once for a duration of two years, following positive evaluation of teaching and research activities carried out;
- Type b) contracts correspond to "tenure track" positions, i.e., positions likely to be turned into permanent position (so-called "Second-segment" Professor). Type b) contracts can only be stipulated with those who had at least a three-year Type a) contract or Research fellowship or Post-doc fellowship or similar positions abroad.

E) **Second-segment Professor (*Professore Associato*)**: with *L. 240/2010*, the position of *Professore Associato* becomes the first academic permanent position.

F) **First-segment Professor (*Professore Ordinario*)**.

The professors and university researchers' work is ruled by current laws, except for temporary researchers' work, which is ruled by private law individual employment contracts.

The recruitment of professors and researchers is established by legal procedures:

- Until public competitions published in 2008: *L. 40 of 03/07/1998 and DPR 117 of 23/03/2000*;
- Currently: *L. 240 of 30/12/2010* and consequent decrees.

These rules, which include general, previous and public criteria, according to which the comparative evaluation must be carried out, have delegated to universities the responsibility in defining their own regulations in the selection procedures of Professors.

The law establishes how to access First and Second-segment Professors' positions:

- scientific qualification (*abilitazione scientifica*) is managed at national level and must be carried out in the frame of DPR 222/11 and on the basis of criteria and parameters defined by DM 76/12. The scientific qualification is not a valid as a title;
- comparative evaluations are managed at local level by each university and only candidates that have the scientific qualification can participate.

G) **Professor Emeritus (*Professore Emerito*)**: the Professor Emeritus qualification can only be awarded by the *Ministry of Education, University and Research (MIUR)* to First-segment professors who have carried out continuous activities for more than 20 years. It must be proposed by the Council of the Department of the professor and by the Rector of the University. They must have brought prestige to the University through a particularly high scientific level activity, certified by the value, collocation and amount of scientific production as well as by prestigious or international awards or by original architectural or engineering works of noteworthy relevance.

H) **Senior professors**: retired First-Segment professors who, by virtue of their high qualification, can continue to participate in the life of the University as senior supervisors, for no more than two years after retirement.

## I. INTRODUCTION

### I.1 Brief presentation of Politecnico di Torino

Politecnico di Torino (POLITO) was founded in 1906 through the merger of the Royal Museum of Industry, founded in 1862, inspired by the English and French models, and the Royal School of Engineering, founded in 1859. It has a history similar to those of the Polytechnic Institutes of Zurich and Lausanne, which have recently celebrated their 150 anniversaries, the Delft University of Technology, the Institut National Polytechnique de Grenoble, the Imperial College London, the Munich Polytechnic School (now Technische Universität) and the Universitat Politècnica de Catalunya, and also one of the oldest, the Ecole Polytechnique in Paris, founded in 1794.

Politecnico di Torino is a public technical University, a research institute, focused on cultural macro-areas of engineering and architecture. The wide variety of programs are provided at the Bachelor, Master and PhD levels as well as for life-long learning.

The enhancement in areas of excellence, investment in frontier research topics, and also the continuous support of curiosity-driven research allow a mix of basic and applied research, together with an intense knowledge-transfer activity both nationally and internationally. Each year about 800 contracts are signed with companies, public and private institutions, and local organisations. One of the most important results in the complex interaction between academia and the industrial system is the Business Research Center within the Politecnico's Cittadella, a privileged location for exchanging and sharing academic and industrial knowledge by sharing laboratories and research facilities. For this purpose, the University periodically acquires statements of interest in becoming a partner from Italian and international companies/entities that propose projects in research, education and training to be developed in collaboration with Politecnico within the framework of the Business Research Center.

Politecnico di Torino has approximately 840 teachers and researchers and 830 administrative and technical staff. There are about 32,000 students, of whom about 16% are international students coming from approximately 120 countries.

Since 1999 a Doctorate School was established to manage the doctorate programmes offered by Politecnico di Torino. PhD candidates play a very important role in the research at POLITO, where they are about 780 in total, nearly 2.5% of the entire student population, among the highest rates in the country.

### I.2 Mission

The Mission of Politecnico di Torino is to create a high quality academic environment where researchers and students from all over the world can study, work and collaborate on innovative and challenging projects.

The University adopts the guidelines of the European Commission's Recommendation on the “**European Charter for Researchers and the Code of Conduct for their Recruitment**”, which has already been included in the new Statute as well as in the regulations for the recruitment of teachers and researchers.

**The most strategic investment** to achieve the ambitious goals that the University has set for itself for the immediate future regards **human capital**, on which stands its reputation, the quality of teaching and research and its competitiveness. This in spite of a national context where generational changeover is difficult (a stringent constraint on turn-over has been set for 2012-2014) and that does not provide sufficient resources to incorporate young researchers into the system in significant numbers. Another short to mid term objective of the University is to **attract highly qualified researchers from universities and international research centres in specific strategic areas**,

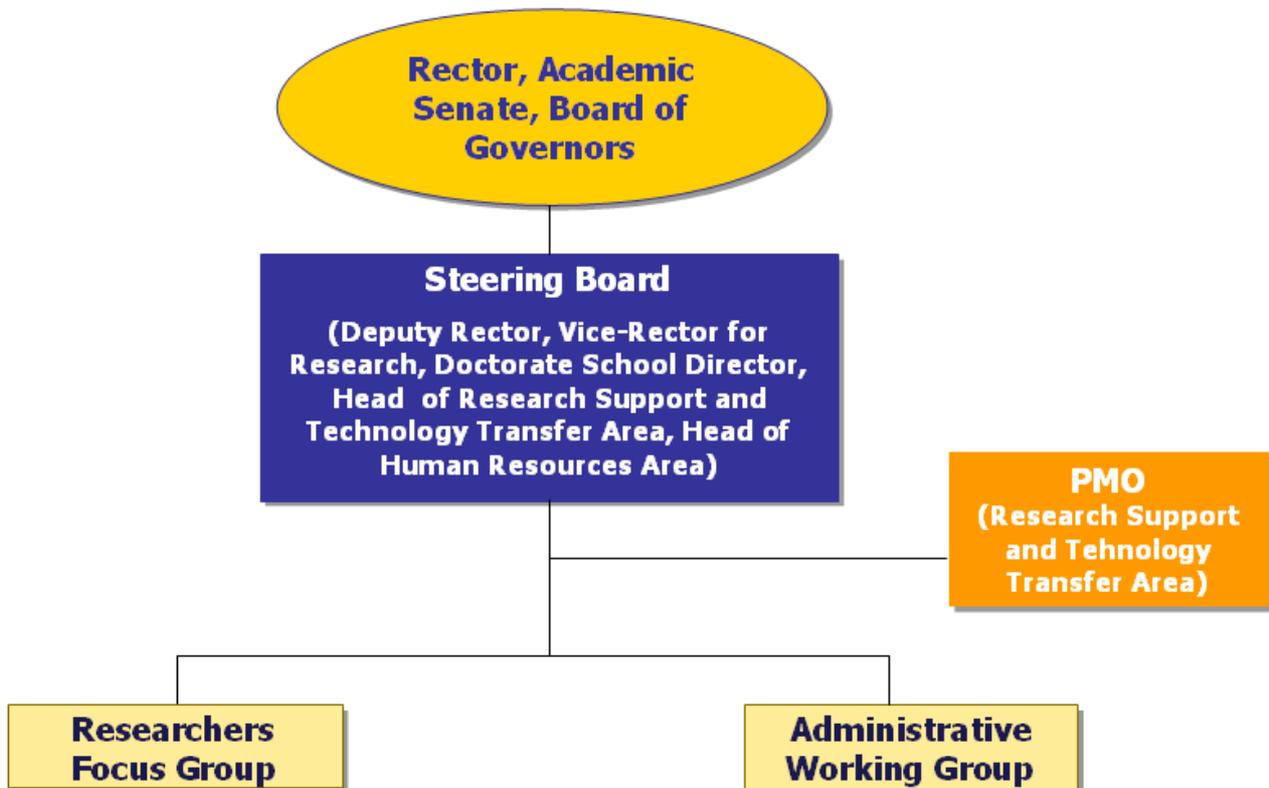
**providing them with adequate infrastructure and staffing.** In addition, the University pursues the following objectives: lowering the average age of the academic staff; career acceleration for deserving young people; the provision of incentives for high-level research by reserving some research positions in those scientific fields for brilliant young winners of international grants; the promotion of actions to create research positions financed by external companies and organisations.

These goals are particularly ambitious, given the context within which the European system is operating. The Charter is thus a highly necessary condition for their pursuit.

The University is very active in attracting contracts with industrial and private partners, and thus sees the application of the principles of the Charter as an effective instrument to harmonize better its ability to acquire external funding while safeguarding its independence and freedom and also the career opportunities of its researchers.

### I.3 Methodology and Institutional commitment

The following internal organisation structure has been conceived, in order to guarantee support from institutional leadership, the involvement of all stakeholders (research and administrative staff) and a smooth and efficient coordination of activities:



- **Gap Analysis**

After joining the Institutional Human Resources Strategy Group, the upper management of Politecnico di Torino carried out and coordinated some activities, which involved **representatives of all categories of research and administrative staff**. This work consisted in a detailed analysis of the current implementation of the principles of the Charter as well of the external constraints imposed by national legislation. Gaps in implementation and in information were also analysed and narrowed for the purpose of subsequent adaptation to the Charter principles.

As far as the activities of **the administrative staff are concerned**, we list below the involved Areas and Services which contributed to the analysis:

- Research Support and Technology Transfer Area (*SaRTT*), whose main purposes are to increase the participation in EU, national and regional funding programmes; to promote and manage relationships with industry and external institutions; to increase technology transfer. During the process, *SaRTT* acted as Project Management Office and provided support to carry out the Gap Analysis and to define the Action Plan. It also provided specific contributions related to commercial agreements, intellectual property, patents and licences, and external funding opportunities for research;
- Human Resources, Organization, Salary and Social Security Treatments Area (*RUO*), which coordinates the procedures for the recruitment, administrative management, human resources development and economic and social security matters for all staff of the University. *RUO* provided contributions regarding national legislation and University regulations relating to the recruitment and selection of researchers and initiatives for the welfare and wellbeing of the organisation;
- International Affairs Area (*INTE*), which is in charge of the development of the University international relations and the international mobility of students and University staff. *INTE* provided contribution related to the activities of supporting and promoting incoming and outgoing mobility of research staff;
- Libraries and Museum Area (*BIBLIOM*), which coordinates the collection of books and documents, structured in Central University Libraries, Area Libraries and the Library and Documentary Repositories of the University, and manages bibliographies in electronic form. *BIBLIOM* contributed to the analysis of topics connected with copyright and the promotion of Open Access for academic scientific production;
- Estates Facilities and Logistics Area (*EDILOG*), in charge of planning and building management, of the maintenance of the University Offices and of managing the services necessary for the functioning of the University. *EDILOG* contributed to the analysis of the workplaces;
- Student Affairs Area (*GESD*), in charge of the procedures concerning students' career, of the Politecnico's academic catalogues, of all the initiatives on third-level of higher education studies and of managing the incoming and outgoing orientation activities, as well as the activities related to the Doctorate School, Master courses and Lifelong Learning. *GESD* provided contributions on teaching, training at third-level and University initiatives aimed at integrating graduates into the labour market;
- Information Technology Area (*IT*), in charge of electronic, multimedia and computer services of Politecnico in the fields of teaching and training, research and administration and of managing the provision of services and facilities for the University as well as design, support and consulting, development services and ICT projects. *IT* provided contributions concerning the computer systems for the safety of equipment, applications and databases of Politecnico and for the detection and prevention of cyber attacks;
- Communication, Events & External Relations Service (*CORE*), which manages the image of Politecnico, institutional events and the University internal and external communications. *CORE* contributed to the communication activities concerning the University internal gap analysis for the implementation of the Charter and Code through the Newsletter and the web site. It provided information on dissemination and promotion of research results to the general public;
- Health and Safety Service (*PREP*), in charge of the identification of risk factors, risk evaluation and of identifying measures for the safety and health of work environment. It provided contributions regarding aspects of safety at work;
- Strategic and Institutional Support Service (*SSSI*), which is charge of the analysis of the position of Politecnico in the context of the University system to provide support to the activities of the governing bodies. *SSSI* provided contributions related to the evaluation

of research activities, the programming and data analysis of Politecnico and the university context.

**With regard to research staff, a focus group was set up whose members were identified on the basis of an expression of interest addressed to all professors, researchers, research fellows and PhD candidates.** They were selected on the basis of the following criteria: 1) representation of the different scientific cultures, 2) representation of all categories of staff conducting research and 3) gender balance. As representatives of First-segment professors, the Deputy Rector was chosen to represent the governing bodies and the Director of the Doctorate School was chosen in order to recognize the driving role of the PhD candidates in generating innovative and advanced research at our University.

Among the 22 nominations received, 10 members were selected as listed below with their respective roles:

	<b>Name</b>	<b>Surname</b>	<b>Department</b>
<b>Institutional representatives and First-segment Professors</b>	Laura	Montanaro	Deputy Rector
	Flavio	Canavero	Director of Doctorate School (Electronics Department)
<b>Second-segment Professors</b>	Milena	Salvo	Applied Science and Technology Department
	Rajandrea	Sethi	Department of Environmental Engineering, Land Use and Infrastructure
<b>Researchers</b>	Monica	Naretto	Department of Architecture and Design
	Giuliana	Mattiazzo	Department of Mechanical and Aerospace Engineering
<b>Research Fellows</b>	Marco	Simonetti	Energy Department
	Michela	Barosio	Interuniversity Department of Science, Planning, and Land Policy
<b>PhD Candidates</b>	Daniele	Dalmasso	Department of Structural, Geotechnical and Construction Engineering
	Alessandro	Sassone	Automatic Data Processing Department

The gap analysis was conducted by working in two parallel groups. One includes administrative staff representatives relating to the areas and services involved. Its aim is to describe the practices already underway using clear University performance indicators. The other one (*researchers focus group*) includes the research staff as listed in the table and aims to make a qualitative evaluation of the researchers' perception of the implementation of the Charter.

