

## TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review:

Universitat Internacional de Catalunya, Fundació Privada

Organisation's contact details:

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Web-link to published version of organisation's HR Strategy and Action Plan:

<http://www.uic.es/en/research/hrs4r>

Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup>

<http://www.uic.es/en/research/hrs4r>

**SUBMISSION DATE TO THE EUROPEAN COMMISSION: 10/07/2017**

### 1. ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organisation. Figures marked \* are compulsory.

| <b>STAFF &amp; STUDENTS</b>   | <b>FTE</b>   |
|---|--------------|
| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research                            | *354         |
| Of whom are international (i.e. foreign nationality)  | *31          |
| Of whom are externally funded (i.e. for whom the organisation is host organisation)   | *15          |
| Of whom are women   | *183         |
| Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. | *131         |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level  | *101         |
| Of whom are stage R1 = in most organisations corresponding with doctoral level  | *122         |
| Total number of students (if relevant)  |              |
| Total number of staff (including management, administrative, teaching and research staff)   | *969         |
| <b>RESEARCH FUNDING (figures for most recent fiscal year)</b>   | <b>€</b>     |
| Total annual organisational budget  | 45.609.980 € |
| Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)  | 999.027€     |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)            | 759.016€     |
| Annual funding from private, non-government sources, designated for research  | 1.326.246€   |

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

**ORGANISATIONAL PROFILE** (a very brief description of your organisation, max. 100 words)

Universitat Internacional de Catalunya (UIC), established in 1997, is a young nonprofit private university with more than 7.000 students and around 590 teaching and research staff. The university has two campuses with 7 Faculties, 2 Schools and 5 Institutes. It offers 14 degree programs, 8 dual degree international programs and a wide range of master's and postgraduate degrees. The Barcelona Campus is our most cosmopolitan campus with a total constructed surface area of 24.477m<sup>2</sup>. The Sant Cugat Campus is situated inside the grounds of the Hospital Universitari General de Catalunya with an area of academic use of more than 15.000m<sup>2</sup>.

## 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE (NARRATIVE)

*Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organization in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.*

In the Action Plan drawn up in 2017 in order to obtain the HR excellence award, UIC, after conducting its internal Gap Analysis, identified 14 actions to be implemented during the period 2018-2020 that would address the weaknesses and priorities resulting from this initial analysis. The actions under the Action Plan encompassed the four main areas of the Charter and the Code of researchers.

As