Beyond these two groups, the following were also involved:

- the Academic Senate, the governing body that brings together the elected representatives of all categories of researchers: PhD candidates, research fellows, permanent and temporary researchers, First and Second-segment professors, in addition to student representatives and the managers of the main bodies both departmental (Heads of Department) and central (Vice-Rectors);
- the Rector's Representative for Equal Opportunity;
- the Vice Rectors for Logistics and Organisation, for Quality, for Teaching, for Research and Technology Transfer and the Rector's Delegate for Internationalization;
- the evaluation bodies.

An internal communication strategy was planned for the internal governing bodies and all staff to inform on the progress of this process. This involved:

- a periodic progress report to the Academic Senate for discussion and improvement;
- a summary of activities, available to all the University (and, for the official documentation, for the general public) through a newsletter and a web page created ad hoc and constantly updated.

The gap analysis was conducted using the template provided by the European Commission (<http://ec.europa.eu/euraxess/rights>), thus ensuring a point-by-point analysis for each principle.

The two work groups identified and divided the principles into 3 categories:

- principles already adopted by the University, to which it was possible to adjust;
- principles not adopted because they conflict with national legislation, with which therefore the University fails to fully comply. However, where possible, mitigation mechanisms will operate to address the gap between the national legislation and the terms of the European Charter;
- principles that have not yet been adopted, or only partially, for which a significant implementation action is provided.

The gap analysis is presented below with a point-by-point description and commentary of the principle. A summary diagram at the end of the document summarizes the principles by dividing them into the three categories mentioned above.

This final analysis summary constitutes the work tool for drafting the Action Plan.

#### **I.4 Legal framework: National and University legislation**

An accurate analysis of the principles of the Charter and of their implementation at our University must include the reference to obstacles resulting from the national legislation. Therefore in this chapter we have summarized the principal laws and provisions which may influence positively or negatively the implementation of the Charter at our University.

Moreover, in order to prove the great effort made so far by our University to implement as much as possible the principles of the Charter, this chapter will include references of documents (Statute, Regulations, Notices, etc.) which assert the adherence of the University to the Charter, though all the national constraints have been respected.

To this end, it is necessary to point out that the gap analysis has been carried out in a period of **significant changes in the Italian University System**, characterized by the following elements:

- a further reform of the University (*Legge 240/2010*) which profoundly changed the system for recruitment of researchers, as well as the model of governance of universities
- a very restrictive legislation, which poses strict limitations on staff turnover and which may significantly affect the placement of young researchers in the coming years;
- the introduction of an independent agency for the evaluation of University Higher Education and Research (*ANVUR*), which imposes additional external constraints on strategies for researchers recruitment;
- a significant reduction in the *Fondo di Finanziamento Ordinario*, a financing fund allocated to the University System by the Italian Government.

After having adhered to the innovations introduced by the reform of the university system, our University is now defining its role and mission in the national and international context and this process will lead to the new Strategic Plan. Therefore Politecnico joined the HRSG in the best moment

ever for defining the strategy and the actions to implement the Charter and the Code, in accordance with the institutional objectives.

**a) National legislation:**

- *Costituzione della Repubblica Italiana*, namely the Constitution of the Italian Republic (in relation to research freedom);
- *DPR 382/80 Riordinamento della docenza universitaria, relativa fascia di formazione nonché sperimentazione organizzativa e didattica*, Presidential Decree concerning the reorganisation of teaching in Higher Education and the organisational and teaching testing (in relation to research freedom);
- *L. 168/89 Istituzione del Ministero dell'Università e della Ricerca Scientifica e Tecnologica*, Law concerning the institution of the Ministry of University and Scientific and Technological Research (in relation to constraints on the autonomy of the Italian universities and to research freedom);
- *L. 240/2010 Norme in materia di organizzazione delle università, di personale accademico e reclutamento, nonché delega al Governo per incentivare la qualità e l'efficienza del sistema universitario*, Law concerning the rules for the organisation of universities, academic personnel and recruitment, for enhancing the quality and the efficiency of the University System (in relation to research freedom, the ethical principles that govern it and the constraints imposed on the recruitment for researchers);
- *DM 76/2012 Regolamento recante criteri e parametri per la valutazione dei candidati ai fini dell'attribuzione dell'abilitazione scientifica nazionale per l'accesso alla prima e alla seconda fascia dei professori universitari, nonché le modalità di accertamento della qualificazione dei Commissari*, namely Ministerial Decree concerning the criteria for the evaluation of candidates for the purpose of allocating national scientific qualification for access to the role of First and Second-segments University professors, as well as the evaluation of the qualifications of Commissioners;
- *L. 633/41 Legge a protezione del diritto d'autore e di altri diritti connessi al suo esercizio*, Law on copyright (in relation to copyright and other related rights);
- *D.Lgs. 30/2005 Codice della proprietà industriale*, Legislative Decree ruling a code of industrial property;
- *DM 28/11/2000 Codice di comportamento dei dipendenti delle pubbliche amministrazioni*, decree concerning a code of behaviour for employees in public administrations;
- *Dichiarazione congiunta dei Ministri Europei dell'Istruzione Superiore intervenuti al Convegno di Bologna il 19 Giugno 1999 (processo di Bologna)*, *DM 509/99 Regolamento recante norme concernenti l'autonomia didattica degli atenei* and *DM 270/04*, namely a Joint Declaration of the European Ministers of Higher Education convened in Bologna on the 19th of June 1999 (Bologna Process), the subsequent Ministerial Decree on the standard criteria concerning the autonomy of Italian universities and a Ministerial Decree concerning the definition of the PhD student figure (in relation to the definition of PhD candidate);
- *D.Lgs. n.81/08 e s.m.i. Testo unico in materia di salute e sicurezza nei luoghi di lavoro*, Legislative Decree concerning health and safety in the workplace;
- *Decreto Interministeriale 363/1998 "Regolamento recante norme per l'individuazione delle particolari esigenze delle Università e degli Istituti di istruzione universitaria ai fini delle norme contenute nel Decreto Legislativo 19 settembre 1994, n. 626, e s.m.i."*, namely, an Interministerial Decree concerning a regulation establishing standard criteria for special needs of Italian universities and higher education establishments related to rules contained in the Legislative Decree 626/1994 e s.m.i." (In relation to health and safety in the workplace);

- *D. Lgs. 196/2003 Codice in materia di protezione dei dati personali*, Legislative Decree ruling a code on personal data protection (in relation to rules concerning processing data);
- *D.Lgs 82/2005 (e successivi aggiornamenti), in particolare: Capo V (Dati delle pubbliche amministrazioni e servizi in rete), Sezione I (Dati delle pubbliche amministrazioni) e articolo 50 (Disponibilità dei dati delle pubbliche amministrazioni)*, laws on Public Administration Data and their availability and Network Services
- *Legge 210/98 e DM 224/99 Regolamento in materia di dottorato di ricerca* (in relazione alle modalità di accesso al dottorato e alla disseminazione delle tesi di dottorato), Law and Ministerial Decree concerning Doctorate (related to access to Doctorate and dissemination of doctoral thesis);
- *DM 94/2013 "Regolamento recante modalità di accreditamento delle sedi e dei corsi di dottorato e criteri per la istituzione dei corsi di dottorato da parte degli enti accreditati"*, Ministerial Decree on the rules for the accreditation of the doctoral courses and on the criteria for the establishment of doctoral courses from accredited institutions" (in relation to the definition of the PhD candidate figure);
- *D.Lgs. 165/01 Testo unico sul pubblico impiego* (in relazione alle procedure di reclutamento nelle pubbliche amministrazioni nel rispetto del principio delle pari opportunità tra lavoratrici e lavoratori), Consolidated Law on public sector employment (in relation to recruitment procedures in public administrations in accordance with the principle of equal opportunity between workers);
- *L. 183/2010 Deleghe al Governo in materia di lavori usuranti, di riorganizzazione di enti, di congedi, aspettative e permessi, di ammortizzatori sociali, di servizi per l'impiego, di incentivi all'occupazione, di apprendistato, di occupazione femminile, nonché misure contro il lavoro sommerso e disposizioni in tema di lavoro pubblico e di controversie di lavoro*, namely Law on Government mandate concerning the demand for jobs, government reorganisation, furloughs, leaves and permits, social safety nets, employment services, employment incentives, apprenticeships, employment of women, as well as measures to combat undeclared work and provisions of public work and labour disputes (in particular Article 21 which provides for the constitution in public administration of the "Unified Committee for Equal Opportunity, the enhancement of welfare for workers and preventing discrimination", inserted in the Statute of Politecnico di Torino);
- *D.M. 276/2011 del Ministro dell'Istruzione, dell'Università e della Ricerca su Identificazione dei programmi di ricerca di alta qualificazione, finanziati dall'Unione europea o dal MIUR di cui all'Art. 29, comma 7 della Legge 240/2010*, namely Ministerial Decree concerning the identification of high qualified research programmes, funded by the EU or by the Ministry of Education, University and Research (in relation to special recruitment procedures of grants holders).

#### **b) University Regulations:**

- *Statuto del Politecnico di Torino - Emanato con D.R 418 del 19/11/2011*, namely Statute of Politecnico di Torino– Issued with Rect. Decree 418 of 19.11.2011 (in relation to the freedom of research, IPR, dissemination of results, non-discrimination, evaluation);
- *Codice etico della comunità universitaria - Emanato con D.R. 28 del 15/02/2012*, namely Code of Ethics of the University Community - Issued with Rect. Decree 28 dated 15.02.2012;
- *Regolamento del Politecnico di Torino relativo alla proprietà industriale e intellettuale – Emanato con D.R. 299 del 22.07.2007*, namely Regulation of Politecnico di Torino for Industrial and Intellectual Property – Issued with Rect. Decree 299 dated 22.07.2007;
- *Regolamento per la costituzione di "spin off del Politecnico di Torino" - Emanato con D.R. 121 del 19.5.2009 e modificato con D.R. 67 del 30.3.2012*, namely Regulation for the establishment

- of "Spin-offs of Politecnico di Torino" - Issued by Rect. Decree 121 dated 19.05.2009 and modified with Rect. Decree 67 dated 30.03.2012 (in relation to the exploitation of research results);
- *Regolamento convenzioni e contratti per attività in collaborazione o per conto terzi emanato con D.R. 379 del 28.9.2007*, namely Regulation agreements and research contract issued by Rect. Decree 379 dated 28.09.2007 (in relation to transparency and intellectual property of the results);
  - *Regolamento per la partecipazione a programmi di finanziamento (dell'Unione Europea, dei ministeri, degli enti territoriali, delle fondazioni e di altri enti pubblici e privati) - Emanato con D.R. 832 del 22.12.2005*, namely Regulation for participation in financing programmes (European Union, Ministries, regional authorities, foundations and other public and private entities) - Issued with Rect. Decree 832 dated 22.12.2005;
  - *Regolamento per l'attribuzione di assegni per lo svolgimento di attività di ricerca - Emanato con D.R. 111 del 14.4.2011*, namely Regulation for the allocation of grants for the development of research activities - Issued with Rect. Decree 111 dated 14.04.2011;
  - *Regolamento di Ateneo per il reclutamento dei Ricercatori a Tempo Determinato ai sensi dell'art. 24 della legge n. 240/10 - Emanato con D.R. 136 dell'8 giugno 2012, modificato con DD.RR. 155 del 9 luglio 2012, 221 del 4 giugno 2013 e 278 del 25 luglio 2013*, namely Politecnico Regulation for the recruitment of Temporary researchers in accordance with Art. 24 of Law 240/10 - Issued with Rect. Decree 136 dated 8 June 2012, amended with Rect. Decrees 155 dated 9 July 2012, 221 dated 4 June 2013 and 278 dated 25 July 2013;
  - *Regolamento di Ateneo per la disciplina della chiamata di Professori di Prima e Seconda fascia ai sensi dell'art. 18 della Legge n. 240/10 - Emanato con D.R. 177 del 31 luglio 2012*, namely University Regulation for ruling the call for Professors of First and Second-segments in accordance with the article 18 of Law 240/10 - Issued with Rect. Decree 177 dated 31 July 2012;
  - *Regolamento di Ateneo sull'attività didattica dei ricercatori di ruolo - Emanato con D.R. 135 dell'8 giugno 2012*, namely University Regulation on the teaching activity of permanent researchers-Issued with Rect. Decree 135 dated 8 June 2012;
  - *Regolamento in materia di dottorato di ricerca - Emanato con DR 253 del 20 luglio 2006*, namely Regulation on PhD matters - Issued with Rect. Decree 253 dated 20 July 2006;
  - *Regolamento di amministrazione, finanza e contabilità - Emanato con Decreto Rettorale 218 del 3 Giugno 2013*, namely Regulation for administration, finance and accounting – Issued with Rect. Decree 218 dated 3 June 2013;
  - *Regolamento Generale di Ateneo - Emanato con Decreto Rettorale 261 del 15 novembre 2012*, namely the General Regulation of the University - Issued with Rect. Decree 261 dated 15 November 2012;
  - *Regolamento per la sicurezza e la salute sul luogo di lavoro - Emanato con Decreto Rettorale 93 del 17.03.2010*, namely Regulation for safety and health at the workplace - Issued with the Rect. Decree 93 dated 17.03.2010;
  - *Regolamento di attuazione del codice in materia di protezione dei dati personali - Emanato con D.R. 72 del 2.03.2006*, namely Regulation for the implementation of the code on personal data protection - Issued with Rect. Decree 72 dated 02.03.2006;
  - *Regolamento didattico di Ateneo - Emanato con D.R 230 dell'11.10.2012*, namely University Teaching Regulation - Issued with Rect. Decree 230 dated 11.10.2012;
  - *Bandi di concorso per il reclutamento dei Ricercatori a Tempo Determinato, dei Professori di I e II fascia degli Assegnisti di ricerca*, namely Notices of competition for the recruitment of permanent researchers, First and Second-segment Professors and Research fellows.

## **II. GAP ANALYSIS**

An analysis of the implementation level of the Charter and the Code achieved by our University is presented below. Such analysis has been carried out by examining each principle and is composed of the following contributions:

- ❖ Regulatory constraints and opportunities
- ❖ University Policy on the subject and current practices
- ❖ The perception of the Charter through the analysis of the focus group
- ❖ Level of implementation of the principles of the Charter

## I. Ethical and professional aspects

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### 1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The principle of research freedom is enshrined in the Constitution of the Italian Republic, where the Article 33 states "Art and science are free, as well as teaching them is free". The principle is restated in the Italian National Legislation for Universities and Higher Education, which is cited in chapter 1.4- *Legal framework: National and University legislation*.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute of Politecnico di Torino and the Code of Ethics of the University Community ensure respect for this principle for all the research staff.

Even in the case of temporary staff, creativity and freedom to propose their own research topics are valued. One of the selection procedures established for University research fellows is based on the submission of research projects by candidates, as provided under Art. 22 of Law 240/2010.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The perception is that the University fully guarantees the research freedom, although it should be noted that fund raising can represent an external constraint on total freedom, especially in some scientific and cultural fields.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

As for permanent staff, the principle is implemented and is perceived as such, although in some areas carrying out basic and frontier research is conditioned by the difficulty of raising funds.

For temporary staff, there are constraints which are determined by the different features of the contracts, in particular the impossibility of being holder of research funds.

### 2. Ethical principles

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

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 binds universities to adopt a Code of Ethics.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

In February 2012 Politecnico di Torino together with Università degli Studi di Torino and Università degli Studi del Piemonte Orientale adopted the Code of Ethics of the Piedmont University Community. In recent years a voluntary participation in training courses concerning "Ethics for researchers" has been proposed to PhD candidates.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Among staff there is limited awareness of the adoption of a Code of Ethics by our University.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented but is not perceived as adequate due to communication problems.

### **3. 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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

National legislation provides a framework for preventing and penalising counterfeiting (plagiarism).

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Code of Ethics requires members of the academic community not to improperly ascribe to themselves "ideas, discoveries, research results of others, both individual and collective – including studies carried out by students – and their use for personal purposes, before they are made official".

The University regulation on intellectual and industrial property establishes that, if the invention is achieved through the contribution of several inventors, all the inventors are recognized as co-inventors with the subsequent attribution to all of the resulting rights according to the inventive contribution they declare or, in the absence of a declaration, presumably in equal proportions.

The moral right to be recognized as authors is always guaranteed to all researchers; in case of patented inventions, they are also entitled to not less than 50% of any proceeds or of the exploitation fees of the invention (in the case of free research), or a fair award (in case of funded research or a temporary researcher (e.g., Research Fellows)).

The administrative offices have underlined that there are critical issues regarding the protection of non-published works: pre-print articles, doctoral theses, contents uploaded onto websites (including blogs and wikis), and scientific data.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

There is limited awareness of the contents of the Code of Ethics safeguarding the rights of researchers.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been basically implemented but some lack of communication causes a limited perception of the values safeguarded by the Code of Ethics.

The University does not yet have sufficiently effective tools for the protection of unpublished work.

#### **4. 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.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute, Regulations and decisions of the governing bodies are accessible to all staff through the intranet section of the website. The Academic Senate includes elected representatives of the whole University community, who act as spokespersons for claims of all the different categories of personnel. In addition, all staff is periodically kept up-to-date and consulted on governing policies and on the strategic objectives of the institution (for example through *Conferenza di Ateneo* or reports of the meetings of the governing bodies sent to all staff).

The organisation is directed at ensuring effective and timely support by the administrative structure, also concerning periodic and final reporting of projects. A specific regulation (*“Regolamento per la partecipazione a programmi di finanziamento (dell’Unione Europea, dei ministeri, degli enti territoriali, delle fondazioni e di altri enti pubblici e privati)”*) contains the procedures for participation in programmes financed by external bodies.

As regards the temporary staff, the Research Fellowships Regulation requires that the research fellows annually submit a detailed written report on their research, which is evaluated by the Scientific Responsible.

The PhD candidate works under the supervision of a professor (tutor), who reports regularly on the progress of the research. In addition, each candidate must report twice a year to the Academic Board on their own PhD programme in order to gain admission to the following year or to the final dissertation.

In recent years pilot initiatives were started to inform young researchers on funding opportunities.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Temporary research staff remarks that the University's attention towards them is lower than for the permanent staff, in relation to the dissemination of information on funding opportunities and procedures.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented, but the information process for temporary research staff in relation to funding procedures needs improvements.

## **5. 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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute, Regulations and personnel contracts govern University life and labour relations. The administrative structures also support awareness and compliance with rules by the staff which carries out research and teaching activities.

The subject of intellectual property rights and negotiations is covered by the Regulation on industrial and intellectual property and the Regulation on agreements and contracts for work in partnership.

As regards temporary staff, the research fellow declares to know the Fellowships regulation and to accept the provisions by signing the contract. The Regulation is published on the University website and on the specific web pages of the Human Resources and Organisation Area for research fellows.

In addition, the University regulations on PhD and IPR is also stated in a specific article of the notice of competition. When they enroll, PhD candidates sign a specific article and commits themselves:

- not to engage in actions that may hinder or jeopardise exercising the exclusive rights of Politecnico di Torino arising from patenting or registering - or by any other statutory protection - the results arising from the activities carried out in the course of the PhD Programme and not to claim ownership;
- to provide Politecnico di Torino all the information and elements needed to proceed with the patenting, registration or the acquisition of the industrial and intellectual property rights cited above in the other manners permitted by law.

In recent years, training courses were organised for PhD candidates on issues of IPR, led both by internal staff and external experts.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

A lack of information regarding the awareness of the Regulations has been identified. In addition, even though for the national legislation the employment contract has legal value only if it is written in Italian, at the time of hiring international researchers, it would be appropriate to provide them with a copy of the employment contract in English.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented but problems exist concerning proper dissemination of information. As for the remark concerning the lack of English-language copy of the employment contract for international researchers, the process to remedy the situation has already started.

## **6. 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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The principle is governed by national economic and national tax legislation and by Law 69/2009 ("Provisions for economic development, streamlining, competitiveness and civil process") and subsequent Legislative Decree 150/2009 ("Implementation of Law 15/2009, relating to optimisation of public labour productivity and efficiency and transparency of public administrations") which establish that all Public Administrations must publish information on their website relating to every aspect of the organisation, management and use of resources for the pursuit of institutional functions and of the activity of measurement and evaluation of results.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

In compliance with legislation on the transparency of public administrations, Politecnico di Torino publishes what is provided for by national legislation on its website at the link <http://www.polito.it/amministrazione/trasparenza/>.

Moreover, in addition to the existence of the Code of Ethics and Regulation of administration, finance and accounting to which everyone is bound, the administrative-technical staff (both in the departments and Central Administration) assists researchers in managing the funds transparently and efficiently. Researchers are informed of the spending constraints imposed by national legislation.

In recent years a training course for PhD candidates was offered entitled "Corporate social responsibility".

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented and consolidated in common practices related to transparency and effectiveness of the financial management of the University.

## **7. 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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

National legislation governs the rules concerning personal data protection and health and safety at work in universities and in higher education institutions.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES:**

Politecnico di Torino has created a web page containing all the information on personal data protection, which are available at: <http://www.polito.it/privacy/>. The Regulation enacting the code regarding protection of personal data and the regulation of DPS (Programmatic Security Document), not public, defines the technical procedures for the security of personal data.

National legislation concerning workplace safety and health has been implemented by a specific University Regulation, referring and taking into account the peculiar features of the organisational structures into which Politecnico di Torino is divided, the professionals who work there and the activities they carry out, as well as the special needs of the University as an Institution of Higher Education.

Politecnico di Torino performs a series of tasks of a technical and organisational nature, which provide the necessary instructions to conduct the processes of a research laboratory in accordance with National legislation on workplace safety and health.

Our University usually also enters into Confidentiality Agreements to protect the confidential information of scientific or technical nature that needs to be exchanged or shared with third parties for the purposes of research.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented. Moreover, the application of the integrated network of personal security and data control should be noted as a best practice to which continuity is provided.

## **8. Dissemination, exploitation of results**

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The national legislation regulates and protects intellectual property of a creative nature under Law 633/41 on Copyright and industrial property rights through the Code of industrial property rights, adopted by the University in the Regulation relating to intellectual and industrial property.

As far as PhD thesis is concerned, Ministerial Decree 224/99 requires that 2 final copies of the dissertation are filed to the National Libraries of Rome and Florence.

In recent years the European Commission launched a number of initiatives and issued directives to support the dissemination of research results (publications and scientific data) through open access and respecting intellectual property rights (contracts of the 7th Framework Programme of RTD, European Commission Communication "Europe 2020 Flagship Initiative - The Innovation Union", European Commission Communication "Towards better access to scientific information: increasing the benefits of public investment in research", European Commission Recommendation "On access to scientific information and its preservation").

A recent policy paper on research development entitled "Horizon 2020 Italy", authored by MIUR (Ministry of Education, University and Research), enacted the directives on dissemination of research results, devoting a chapter to this theme.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute affirms the principles of full and open access to scientific literature and the free dissemination of research results and the safeguard of the rights to obtain patents for industrial inventions using the structures and financial resources of the University.

PORTO - Publication Open Repository of Turin (<http://porto.polito.it/>) has been created, in response to the principles for the Open Access movement, which our University has joined by signing the Declaration of Messina on open access to scientific publishing, and the guidelines promoted by the European Commission on the free dissemination of knowledge. This tool guarantees access and visibility of publications of our academic community and promotes the scientific activity of the University by improving the image and status of our researchers and institution. PORTO meets the requirements of the open access pilot in FP7 of the European Commission which necessarily requires that the scientific publications, as result of research work financed by European funds, are filed to the University archives on open access. It contains data about: scientific publications (articles, book chapters, proceedings), pre-print (unpublished articles and documents, doctoral theses), patents.

Furthermore, for years Politecnico di Torino has been adopting a Regulation relating to intellectual and industrial property, a Regulation for the creation of spin-offs and a Regulation on agreements and contracts for work in partnership or on behalf of third parties.

As described below, Politecnico di Torino offers an environment favourable to the dissemination and exploitation of research results, in accordance with the national and European Community legislation:

- the Commercial Agreements and Technology Transfer Office deals with and handles relationships with companies that perform research in collaboration with the University, the protection of research results, also free, and technology transfer, through the sale and licensing of the results, but also by the creation of new entrepreneurial businesses linked to the University aimed at exploiting them (spin-offs of Politecnico di Torino).
- Internal procedures expressly created for the exploitation of results generated by research at Politecnico. Specific bodies have been established for this purpose: the Patent Committee, responsible for the evaluation of results, decisions about their protection and their subsequent exploitation and the Spin Off Committee, responsible for evaluating spin off companies, i.e., new high-tech businesses that industrially exploit the results generated by the University research.
- Collaborations started with these aims with an incubator of innovative companies of Politecnico di Torino which provides new entrepreneurial businesses with equipped areas, consulting and professional services, contact with managers, investors and a network of entrepreneurs.
- In case of patent, the individual author and/or inventor is always entitled to moral rights to be considered authors and/or inventors; property rights are entitled to individuals, in the case of permanent staff (professors or researchers) who perform free research (i.e., not specifically funded in whole or in part by a public or private third party); in the case of funded research

(e.g.. research contracts, Ministerial or European projects, etc.) the entitlement to property rights belongs to the University. An award for inventors for deposited patents and subsequent economic exploitation is provided, both by law and by internal regulations.

In order to stimulate researchers to publish research results, Politecnico di Torino has implemented two specific actions:

- The first is dedicated to young researchers (under-40) and provides for an annual announcement of competition called "incentives for young researchers". This incentive plan aims at the awarding of annual prizes in order to foster the participation of researchers in international conferences to present their research results. Researchers are evaluated on the basis of the classification of their publications, for the three years preceding the competition year, according to evaluation criteria provided by Politecnico. This incentive for young researchers is the result of a prior resolution of the Senate dated 08.11.2005, in which, among the strategic guidelines concerning the 2006 budget drafting, a "Study for means of incentivising projects of young scientists" was scheduled. The Board of Governors on 20.12.2005, upon the approval of the 2006 Budget, provided an allocation "to be distributed in funding travel to scientific meetings for young researchers with outstanding scientific performance, measured and evaluated through the CINECA (an Italian consortium providing data to the National University System) database". The technical rules were then defined by the Board of Governors on 05.04.2006 and from then on then they have been proposed every year.
- The second action is extended to all research staff and provides for an allocation of funds per year to be divided as a reward for University publications meeting objective quality criteria. This incentive was included among the strategic guidelines of the Senate in the 2008 budget drafting (Academic Senate session on 31.10.2007: the Senate asked the Board of Directors to provide an allocation of funds to distribute the prizes according to Bibliometric criteria of the publications). The Board, upon the approval of the 2008 Budget, allocated € 1M. From then on, the allocation has annually been provided and the Academic Senate has improved the allocation rules time by time, always on the basis of objective criteria.

Both incentive funds are assigned to the departments to which the researchers belong.

As regards more specifically the temporary staff, the Fellowship Regulation provides for the right for the research fellow to publish results of their research activities.

The commitment in the field of open access to ensure access and visibility to doctoral theses should be noted: all dissertations are stored online in the repository of the University and the PhDs are recommended to publish on open access.

To improve the writing of scientific papers in English, two or more times a year the University Language Centre offers a course on "Writing Scientific Papers in English" addressed to the various categories of research staff.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented but the need for strengthening the good practices should be noted, particularly in relation to policy regarding open access and intellectual property rights concerning publications and scientific data.

## **9. Public engagement**

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by 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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The dissemination to the wider public of research results is carried out mainly through the following instruments:

- the Communication, Events & External Relations Service activities, which promotes the research results through press releases and press conferences;
- the monthly electronic Newsletter, Poliflash, which is sent both to internal staff (approximately 3000 people) and to a mailing list of approximately 1,000 external contacts. The newsletter is also published on the website of Politecnico di Torino and spread through Facebook and Twitter;
- participation in dissemination events such as the so-called Researchers' Night (funded by the European Commission);
- the organisation of initiatives aimed at promoting the interests of young people and high school students in technical studies and scientific careers, through the direct involvement of researchers who present their work and meet young people.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

A lack in research staff training is noted with respect to the ability to communicate research results to the wider public.

On the other hand, the support provided by the Office for "Media relations" is considered positively for its dissemination of results through non-specialist press.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been basically implemented, although there is a lack in specific training actions of the research staff in communication aimed at a non-specialized audience.

## **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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Art. 35 of Legislative Decree 165/01 (Consolidated Law on public sector employment) establishes that recruitment procedures in public administrations comply with the principle of equal opportunity between workers; Art. 38 of the same decree allows access of citizens of the Member States of the European Union for jobs in Public Administration.

On the basis of Art.22 paragraph 5 of Law 240/2010, universities can reserve a share of research grants to Italian or international researchers who have obtained a PhD, or the equivalent, abroad or for international researchers who have obtained a doctorate in Italy.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The principle of non-discrimination is affirmed both in the Code of Ethics and the Statute which in Art. 1 states the independence "from any religious, ideological and political orientation" and Art. 17 provides for the establishment of the Equality Committee for equal opportunities, non-discrimination and anti-harassment. The University also has adopted a Code of Conduct for the protection of the dignity of workers, employees and students in applying Recommendation 92/131 EEC on the protection of the dignity of women and men at work. The Code guarantees the right to protection from any act or behaviour that produces a prejudicial effect and which discriminates, even indirectly, workers and students for reasons of gender, gender identity, sexual orientation, religion or ideological beliefs, ethnic origin, age or disability status. Along with the Code of Conduct, in 2007 a Councillor of Trust was created, responsible for providing advice and assistance to workers and students, subjected to sexual or moral harassment and/or discriminatory acts.

The Rector also appointed a Delegate for initiatives in Support of Assistance for Persons with Disabilities.

The Research Fellowship Regulation does not pose any limitations on age or nationality and includes measures that favour access of international researchers (e.g., enabling "senior" fellowships, both in the first and the higher segments, guaranteeing an annual remuneration to attract international researchers in possession of high professional qualifications): candidates who hold university degree obtained abroad can participate in selections, following the evaluation of the equivalence of the qualification to the requirements of the announcement; a quota of fellowships can be reserved to foreign candidates; interviews can be conducted remotely; a series of exceptions have been established to facilitate the participation in international research programs (e.g. the possibility of adopting different selection procedures or fellowships amounts to cope with the requirements of financing programs such as Marie Curie Actions).

Given the high percentage of international PhD candidates and in order to provide all the information they need, special attention is given in producing the relevant material in Italian and English: the Doctorate School website, the regulations, the notice of competition, the circulars. For the same reason the International Affairs Area provides information and documentation in many languages.

In recent years the University has also created opportunities for exchanges and mutual understanding in the larger communities present therein: Chinese New Year, presentation of Pakistani students.

With regard to students – and thus PhD candidates – there is a support service for psychological discomfort and specific projects for disabled students.

## **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented.

## **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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

As regards the evaluation of the University research staff, Law 240/2010 assigns to the evaluation unit the “function of verifying the quality and effectiveness of the courses catalogue [...] and the function of verifying the research activity carried out by departments and the adequacy of scientific or professional curriculum of those who hold a teaching contract as per Art. 23, paragraph 1, and assigns in connection with the activities of ANVUR (National Agency for the Evaluation of the Academic System and of Research) the functions referenced in Art. 14 of Leg. Decree 150 dated 27 October 2009, relating to the evaluation of personnel and structures, in order to encourage, with full autonomy and with their own organisation, the merit and improvement of their organisational and individual performance”.

Law 240/2010 (Art. 6 par. 14) establish that "professors and researchers are required to submit a three-year report on educational, management and research activities conducted, along with the request for salary increase".

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES:**

Art. 4.4 of the Statute provides that: "Politecnico di Torino evaluates the results of research on the basis of internationally recognised standards, in order to verify the position of the research groups and the University in the national and international context and to define appropriate rewards policy, improving and promoting the quality of research".

The Senate, in order to assess professors' scientific production, has a set of criteria for evaluating research activities based both on scientific productivity parameters and on self-financing capacity of the research staff. These criteria are applied equally regardless of experience and used for purposes of rewards. The evaluation is carried out on a regular basis. Transparency is ensured by the fact that the criteria applied are approved by the Senate and are internationally recognised, in equal measure.

Art. 14 of the University Regulations for temporary researchers provides that their activity must be agreed with the Head of Department and with his/her project/research-programme manager. Where required, the research conducted must be self-certified monthly and validated by the research manager or Head of Department. In order to determine the assignment of research which has been carried out by the researcher, the time sheet system is used. At the end of each academic year the researcher is required to prepare a report about the results achieved within the scope of the work carried out and is required, at the end of the contract, to file the result of scientific and teaching activity at the pertinent structure.

The Fellowship Regulation provides for the validation of an annual report of activities carried out by the research fellow and the evaluation of their activity at the end of the contract by a Committee appointed by the pertinent structure.

Each PhD candidate works under the supervision of a professor (tutor), to whom he/she reports regularly on the progress of the research. At the end of each year the doctoral candidate is required to submit a detailed report on the training and research activities which have been carried out to the Board of Professors of the Doctorate School. After evaluating the ECTS credits which have been earned, the Board allows the admission to the following year or to the final exam, depending on whether the doctoral candidate is in the first, second or third year.

As governed by the Statute at Art.14, the Evaluation Board has the function of evaluating research and teaching matters, “the right to study” and administrative management. It carries out its activities on the basis of criteria determined autonomously and in conjunction with the activity of ANVUR, taking into account the requirements laid down by the Ministry of Education, University and Research and international or supranational organisations and the indicators identified by the Joint Committee for Teaching.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented.

## II. Recruitment

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### 12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

### REGULATORY CONSTRAINTS AND OPPORTUNITIES

Law 240/2010 contains the standards governing the recruitment of academic staff.

The so-called *Riforma Moratti* (L. 230/2005) with effect in 2013, cancelled the "Permanent researcher" position. This deadline has been advanced by *Legge Gelmini* (L. 240/2010), which established that no more "Permanent researcher" positions could be published (Art. 29, par. 1).

This means that the position of Second-segment Professor becomes the first academic tenure position. There will be however "temporary researchers" (Art. 24), with responsibilities for research and teaching similar to those of present researchers. They will hold "employment contracts" with the University. According to Art. 24, research contracts will be of two types: a) and b).

Type a) contracts correspond to "post-doc" positions, which cannot be turned into permanent positions (they are not, i.e., under the current terminology, "tenure track"). These are three-year duration contracts, which can be renewed only once for a duration of two years, following positive evaluation of teaching and research activities carried out.

Researchers having a type b) contract, after the "scientific qualification"<sup>1</sup>, are "evaluated" by the University "for the purposes of the competition to the role as Second-segment Professor", which is decided by majority vote (of the professors of First and Second-segment) by the pertinent Department. It is not provided that the researcher of type b), in possession of qualification, would be placed directly in the role of Second-segment Professor; however the evaluation (additional to the qualification) made by the University must include only the scientific and teaching activity of the researcher. A possible negative outcome can therefore not be motivated by budgetary reasons. In fact, the law requires that the University ensures the availability of the necessary budget for the recruitment of researchers of

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<sup>1</sup> The "national scientific qualification" (*abilitazione scientifica nazionale*) consists in the claim of scientific qualification to fill the role for which you want to run and is the necessary requirement for access in the role of First and Second-segment professor. The qualification lasts four years and must be attributed with reasoned judgment based on analytical assessment and scientific publications, as well as the individual contribution to the scientific production expressed through different criteria and parameters for function and areas.

Since the national qualification is considered to be as proof of scientific qualification, teaching activities carried out at Italian Universities are not considered elements of evaluation, although the national qualification represents a preferred condition for the allocation of teaching contracts. Qualification does not give any right to be recruited as a permanent professor. Non-attainment precludes the participation in the procedures convened for the next biennium in the same sector and for the same segment. The procedures will be repeated each year and are distinct according to the different competition sectors and according to First and Second-segments. Applications accompanied by qualifications and scientific papers must be submitted electronically to the Ministry of Education, University and Research (MIUR).

All the Italian and international scholars, both structured and unstructured, who meet the requirements defined by ministerial notice, can apply and compete for the national qualification.

type b) as a Second-segment Professor within the (statutory) three-year resource planning (Art. 24, par. 5).

The law provides that the selection is governed by regulations of the University, for which some principles are indicated:

- opportunity to participate in selections only for subjects that have been "type a) researchers" for at least three years, research assistants or postdoctoral fellows;
- activation of a selective announcement relating to a "competition sector" (*settore concorsuale*) generally broader than current scientific disciplines or sectors with the designation of one or more disciplinary scientific sectors among those comprising the "competition sector";
- preliminary evaluation of candidates based on "CVs" and scientific production;
- admission to an interview for discussion of qualifications for between 10 and 20 percent of the candidates, or at least six of them (everyone, if less than six candidates);
- proposal for a call made by Departments with a favourable vote of the majority of First and Second-segments professors (temporary researchers are excluded from voting) approved by the Board of Governors.

Therefore the selection takes place at a local level. The law, however, tries to prevent localism (and "nepotism") with three provisions. The first establishes that relatives and similar relationships (up to the fourth degree included) of Rector, Director General, members of the Board of Governors and of the professors of the Department who issued the call (Art. 18, paragraph 1, sections b and c) cannot be hired as researchers or professors. The second establishes that the three-year resource programme must provide that at least 20% of resources are used to employ staff outside the University (Art. 18, par. 4). The third finally (Art. 5 par. 5) provides that the criteria used in evaluating the University, for the purpose of distributing a share of FFO (Italian State fund for universities), includes also "the percentage of employed temporary researchers that have not carried out their whole PhD course and post-doc course [...] in the same University".

As regards the research fellows, Art. 22 of Law 240/2010 defines the selection procedures and the requirements; specifically it provides that selection notices are made public electronically on the websites of the University, of the Ministry of Education, University and Research and of the European Union. The notices contain detailed information on the functions, rights, duties and remuneration and benefits owed. Candidates who possess appropriate scientific and professional CVs in order to carry out research activities can be beneficiaries of grants.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Notice for admission at various levels of academic staff comply with current laws and regulations.

As regards more specifically the fixed-term researchers, the University Regulation, published on the University web page, is issued in accordance with the principles set out by the European Charter for Researchers (Recommendation of the Commission of the European Communities 251 dated 11.03.2005) and EC Directive 70/1999 (Framework Agreement on fixed-term work) and defines the selection procedure, the legal regime and the remuneration due to temporary researchers as per Art. 24, Law 240 dated 30 December 2010.

The regulation and the notice of competition clarify the requirements and procedures for participation, as well as the competition process.

Since the selections are based on qualifications and interviews, they ensure objective evaluation of the candidates. Within the existing legal framework, facilitations for special disadvantaged groups or for researchers returning to a research career are not possible. Indeed, the fact that research activities and the resulting publications were suspended constitutes an element which can penalize in the selection.

The Regulation for research fellowship, in accordance with the provisions of Art. 22 of Law 240/2010, defines the categories of fellowships that can be activated (professionalizing, post-doc and senior), the access requirements, the selection and participation procedures.

In order to facilitate access to the procedures for admission to doctoral programmes to as many candidates as possible – also international candidates – an online application system has been implemented, allowing evaluation only through qualifications and interview, the latter done in video conferencing mode as well.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented.

### **13. Recruitment (Code)**

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Look at principle 12 Recruitment.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Politecnico di Torino has adopted a Regulation for the recruitment of professors and researchers, which establishes strict and meritocratic criteria, as well as an international evaluation process, in accordance with the most prestigious universities practices. The Rector and the Board of Governors are directly responsible for guarantying the quality of recruitment.

The evaluation criteria are defined prior to the examination of the candidates CVs.

The schedule is defined in the announcement and provides the candidate with a clear perspective of the timing for receiving a reply regarding the candidature.

The first stage of the selection process for temporary researchers is the publication of the announcement issued by the Rector on the University website and on the website of the Ministry of Education, University and Research (MIUR) and of the European Union. An abstract of the announcement in English is published on the University website. The announcement is open for at least 30 consecutive days, starting from the day following the publication of the notice in the Official Journal.

The selection announcement indicates:

- a) the type of contract under Art. 24 of Law 240/2010;
- b) with exclusive reference to contracts under Art. 24 par. 3 a) of Law 240/2010, the commitment status (full- or part-time);
- c) the specification of the “competition sector” (*settore concorsuale*) and a possible profile exclusively through identification of one or more scientific-disciplinary and interdisciplinary topics related thereto;
- d) any identification of the specific research project/programme (or projects/programmes) as well as the duration thereof;
- e) contractual activities and overall teaching commitment of the researcher, in accordance with the University Regulations on teaching activities of temporary researchers and in accordance with Art. 24, par. 4, of Law 240/2010;
- f) legal, economic and social security provisions;
- g) the remuneration of temporary researchers referred to in Art. 24, par. 3 b) of Law 240/2010;

- h) the place to perform the activity and the pertinent Department.
- i) any maximum number of publications, in any case not less than twelve, that each candidate may submit and related reference timeframes;
- j) oral testing to evaluate adequate knowledge of English and possibly of another foreign language;
- k) the selection procedure with an indication of the requirements for participation;
- l) procedures and timing for the electronic submission of applications, qualifications and publications.

The Selection Committee, when assuming the office, predetermines in detail the criteria and the parameters to be used for the preliminary evaluation as well as the criteria for the allocation of a score to qualifications and to each publication submitted by the candidates.

The above-mentioned criteria and parameters are made public for a period of at least seven days prior to pursuing the work, so that applicants may raise reasoned objections, and shall be published on the University website and in the official notice board.

The Committee must conclude its work within three months from the date of publication of the Rector's Decree for the call. The Rector may extend the deadline for finishing only once and for no more than two months for proven and exceptional reasons reported by the Chairman of the Committee.

Within 30 days of the date of approval by the Rector, the Department proposes to the Board of Governors the nomination of the candidate selected by the Committee. The proposal is adopted with departmental approval of the absolute majority of the First and Second-segment professors.

The Board of Governors approves the nomination within three months from the approval of the acts by the Rector.

The above information is contained in the University Regulations and in the announcement and therefore is known in advance to candidates.

Pursuant to Decree of the Ministry of Education, University and Research dated 1 July 2011, notwithstanding the selection procedures provided by Regulation, Politecnico di Torino can stipulate, subject to a resolution of the Board of Governors – who will consult a qualified inquiry Committee – contracts under Art. 24 par. 3 a) of Law 240/2010 with individuals in possession of a PhD who:

- are winners in specific research programmes of high qualification, identified by the Decree of the Ministry of Education, University and Research dated 1 July 2011, funded by the European Union and other international bodies;
- are winners of specific research programmes of high qualification identified by the above-mentioned Decree in the preceding subparagraph and financed by the Ministry of Education, University and Research, in the context of competitive funding procedures expressly providing for hiring the winner through an employment contract.

The Regulation for the allocation of research grants, pursuant to Law 240/2010 provides the ability to assign research grants through selective public procedures suitable to ensure the principles of efficiency and transparency. The general selection announcement contains detailed information about the selection procedure and how to participate. Specific selection notices contain, in addition to the essential elements (such as type of grant, research field, SSD-Disciplinary and Scientific sector, annual remuneration, duration, department/area of reference, selection procedures and requirements, topics to which qualifications and interview must referred to) the aim of the research programme and the level of performance required to the research fellow. Applicants normally have 10 days for submitting applications. Ministry of Education, University and Research provides advertising on European websites. 'Career prospects' are not contained in the announcement or the notice.

Admission to Doctoral programs depends on public competition (Law 210/98, Min. Decree 224/99). Universities have limited autonomy in defining modalities for comparative evaluation of the candidates which is quite strict, with deadlines and procedures established by law and referred to the national context, which often does not adapt to the needs of projects and international candidates.

It is difficult to reconcile the rules of public competition, the international opening, the verification of candidates' qualifications and their aptitude for research, as well as the assignment of scholarships often bound to specific research topics (national law considers them a mere economic benefit).

Access to the doctorate is governed by a notice of competition which includes all the information regarding the requirements, the selection, the development of the training and the achievement of the title, as well as information about doctoral scholarships.

All information can be found on the website of the Doctorate School, where there are specific pages for each PhD program (curricula, training courses, profiles), periodically updated.

The notice is published in the Official Journal and on the website of the Doctorate School; it is also notified to partner universities, Italian cultural institutes abroad, etc.

Euraxess publishes open positions within specific projects (e.g., Marie Curie Initial Training Network, Interpolytechnic School managed by the three Polytechnic University in Italy).

Usually the time for accepting applications is 4-6 weeks. Since the selection takes place once a year for all PhD programs, quite a long time for the conclusion of the selections is required (on average 3 months from the announcement deadline).

With regard to career prospects, 9 months after obtaining the title of PhD, the Doctorate School publishes data about the work situation.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented. However, there should be an opportunity to increase the participation of candidates from abroad in the invitations to the competition, given the low percentage of international research staff as compared to the total research staff.

#### **14. Selection (Code)**

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 evaluation and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 establishes the following for recruiting First and Second-segment professors:

- publication of a notice indicating the SSD (Disciplinary and Scientific sector);
- admission for those in possession of the national scientific qualification; governed by Art. 16; this evaluation is made by national committees and certifies the scientific qualification of candidates;
- evaluation of the publications and teaching curriculum;
- proposal for a call (*chiamata*) from the University.

Law 240/2010 Art 16 section f) concerns the establishment of the National Commission for qualification as above. The Law provides that a commissioner is drawn from a list, prepared by ANVUR (National Agency for Evaluating Universities), of scientists and experts of an equal level employed at universities of OECD Member Countries.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Selection Committee for the temporary researchers consists of three members selected among the First-segment Professors: one is appointed by the Department that requested the activation of the contract, while the other two are identified by the Rector from among six candidates proposed by the same Department.

The members of the Committee are selected only on the basis of scientific merit and chosen from among teachers of proven international recognition belonging to one or more SSD of the selection. Professors who received a negative evaluation in accordance with Law 240/2010 Art. 6 par. 7 cannot participate.

The Rectoral Decree of appointment is made available through publication on the official notice board and on the University website for at least six months after the date of publication of the Rectoral Decree concerning the verification of the Acts.

Any request of objection will be evaluated by a Special Commission appointed by the Rector.

The appointment of the members of the Selection Committee must comply with the rules on incompatibility and conflict of interest.

Applicants are required to participate in a public interview consisting in the discussion of qualifications and scientific production.

While the discussion of qualifications and publications takes place, adequate knowledge of English language is checked and, where indicated by the notice, of any additional foreign language specified therein.

As regards the research fellows, the Regulation provides that the Evaluation Committee is composed by professors or researchers belonging to the Italian University System. For the evaluation of the projects submitted by the candidates, the Committee may use also international expert reviewers. The Committee cannot include members external to the University and it is practice that external individuals can participate in the Committee as additional members. The regulation provides for different selection procedures: one single selection procedure, managed at central level, concerning different scientific areas, where candidates are evaluated on the basis of their research project, qualifications and publications and the subsequent interview; selections requested by Departments for specific projects where candidates are evaluated on the basis of qualifications and interview or of qualifications, interview and written test. As an exception, for specific national or international projects, selections can be made through the evaluation of qualifications only or through direct identification of the candidate by the project partners.

In the case of the PhD, Min. Decree 224/99 establishes that the Rector, once the opinion of the Academic Board has been acquired, appoints by decree the Committee responsible for the comparative evaluation of the candidates. The Committee consists of three members chosen from among the University permanent professors and researchers, to whom no more than two Italian or International experts can be added coming from public and private research institutions.

Usually, the Committee includes only internal members. There may be external experts only in specific cases, such as excellence projects (e.g., the *Scuola Interpolitecnica*) or in the case of activities in collaboration with companies. On the other hand, there is always an external industrial member (*company tutor*) in the case of apprenticeship doctorate. As far as gender balance is concerned, the members of the Committee are drawn from a list of candidates proposed by each Academic Board, and therefore it is not possible to implement measures aimed at gender balance.

## **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

It should be noted that selection must comply with national legislation and it is not possible to adopt different practices in the evaluation process. For example, for the evaluation of temporary researchers of type a) and b), face-to-face interview is required, but it is not possible to assign a specific score to this interview.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The constraints imposed by national law do not allow full compliance with the principles of the Charter.

## **15. Transparency (Code)**

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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

For the description of the role of *permanent researchers*, look at principle 12.

Min. Decree 224/99 Art. 5 par. 2 establishes that university doctoral admission tests must ensure an adequate comparative evaluation of the candidates, a tight time frame for the completion of the evaluation process, as well as the publication of the official records of the process. The notice of competition for admission, however, establishes:

1. the total number of graduates to be admitted to the doctorate;
2. the number and amount of scholarships;
3. the contributions to be paid by PhD candidates and the exemptions system;
4. the procedures of admission examination.

Law 240/2010 Art. 22 establishes the selection procedures and the requirements for the allocation of research fellowships and establishes the obligation to indicate on the selection announcements the details concerning the activities, rights, duties, the remuneration and social security provisions.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The notice contains a clear description of the recruitment process, the selection criteria and the number of available positions

Scores and ratings assigned to individual candidates are filed in deeds.

With regard to career opportunities, contracts for temporary research staff have definite duration and the legislation clarifies that this can be configured as a title in the context of evaluations for access to higher researchers positions.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The problems concern the achievement of full transparency in relation with career prospects.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Within the limits set by national legislation regarding career opportunities, Politecnico di Torino is implementing the principle.

## **16. Judging merit (Code)**

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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

For the PhD, Min. Decree 224/99 Art. 5 par. 2 establishes that university doctoral admission tests must ensure an adequate comparative evaluation of the candidates, a tight time frame for the completion of the evaluation process, as well as the publication of the official records of the process.

The European Commission Recommendation "On access to and preservation of scientific information" calls for an adjustment in the award mechanisms in terms of recruitment and evaluation for the benefit of researchers who adhere to the culture of sharing research results.

The Ministry of Education, University and Research, in a recent policy paper on research development called "Horizon 2020 Italy", implemented the EU directive providing for the introduction of specific indicators to be used in procedures for the evaluation of research projects and procedures for recruitment and career development of researchers.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Recent notices of competition for temporary researchers and professors clearly specified the evaluation process and criteria. Criteria are in line with the position to be held. In principle, for early stage researchers they are scientific criteria and criteria that assess the potential of performing research; while evaluations for First and Second-segment professors also take into account different skills in terms of teaching, supervision and management skills. Patents are included in parameters for both temporary and permanent research staff.

More specifically, as regards temporary researchers, the Selection Committee predetermines in detail the criteria and the parameters to be used for the preliminary evaluation as well as the criteria for the allocation of scores for qualifications and for each publications submitted by the candidates, taking into account the following criteria:

- originality, innovativeness, methodological approach and relevance of each scientific publication;
- congruence of each publication with the sector of the competition for which the selection procedure is announced and with any profile, defined exclusively through the designation of one or more SSD, with transdisciplinary themes related thereto;
- scientific significance of the cataloging of each publication and its dissemination within the scientific community;
- analytical determination, also on the basis of the recognised international scientific community, of the individual contribution of the candidate in case of participation in cooperation work.

The Committee also takes into account, as specified in the announcement:

- prizes and awards for research and design competitions;
- coordination and participation in research projects;
- activity of organisation, management and coordination of national and international research groups;
- participation in national and international research projects;
- ownership of patents and/or projects or "authorship of the invention";
- any teaching activity at university level in Italy or abroad;

- documented experience gained in research and/or teaching, proving that the candidate has strong basic skills in the sector of the competition and in the SSD referred to in the announcement;
- performing research activities abroad for a reasonable period (at least 6 months in total) at universities and/or research centres of proven international recognition;
- collaborations and research partnerships documented and established with foreign Universities.

For the grants fellows, the selection is made through comparative evaluation of the candidates through the evaluation of qualifications, official publications and documented research, in addition to the evaluation of the interview (and any written test) on research fields identified by the selection notice.

The evaluation of PhD at Politecnico di Torino is based only on qualifications and on an interview; the candidate's CV, studies and previous experiences, publications, knowledge of English and educational career are considered, together with other qualitative aspects such as motivation to undertake the PhD course and aptitude to research. The interview is considered to be the most suitable tool for a full evaluation and therefore it has been required starting from 2012. The announcement includes the evaluation criteria for all PhD courses, but each Committee defines the specific weight of each qualification.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

A problem is found in the fact that the national qualification is based only on scientific criteria, without particular attention to teaching activities. However, Politecnico cannot intervene on these national criteria.

On the other hand, it is recognised as positive the fact that our University notice of competition for First and Second-segment Professors assigns teaching activities an equal role compared to research related experiences. Consequently, it decreases the imposition of national legislation.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Although the national legislation limits the selection criteria, in the internal Regulation for ruling the call for Professors of First and Second-segments Politecnico gives attention to teaching, to the ability to communicate and create external relations which are basically excluded from the national evaluation. This is considered to be a good practice. Therefore, our University has the objective to safeguard the professionalism of all the aspects required by the academic activities.

#### **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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Selection Committee for temporary researchers, in assessing the overall consistency of the candidate's scientific production, the intensity and temporal continuity, takes into account any periods, properly documented, of non-voluntary career breaks, with particular reference to parental leave. Candidates may submit up to 15 publications, of which only five may have been published more than five years prior to the announcement deadline. Retroactivity of this period is allowed in a case of documented leaves of a minimum duration of 5 months for parenthood and/or disease and/or mandatory civil service. The fact of taking into account a larger span helps reducing the effects of changes in timing of the overall career.

The evaluation of qualifications and CVs of the candidate for a position as a PhD candidate also takes into account experience outside the University where relevant. It also provides for the use of letters of recommendation from third parties as further evaluation element, allowing to consider as a valuable contribution to the professional development of researchers the collaborations with research groups outside the University.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Even if it is specifically required by law, the fact that continuity of scientific activity is rewarded both for the temporary and permanent research staff has been identified as a problem.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

No faults are found, except those due to compliance with national legislation.

### **18. Recognition of mobility experience (Code)**

Any mobility experience, e.g. to 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.

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Special indicators are established by ANVUR to measure mobility of permanent staff of universities. In particular in the Evaluation process of the Quality of Research (*VQR 2004-2010*), an indicator of internationalisation is the outgoing mobility of professors and researchers who performed research abroad continuously for more than 3 months in the previous seven years.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Generally great importance is given to transnational and intersectoral mobility experience; it is considered less important the transition from one discipline to another, as specialisation is still a significant value in a Technical University.

The international experience of candidates for temporary researchers positions is considered an important qualification. In particular, the relationships and research collaborations documented and established with foreign Universities are specifically taken into account.

The Regulation for the allocation of research grants provides the opportunity to perform part of the research activities abroad with a financial contribution from the structure, if consistent with the research programme, or through other fellowships or grants.

For the doctorate, the evaluation of the candidate's qualifications and curriculum also takes into account experience outside the University, where relevant. It also provides for the use of letters of recommendation from third parties as a further evaluation element, allowing to consider as a valuable contribution to the professional development of researchers the collaborations with research groups outside the University.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been basically implemented.

### **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.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The regulations and national and international standards are adopted in full.

The evaluation of objective qualifications enables a good selection; on the contrary, non-formal qualifications are more difficult to assess, because of stringent legislative constraints.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Academic or professional qualifications must still be documented and traceable (e.g. role of WP leader in European projects, etc.).

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented, in the framework of the strict national legislative constraints.

### **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.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Selection is based on qualifications.

As for research grants more specifically, the related Regulation of the University states that grants can be awarded to researchers who own a professional and scientific CV suitable for research activities, as well as minimum requirements for all three categories of grants:

- Bachelor or Master's degree for Category A – professionalizing research fellowships;
- holders of a minimum three-year duration PhD for Category B – post-doctoral research fellowships;
- holders of a minimum three-year duration PhD plus a two-year professional and scientific experience for category C – senior research fellowships.

The different levels of qualifications are related to the professional skills and competencies required for the activities to be performed.

The comparative evaluation of candidates is based not only on qualifications, but also on publications and previous research.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been basically implemented.

### **21. Postdoctoral appointments (Code)**

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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 cancelled the post-doc position, which now correspond to the research fellow position. Art. 22 of Law 240/2010 enables Universities to establish that a PhD title is a mandatory requirement for the admission to research grants; in case this regulation is not adopted, a PhD title constitutes a preferential qualification in order to allocate grants. The whole duration of the grants allocated to the same person, included from different universities, must not exceed four years. The whole duration of research grants and contracts for temporary researchers, signed with different universities, must not exceed 12 years.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Within the restrictions imposed by national legislation, the opportunity to maintain the collaboration with the University is given to as many Post-Docs as possible.

The Regulation of Politecnico di Torino for the allocation of grants for the development of research activities, in addition to the rules established by Law 240/2010, expressly establishes two categories of grants reserved to subjects holding a PhD.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been basically implemented.

### III. Working conditions and social security

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#### **22. 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).

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

With regard to professional recognition, it should be noted that the Bologna Process and subsequent laws (*DM 469/99* and *DM 270/04*) establishes PhD level studies as third level of higher education. The candidate is thus considered a student, not as an early-stage researcher, as recommended by the European Community. This status can make less effective a direct relationship of the candidate in relation to European partners as well as his/her participation in international projects.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute of Politecnico di Torino promotes basic and applied research, ensures the coordination and development of research projects at the international and national level, promotes the acquisition of scientific and technological knowledge and exploits skills in the University and the requirements of qualification for research in different scientific areas and it is implementing a policy to identify and support strategic research areas and to stimulate interdisciplinary activity. Politecnico di Torino considers its assets to be the professional skills of its staff and implements investment policy on human capital, promoting their development, enhancement and quality. The University enhances its staff's competencies, professional experience, skills and commitment and strives for the implementation of appropriate initiatives for staff commitment and accountability. Politecnico di Torino considers the international dimension and strategic support through joint actions with universities, research bodies, institutions and foreign enterprises. It promotes and supports international mobility of students, professors and researchers and it promotes alliances with other parties for the participation in international projects and research training. Politecnico di Torino recognises the principles of the European Charter for Researchers, thus guaranteeing personnel the support and whatever is necessary for carrying out research activities.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has been implemented, except for the limitations already mentioned in relation to the professional figure of the PhD candidate.

### **23. Research environment**

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

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Art. 4 of the Statute explicitly cites the application of the principles of the European Charter for Researchers, "ensuring its personnel the right to use the facilities and all that which is necessary to carry out research".

Consistent with the progressive reduction of State funding for Universities, the Senate and the Board of Governors have approved a significant financial commitment for 2013 with the aim of improving the quality of work environments and of financing costly research equipment and infrastructures for research that is interdisciplinary and involves multiple departments. The goal is the continuous growth in the quality of research infrastructures. The 2013 budget also allocated substantial resources to the expansion of digital scientific databases available to researchers from the University, with special reference to transitioning from paper to digital media, the acquisition of new journals and the preservation of data.

For 2013, Politecnico di Torino resolved to invest valuable resources in logistics and construction in order to improve quality and compliance with safety regulations and hygiene of the classrooms and to ensure that departments have facilities that are suitable up to standard and safe.

Architectural barriers still occasionally pose problems for disabled people in some Departments.

Every year, doctoral candidates are asked to fill out a questionnaire on their working conditions with questions such as whether they have been allocated a work station. The results are then presented to the Board of the Doctorate School.

Safety and health at the workplace are guaranteed as prescribed by the regulations (for the description, see principle 7, Good practice in research).

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Despite the expansion of our University in recent years (e.g., the new campuses *Cittadella Politecnica* and *Cittadella for Design and for sustainable mobility*), the researchers perceived they are not always guaranteed adequate work spaces, especially for temporary researchers.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is basically implemented, although it must be recognised that the level of adequacy of facilities is not homogeneous in all departments and this includes the issue of architectural barriers,. With particular reference to temporary researchers, there is a further discrepancy in the availability of spaces for performing research activities.

## **24. Working conditions**

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *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.

## **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

For professors and researchers, the legislation in force provides numerous possibilities for leave for study and scientific research both nationally and internationally, with or without pay, in those cases where the individual receives remuneration from the host institution that is greater than or equal to that of his/her own University. Art. 7 of Law 240/2010 establishes that "professors and University researchers can, on demand, be placed for a maximum period of five consecutive years, which can be unpaid, to conduct activities with other individuals and public or private bodies, also at internationally level, which also provide the relevant remuneration and social security".

As for the doctorate, Min. Decree 270/04 considers the PhD equivalent to a student. Min. Decree 224/99, Art. 6, provides for the suspension of the doctorate for maternity, sickness and now, following a ministerial circular, including attendance in Active Educational Placements.<sup>2</sup> Leg. Decree 151/2001, Law 296/2006 and Min. Decree dated 12.07.2007 provided for the compulsory abstention for PhD candidates during pregnancy, introduced provisions for parenthood and the possibility to seek compensation for those enrolled in the so called "*Gestione Separata INPS*" (Separate Management of the National Institute for pension rights and sickness), which applies only to PhD candidates with a scholarship.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The University has promoted the implementation of a series of initiatives aimed at improving the quality of life at Politecnico di Torino, with particular reference to gender issues and for supporting staff in balancing family and work time, including:

- flexible work scheme (in accordance with current legislation, diversified and flexible hours, the possibility to tele-working for staff upon return from maternity leave and/or in case of family problems, parental leave);
- introduction of social, educational and recreational services for the children of permanent and temporary staff as well as students. These services include the nursery "Policino" located inside the University, a baby-sitting service that facilitates the return to work after maternity, summer schools (through the Polincontri Association), support services for elderly family members and counseling for staff in temporary difficulty.

Other projects created to ensure a suitable work and study environment:

- the promotion of a culture of equal opportunity which led to the introduction of the Code of Conduct for the protection of the dignity of workers, employees and students;
- creating the figure of a female Councillor who listens, advises and assists in cases of moral or sexual harassment or discriminatory behaviour at all levels (staff, students) within the University.

These initiatives were promoted by the Administration with the support of the former Equal Opportunity Committee of the University. In implementing the provisions of Law 183/2010, an Equality Committee for equal opportunities, non-discrimination and anti-harassment has now been established by Art. 17 of the Statute.

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<sup>2</sup> Active Learning Training course (TFA) referred to in Min. Decree N.°249 of 10/09/2010: these are one-year courses with access to a programmed number for teaching in secondary schools of first and second degree

Politecnico di Torino has also been awarded recognition and prizes in a number of areas:

- "*Lavoriamo insieme per realizzare le pari opportunità, l'e-government, la semplificazione e la lotta alla corruzione*": recognition by the Ministry for Public Administration awarded to administrations that effectively put government instructions into practice in four key areas: equal opportunity, e-government, streamlining, the fight against corruption. The project presented by Politecnico di Torino was awarded a prize in the section dedicated to action on equal opportunity;
- prize "Family Friendly Organisation": Presidency of the Council of Ministers awards prizes to the best projects that support family policy and awarded Politecnico di Torino a special mention and 30,000 Euros;
- recognition by the Public Administration Women's Committee for the services available at Politecnico di Torino with regard to balancing of family and work life;
- inclusion in the publication of the Councillor for Equality in the Province of Torino "Friendly company for mums and dads" as an example of an organisation that set up good practice with regard to balancing family and work;
- the "Polifamily" project was included by the Piedmont Region in the list of good practices implemented within the framework of ESF projects 2000-2006.

For research fellows, the legislation ensures full flexibility of work hours without any predetermined schedule; the Regulation establishes that the research fellow works in complete autonomy and without predetermined work hours; therefore, he/she is required only to guarantee the continuity and the performance of their duties.

Doctoral candidates also have no time constraints, as activities are agreed with the tutor.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle has substantially been implemented; the only time constraints are related to compliance with the timetable for the lessons and any constraints of access (night time, holidays) imposed for security reasons.

#### **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*.

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 sets out the rules concerning the duration of University staff contracts for conducting research.

The new legislation abolished the permanent researcher, leaving only temporary researchers with a distinction between type a) (contracts corresponding to "post-doc" positions, which cannot be turned into permanent positions) and type b ("tenure track") positions described in the glossary.

Law 240/2010 provides a minimum period of one year for research grants with the possibility of renewal for up to four years in total; the duration of research grants and the contracts for temporary researchers cannot exceed a total of 12 years. Within a relationship that by its nature establishes both

a minimum and maximum limit, a period of stability to complete the research program is thus allowed and helps avoid situations of long term instability.

Both research fellows and temporary researchers of type a) are therefore recipients of fixed-term contracts with the possibility of access to tenure-track positions based on their research capacity.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

For non-tenured positions our University applies the duration limits established by Law 240/2010 in compliance with EC Directive 70/1999 on fixed-term work.

The doctorate is by its nature a fixed-term path and it constitutes an added value when accessing subsequent stages in the research career. Doctoral fellowships are assigned by competition. Some tutors use their own research funds to finance research grants or scholarships for research activities. These are different from doctoral scholarships, as funding is awarded through special public selections on the basis of specific conventions and without financial cost for the University and they are granted for the participation in research groups and programs. PhD candidates without scholarships are often paid with this type of scholarship by the research group with which they collaborate. The duration and amounts are governed by Special Regulations (the Regulation for the allocation of grants to carry out research activities - in force since 16 July 2012).

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

It is difficult to know the exact updated proportion of permanent and temporary research staff. Knowing this proportion could be useful to identify the sectors driving the university's research, which can provide greater continuity of contract offers.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The application of restrictive national legislative constraints creates difficulties with regard to the duration of temporary contracts, the limitations on autonomy and the impossibility to offer permanent positions.

## **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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The matter is regulated by national legislation.

With regard to First and Second-segment professors and permanent researchers, national legislation establishes salary levels by categories, each divided into classes with two-year salary increases.

For research grants, Law 240/2010 imposes only a minimum amount (determined with Min. Decree) which is not very attractive for highly qualified researchers. The same law provides for social security (including sickness and maternity benefits) through registration in *Gestione Separata INPS* (Separate Management of the National Institute for pension rights and sickness). Furthermore universities must supplement the maternity allowance paid by the INPS up to the amount of the grant.

PhD candidates with a scholarship benefit of social security through registration in *Gestione Separata INPS*.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Within the limits imposed by national legislation, Politecnico has established rules and mechanisms to reward merit, results and experience of the research staff.

The Regulation on contracts and the resolutions of the governing bodies define the financial prospects for research activities carried out on order (*conto terzi*) which allows the possibility of allocating rewards to staff.

The Regulation for allocating research grants establishes different amount depending on the level of qualification and the level of performance required of the research fellow. Three categories of fellowships are created; within each category three further salary increases are possible. In addition, for the category of "senior research fellowships" there are 4 salary levels, comparable to those of permanent researchers.

The Doctorate School has experimented in the past the award of prizes to the best doctoral candidates, but the procedure was too costly so it is now studying an alternative way of rewarding merit. Some doctoral courses do this independently only for their own doctoral candidates (e.g., Power Engineering).

For several years the doctorate has eliminated the income cap for recipients of Scholarships, substituting it by a time limit: the PhD candidate can receive other incomes as long as they can devote the necessary time to research.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

Considering the limits imposed by national legislation, the principle seems implemented.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Politecnico operates in accordance with the principles of the Charter and Code, using the autonomy allowed by national legislation to reward merit, achievements and skills developed by its research staff.

As a general comment, some problems were found in the implementation of the "*fair and attractive conditions of funding and/or salaries*" at the level of national legislation, since the wages of researchers in Italy are still significantly lower than in most European countries.

## **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.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Art. 35 of Leg. Decree 165/01 (Consolidated Law on public service) stipulates that recruitment procedures in public administrations must comply with respect to the principle of equal opportunity among workers.

Law 240/2010 provides, in the appointment of members of the Board of Governors of the University, compliance with the constitutional principle of equal opportunity between men and women in access to public offices.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The constitutional principle of equal opportunity between men and women in access to public offices is promoted through the ad hoc mechanisms provided for in the Statute for the election of members of the governing bodies (for the Academic Senate, Art. 11 par. 11; for the Board of Governors, Art. 12 par. 4 section d)).

From the point of view of recruitment there is no discrimination and Politecnico regulation for the recruitment of professors and researchers adopts rigorous and merit-based criteria.

In assessing applications for temporary researchers competitions, periods of parental leave shall be taken into account. Candidates may submit up to 15 publications, of which only 5 may have been published more than 5 years prior to the competition deadline. Retroactivity of this period is allowed in a case of documented leaves of a minimum duration of 5 months for parenthood.

As described in detail in the analysis of principle 10. "Non-discrimination", our University affirms the principle of non-discrimination in the Code of Ethics, in the Statute and through the establishment of the Equality Committee for equal opportunities, non-discrimination and anti-harassment. The University also has the Code of Conduct for the protection of the dignity of workers, employees and students in compliance with EEC Recommendation 92/131 on the protection of the dignity of women and men at work. In 2007, along with the Code of Conduct, was also established a female Councillor who listens, advises and assists in cases of moral or sexual harassment or discriminatory behaviour at all levels (staff, students) within the University.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially applied.

## **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.

## **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

National legislation does not allow to adopt strategies for the individual development of the researcher's career, given the constitutional principle whereby access to Public Administration is carried out exclusively by competition.

It should however be noted that national policies for University staff have generally tried to facilitate the admission of researchers –permanent researchers before L. 240/2010 and temporary researchers now - devoting a large share of the available resources: in a period of blocked turnover, Law 112/2008 provided that for the three-year period 2009-11, 50% of the resources for new hires should be allocated for Researcher's positions, while Leg. Decree 49/2012 provides for the period 2013-15 that Universities with a percentage of First-segment professors higher than 30% of the total number of professors must recruit temporary researchers in a number not less than those of First-segment professors.

Art. 1-ter of Law 43/2005 establishes that: "Universities, also in order to pursue the objectives of effectiveness and quality of services offered, shall by 30 June each year adopt three-year programmes consistent with the general guidelines defined by Decree of the Ministry of Education, University and Research, having consulted the Conference of Rectors of Italian universities, the National University Council and the National Council of Students, also taking into account the human resources that can be independently acquired. The aforesaid university programmes identify in particular: [...] the need for teaching and non-teaching staff both permanent and temporary, including the use of staff mobility."

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Politecnico di Torino adopts a multi-year personnel recruitment plan, that represent an element of clarity and transparency. This planning is based on the criteria of renewing research and teaching staff.

In the inauguration speech of AY 2012/2013, the Rector of Politecnico di Torino defined the strategic guidelines for the research staff:

- priority allocation of resources provided by the extraordinary plan to enter in the role of Second-segment Professors the most deserving internal researchers, selected through rigorous evaluation procedures;
- consistent with the constraints of turnover, guaranteeing a reasonable number of positions of First-segment professor, with the aim to include young, talented candidates in this role, capable of assuming responsibility in the medium term in research coordination and teaching activities and responsibilities in Governing Bodies and Departments of the University;
- starting the recruitment of 'tenure track researchers' (type b) temporary researchers), ensuring international standards for evaluation, despite concerns on methods and timeframes for their introduction.

In recent years, the University has been promoting an active policy for career development of research fellows based on a constant dialogue with the Coordination of fixed-term research staff. Moreover, Politecnico has activated comparative evaluations in 2010-12 for a total of 71 researcher positions, a database of all employment relationships of research fellows at Politecnico di Torino has been created (allowing for seniority and scientific production), restaurant vouchers have been granted (later revoked by Leg. Decree 95/2012) and experimental project for skills development with specialised agencies have been implemented.

The Internship and Job Placement Office plays a role in connection with the labour market for PhD candidates and to a lesser extent also for research fellows. In 2012 a platform was set up for promoting the matching between job demand and offer for highly professional research, where candidates can upload their own CV. Through this platform, Politecnico di Torino, in cooperation with several public and private entities, develops projects and opportunities aimed at high professionalism in order to:

- provide the socio-economic system with highly qualified individuals capable of interpreting, guiding and responding to a need for advanced scientific and technological knowledge;
- encourage a more targeted placement of the high profiles leaving the University.

As regards more specifically the PhD candidates, they take advantage of services that our University provides all its students, such as, job placement service, counselling service, and internships. Some projects were moreover promoted in 2010 for helping them joining the labour market, thanks also to the support of national and regional funding and with the collaboration of local associations (Confindustria and the Industrial Union).

Each year the Internship and Job Placement Office organises a Career Day with the aim of creating the perfect match between companies and undergraduates/graduates (engineers, architects and designers) who are about to make their first entry into the work world. Participation in Career Day is open to PhD candidates and research fellows.

The Alumni Association of Politecnico di Torino, active since 1908, organises thematic meetings, meetings with businesses and courses for professional development.

The International Affairs Area and the National and Research Fund Raising Division provide information and support on national and international funding opportunities targeted to career development of individual researchers (e.g., Marie Curie Actions of the European RTD Framework Programme and the national programme "*Futuro in Ricerca*").

The Technology Transfer Division and Industrial Liaison also offers support for professional development through the promotion of intellectual property, patenting and enterprise creation (research Spin-offs) in collaboration with I3P, the Innovative Business Incubator of Politecnico di Torino.

## **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

A limited ability to communicate career development opportunities outside the University was found.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

National constraints on recruitment are very restrictive: a turnover of 20% for the next three years and the average age of the teaching staff, is likely to obstruct a generational change and the employment of young researchers and professors in Italian universities.

A limited communication is noted for what is done to support the careers of researchers. In particular, less attention is paid to the research fellows.

The Doctorate School and the Internship and Job Placement Office offer numerous initiatives to PhD candidates, who but only a few are aware of the importance of these instruments.

## **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.

## **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Concerning the portability of funded research projects, Art. 7, par. 4, of Law 240/2010 provides that: "In the event of moving to a different institution, professors, permanent researchers and temporary researchers in charge of research projects, financed by different parties other than their university, retain ownership of the projects and of the related funding, where scientifically possible and with the agreement of the research funder".

The portability of social security rights is defined by the national legislation and has several critical problems due to the difficulty of implementation or to legislative gaps concerning particular cases .

As for the doctorate the legislation contains many elements in support of mobility:

- Min. Decree 224/99 provides that the amount of the scholarship is increased for any period of stay abroad to the extent of not less than 50 per cent;
- PhD candidates, as students, may participate to the Erasmus call;
- Min. Decree 224/99 provides for certain exceptions for international projects (e.g., for admission tests and final exams);
- among the eligibility requirements for a doctoral course, Art. 2 of Min. Decree 224/99 provides for:
  - d) the possibility of collaboration with public or private entities, Italians or foreign, allowing PhD candidates to experience work activities;
  - e) the provision of training activities oriented to highly qualified research at universities, public or private entities.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The Statute states that the University considers the international dimension as strategic and promotes joint actions with Universities, research bodies, institutions and foreign enterprises; it encourages and supports international mobility of students, professors and researchers; it promotes the cooperation with other parties for the participation in training and research international projects.

The University promotes mobility aimed at the achievement of the research goals; over the years it has boosted the initiatives and the organisation of the administrative structure supporting the mobility of researchers through:

- the establishment of the Excellent Science and Researchers Mobility Office within the Research Support and Technology Transfer Area that deals with promoting access to finance for basic research and mobility of researchers (e.g.. Marie Curie Actions, ERC, PRIN, FIRB) and supporting its management;
- the creation of the Foreign Citizens Services Office within the International Affairs Area, with the task of ensuring adequate information and assistance to international researchers, providing the necessary support to their stay in Italy, finding accommodations, obtaining a visa, residence permit, a tax identification number, health care, providing for bringing over the family and entering the children in school;
- specific services offered to international students by the Third-Level of Higher Education Office, which also manages international projects dedicated to the PhD;
- the CLA (University Linguistics Centre), which offers all international visitors of Politecnico di Torino language courses;

- the several mobility and exchange agreements with foreign universities managed by the International Relations Division. As an example, the agreement with the Massachusetts Institute of Technology aimed at launching the startup program 'MITOR' that aims at strengthening the collaboration between the two Universities by supporting innovative initiatives as a basis for a long-term international collaboration.

With regard to intersectoral mobility, researchers can benefit from the *Cittadella Politecnica* (a Politecnico campus), conceived as a great incubator of education, research, culture, businesses and services, connecting research laboratories and training activities, and also activities related to innovation and knowledge transfer; it is a place of contiguity and interpenetration between academic and industrial research, student and social aggregation and urban development. One of the main results of this complex interaction between university and industrial system has been the creation of a Business Research Centre within the *Cittadella Politecnica* as a privileged place for exchanging and sharing academic and industrial knowledge through common laboratories and research centres. In order to share knowledge, Politecnico periodically receives expressions of interests from Italian or foreign bodies/enterprises for becoming partners in research, education and training projects to be developed in collaboration with the University in the framework of the Business Research Center.

As regards the permanent staff, the following qualifications are taken into account for the evaluation for the positions of professor and researcher: the provision of training and research services, also with fixed-term contracts, at public institutions in Italy or abroad; carrying out research activities at Italian and foreign public and private entities, in the frame of formal institutional relations.

For the research fellows, mobility between the public and private sectors is guaranteed by the participation of fellows in the commercial activities carried out by the departments and also by the possibility to carry out self-employment activities -provided they are compatible with conducting research- and to perform research activities in other public or private bodies in the frame of Agreements signed by the University. The Regulation for research grants also allows geographical mobility by providing for the possibility to carry out part of the research activities abroad with a financial contribution, if consistent with the research programme, or through the possibility to accumulate more scholarships with the grant.

For PhD candidates, evaluation of the candidate's qualifications and CV also takes into account experience outside the University if relevant. The use of letters of recommendation from third parties is a further evaluation element, allowing the enhancement of those who have had collaborations with research groups outside the University. Mobility abroad is encouraged with an increased scholarship and ad hoc funds that the Doctorate School promote (e.g., Vinci competition, Fulbright, Erasmus, Marie Curie). In recent years there has been a significant increase of joint PhDs. Each year the University allocates a small budget for each doctoral candidate with or without a scholarship, to be allocated for mobility and for participating in courses and conferences. There is a significant effort of the University in the internationalisation of the doctorate, but mobility requires resources, especially for those without a scholarship. In some doctoral courses, a minimum period of mobility abroad is mandatory. Projects like the Interpolytechnical Doctorate School provide for a minimum period of 9 months of training/research abroad with the reimbursement of costs.

Intersectoral mobility in the education of PhD candidates is promoted within the Project "Advanced Training Competition (*BAF-Bando Alta Formazione*)" which requires an internship in a company; the first doctoral courses have been started in exercising training and transferable skills courses. However, cooperation with the non-academic world is still mostly left to the initiative of the tutor.

Regarding the portability of funded research projects in relation to Art. 7 par. 4 of Law 240/2010, in February 2010 the Board of Governors of Politecnico di Torino decided to consider that, apart from the cases where financing is paid solely to the individual researcher, because of the particular nature of the research project (such as in the above-mentioned IDEAS projects) excepted the case where the portability of projects has been expressly excluded (as in the case of the mentioned PRIN and FIRB projects), portability must comply with the procedure for amendment of the contract and, in particular, the request should be formally adopted:

- by the legal representative of the institution or its delegate, upon resolution of the Board of Governors;
- by the same consortium with which the institution shares responsibility for the project activities;
- by the funding body that evaluates the importance of the involvement of that particular institution for the purposes of achieving the objectives laid down by the contract and the adequacy of the proposed institution.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The perception is that it is not positive to include intersectoral mobility in one's career, which causes a temporary leave from the University to gain expertise in the private sector. The Italian university system is indeed still very loath to recognize and acknowledge the value of professional experiences gained beyond academic research, even temporarily.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Given the constraints imposed by national legislation, the principle is substantially implemented. Support for mobility could be further enhanced through a dedicated helpdesk for outgoing mobility of research staff of the University and a better coordination of the dissemination of funding opportunities for international mobility.

### **30. Access to career advice**

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

### **UNIVERSITY POLICY ON THE SUBJECT AND PRACTICES:**

For the description, please see what was already described for principle 28, "Career development".

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP:**

A lack of services aimed at post-docs and poor communication on career development opportunities outside the University has been highlighted.

The services provided by the Internship and Job Placement Office are perceived as addressing only undergraduates.

The information and support service provided by the International Affairs Area and by the Research Support and Technology Transfer Area, on national and international funding opportunities targeted to individual researchers, is appreciated.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Problems are found in the lack of funds targeted to national initiatives aimed at career development, which tend to focus on graduates, while in the past were addressed also to PhD candidates.

### **31. Intellectual Property Rights**

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

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

In addition to what has already been described for principle 8, "Dissemination and exploitation of results", the national legislation with Law 633/41 regulates copyright matters, while at the European level the main reference standards are the European Commission's Communication "Towards a better access to scientific information: increase the benefits of public investment in research", the European Commission's Recommendation "on access to scientific information and on its preservation" and the "Guide to Intellectual Property Rules for FP7 projects" of the European Commission.

As already mentioned, the national legislation on industrial property rights is the Code of industrial property rights (Leg. Decree 30/2005).

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The University regulation on intellectual and industrial property regulates this issue (as described in section 8).

The Regulation for allocating Research Grants provides that intellectual property rights for the results achieved by research fellows within the research carried out on behalf of Politecnico di Torino belong to the University except the moral right to be recognised as the author or inventor.

The Technology Transfer Division offers special assistance and organises information and training initiatives on management and exploitation of industrial and intellectual property issues aimed at internal personnel. Ad hoc training courses on these subjects are offered to students regularly.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified. The incubator activity is noted as a best practice for its effective support for the exploitation of the results.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle seems to be implemented; however has been expressed a request for the strengthening of best practices related to scientific publications and for the preparation of guidelines on how to help the authors acquiring greater awareness of their rights and on which actions can be implemented with regard to intellectual and industrial property rights.

### **32. Co-authorship**

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

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

ANVUR (Evaluation Agency of the University and Research System in Italy), in the process of evaluating the Quality of Research (2004-VQR 2010), provided special indicators that take into account the presence of co-authors of publications pertaining to foreign entities.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The University criteria include, in the evaluation of publications aimed at rewarding structures, a number of additional points to those publications that have external co-authors with international prestige.

The Regulation for allocating Research Grants recognises to researchers the right to publish as co-author the results of their research activities.

Scientific publication by doctoral candidates is strongly encouraged, considered both as one of the elements for the calculation of the Fund for Financing Teaching and an element for the evaluation of doctoral courses by the Doctorate School. Each PhD programme identifies its criteria and some courses have introduced the requirement of a minimum number of publications per year.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially applied.

### **33. Teaching**

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

The matter is regulated at a national level:

- by the law 210/1998 which ensures that doctoral candidates are involved in limited and integrative teaching activities, in order to not affect their research training activities;
- by the law 240/2010 which regards: the title of *Professore aggregato* to permanent researchers and the provision of additional remuneration for being appointed course teachers; the constraints on teaching carried out by temporary researchers.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

The University policy concerning teaching is clear and well-defined:

- Art. 6, par. 2 of the Regulation for research fellowships provides the possibility to carry out teaching;
- the Resolution of the Board of Governors dated 25 July 2012, as amended by Rectoral Decree 178 dated 31.07.2012, sets the maximum number of teaching hours that PhD candidates and research fellows can carry out, in order to avoid an excessive commitment to these activities, and defines the University hourly fees;
- the Regulation of Politecnico for the recruitment of temporary researchers states that temporary researchers can be appointed course teachers;
- the Regulation of Politecnico on the teaching activity of permanent researchers provides for additional remuneration in case of they are appointed course teachers (Art. 5) and establishes that teaching duties shall limited to no more than 60 hours (Art. 3).

The proposed addition to the existing policy is intended to ensure that the student's main occupation is finishing their doctoral degree. The intent is to ensure that student's best interest in this regard, are protected. Granting a second or third extension because a student's progress has been slowed by teaching responsibilities is undesirable and in some cases, in contravention of policy. The proposed addition to the existing policy is intended to reduce the number of times a second or third extension is necessary.

A doctoral student who has been admitted to candidacy may be granted an appointment as a part-time lecturer, with teaching duties to be limited to no more than six credits of undergraduate coursework per term.

As a general principle, teaching responsibilities grow along with career progression, paying attention to fixed-term staff who is protected and for whom there is an economic reward, as detailed below.

With regard to the control of the number of teaching hours carried by a young researcher, both the law and the internal regulations of the University guarantee that the PhD candidate's and research fellow's main occupation is carry out research and/or research training. The Regulation for doctorate states that "having obtained the permission of the Doctorate Academic Board, the PhD candidate may support activities of teaching and research within the limits set by the Board of Governors. Such work should not in any case prevent doctoral candidates from carrying out research training activities". The Regulation for research grants provides the possibility for research fellows to conduct with students research pertaining to their thesis and to carry out teaching activities (only teaching support activities such as seminars and workshops) limited to no more than 60 hours per academic year. Research fellows may, exceptionally, be appointed course teachers.

As far as regards that young researchers receive an adequate remuneration for the teaching activities carried out, the reduction of national funding does not allow to provide a very high hourly compensation. However, this situation is common also to senior researchers: even the supplementary teaching wage for a professor is much less than in the past. The University has solved this problem by varying the compensation for young researchers (PhD candidates and research fellows) in such a way that, even if small, they meet a more than reasonable proportion of the compensation foreseen for teachers and researchers. For example, the hourly remuneration for the teaching of a research fellow is equal to 90% of that of a professor or researcher; while the PhD candidate's hourly remuneration is equal to 75%. The above example demonstrates the great attention paid by the University to its fixed-term researchers. As for young researchers, working as permanent researchers or as temporary researchers, they receive the same hourly compensation as First and Second-segment professors. Moreover, pursuant to Law 240/2010, permanent researchers who agree to be appointed teachers for more than one course receive additional remuneration.

Unfortunately the current National Scientific Qualification, aimed at accessing the permanent researchers positions, placed less attention to the teaching activities carried out, while the Regulation

for calling First and Second-segment professors of our University considers teaching as one of the priority aspects in the evaluation.

With regard to suitable training for teaching activities, a course on 'train the trainers' has been offered at the doctoral level in the past, attended by 90% of the PhD candidates. The same course has not been offered anymore being afraid of sending a contradictory message to the real possibility of pursuing research careers in universities after obtaining the doctoral degree.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The path which led to the drafting of the present Regulation for teaching our University should be noted as a good practice. This was reached through a Joint Committee where the researchers were able to bring their own voices.

The lack of teacher training is identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is largely implemented, although the activity of "training the trainers" at the University is seen as lacking.

#### **34. Complaints/appeals**

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

#### **REGULATORY CONSTRAINTS AND OPPORTUNITIES**

Law 240/2010 provides for the establishment of a University Disciplinary Committee, in accordance with the principle of peer review and debate.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Art. 16 of the Statute of Politecnico di Torino provides for the establishment of the Academic Disciplinary Committee and Art. 23 for the University Student Ombudsman appointed by the Joint Committee for Teaching.

The University Teaching Regulation also provides that students, including PhD candidates, are subject to the disciplinary jurisdiction of the Rector and the Academic Senate.

The Senate has representatives of the various categories of personnel, elected by peers, which can be useful for discussion of problems and situations not only of a contractual nature.

The principle is not governed by a specific rule in the Regulation of Research Grants or of the Doctorate School. In case of complains, PhD candidates may first contact their tutor or Course Coordinator or the School Director.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

The lack of an impartial figure is identified, who would in first instance help solve disputes avoiding legal actions.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

Some problems are identified due to the fact that there is not an impartial figure external to the University dedicated to deal with complaints and appeals.

### **35. 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.

## **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

In accordance with national legislation, the Statute and the General University Regulations establish the governance structure of the University and the composition of the governing bodies.

The Academic Senate is the governing body of the University that represents the community of personnel and students of Politecnico di Torino.

The Statute also provides that a representative of the research fellows must be member of the Council of Department and that PhD candidates can elect their representatives in the governing and evaluation bodies, teaching structures and other external bodies.

## **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

## **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially implemented.

## IV. Training

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### **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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Each PhD candidate works under the supervision of an academic tutor, to whom he/she reports regularly on the progress of the research. In projects in which companies are involved, there is often also a tutor from the company. At the end of each year the doctoral candidate is required to submit to the Academic Board a detailed report on the training and research activities conducted. Admission to the following year (or to the final exam in case they are third-year PhD candidates) is granted to doctorate students that have received a positive evaluation of the report by the Academic Board and have acquired the required number of credits. The PhD Regulation provides that PhD Programmes must prove to have enough tutors compared to the number of doctoral candidates. Tutors must have documented scientific production related to the last five years in the cultural area of the course.

The Regulation for allocating research grants provides that the research fellows collaborate in research activities according to the advice and under supervision of the scientific responsible; the research fellow has the obligation to submit a detailed written report annually on his/her research which will be evaluated by the scientific responsible. At the end of the contract, the activity undertaken by the research fellow is evaluated by a Special Committee appointed by the pertinent structure.

The University Regulation on temporary researchers provides that researchers organize their work in agreement with the Head of Department and the project /research-programme responsible.

Where required, the research activities performed must be certified monthly by the researcher himself/herself and validated by the research-programme responsible or by the Head of Department. Moreover, the 'University timesheet system' is used in order to record working time devoted to research.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially implemented.

### **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.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

It is an established practice that whoever has more seniority acts as the leader of a research group and, as such, has a responsibility to foster the professional growth of less experienced researchers, ensuring the necessary resources and a supportive work environment.

Both the Ministerial Regulation providing the criteria for the allocation of the national scientific qualification for access to First and Second-segments of the University professors and that the University Regulation for their enrollment indicates, among the evaluation criteria, the ability to manage a research team and experience as supervisor of PhD candidates.

Each year PhD candidates will be asked to fill out an anonymous questionnaire which regards also their relationship with the tutor. The results are then presented to the Board of the Doctorate School.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially implemented, although the possibility to express anonymously any critical situations could improve the perception of complete implementation.

### **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.

#### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

Strengthening and updating his own skills are common practices at the University.

PhD candidates are students, therefore courses, seminars and conferences are part of their study plan. Each year Politecnico di Torino allocates a small budget for each PhD candidate for their registration and participation in conferences and symposia. The Departments also organise periodically seminars, conferences, symposia and workshops for both upgrading and disseminating the culture, advertised and open to all the staff.

Info-day and training courses in transferable skills (such as fund raising, IPR, project management) are organised regularly by the Research Support and Technology Transfer Area.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified especially with regard to the abundant supply of internal training offered at Politecnico. Participation in events external to Politecnico is limited by budget constraints.

## LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER

The principle is basically implemented.

### **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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

"Research training" is ensured through the work carried out daily in a research group.

In 2011 the Internship and Job Placement Office offered to postdocs and PhD candidates a programme to support the transition from academia to the labour market, with an investment of about € 200,000.

The Doctorate School organises specific courses within the initiative of the Piedmont Region 'Advanced Training' (*BAF-Bando Alta Formazione*), funded by the European Social Fund. These courses aim at integrating traditional doctoral programmes with specific activities such as individual counselling, specialized training and internships in a company, aimed at favouring the inclusion of research staff in companies.

### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

There is a lack of support to young researchers for the identification and communication of their own competencies and skills. Strengthening this support would increase their employment opportunities and help them identify weaknesses and professional skills that they need to improve.

## LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER

The principle is basically implemented, but more investments in counselling services would be useful.

### **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.

### **UNIVERSITY POLICY ON THE SUBJECT AND CURRENT PRACTICES**

As detailed in the comment to principle 36. "Relation with supervisors" a supervisor for non-tenured staff is always clearly identified.

The Regulation for the allocation of research grants provides that structures must identify, for each research fellow, a scientific responsible under whose guidance and direction the tasks assigned must be carried out.

Each PhD candidate works under the supervision of an academic tutor, to whom he/she reports regularly on the progress of the research. In projects in which companies are involved, there is often also a tutor from the company. At the end of each year the doctoral candidate is required to submit to the Academic Board a detailed report on the training and research activities conducted. Admission to the following year (or to the final exam in case they are third-year PhD candidates) is granted to doctorate students that have received a positive evaluation of the report by the Academic Board and have acquired the required number of credits. The PhD Regulation provides that PhD Programmes must prove to have enough tutors compared to the number of doctoral candidates. Tutors must have documented scientific production related to the last five years in the cultural area of the course.

The Regulation for allocating research grants provides that the research fellows collaborate in research activities according to the advice and under supervision of the scientific responsible; the research fellow has the obligation to submit a detailed written report annually on his/her research which will be evaluated by the scientific responsible. At the end of the contract, the activity undertaken by the research fellow is evaluated by a Special Committee appointed by the pertinent structure.

The University Regulation on temporary researchers provides that researchers organize their work in agreement with the Head of Department and the project /research-programme responsible.

Where required, the research activities performed must be certified monthly by the researcher himself/herself and validated by the research-programme responsible or by the Head of Department. Moreover, the 'University timesheet system' is used in order to record working time devoted to research.

The Academic Board of the Doctorate School assigns an academic tutor to each PhD candidate, by ensuring to limit the number of PhD candidates for each tutor. The Academic Board is responsible for evaluating that the tutor is sufficiently expert and committed to his/her supervisor duties.

#### **THE PERCEPTION OF THE CHARTER THROUGH THE ANALYSIS OF THE FOCUS GROUP**

No problems have been identified, although it would be useful to establish a standard procedure for the management of the relationship between the supervisor and the temporary researcher (e.g., periodicity of meetings and reports; nature and length of reports; etc.) to create a 'standard supervisory relationship' at the University level.

#### **LEVEL OF IMPLEMENTATION OF THE PRINCIPLES OF THE CHARTER**

The principle is substantially implemented, although it could be improved through better standardization of the role of the supervisor.

**III. SUMMARY DIAGRAM OF THE LEVEL OF IMPLEMENTATION OF THE PRINCIPLES**

<p><b>PRINCIPLES ALREADY ADOPTED BY THE UNIVERSITY</b></p>	<p><b>PRINCIPLES NOT COMPLETELY IMPLEMENTED BECAUSE OF CONFLICTS WITH NATIONAL LAWS</b></p>	<p><b>PRINCIPLES NOT YET FULLY IMPLEMENTED AND FOR WHICH GREATER IMPLEMENTATION ACTIONS COULD BE PROVIDED</b></p>
<p>4, 5, 6, 7, 10, 11, 12, 18, 20, 21, 24, 27, 32, 35, 36, 38</p>	<p>14, 15, 16, 17, 19, 22, 25, 26, 28 (as regards constraints on access to permanent positions)</p>	<p>1, 2, 3, 8, 9, 13, 23, 28, 29, 30, 31, 33, 34, 37, 39, 40</p>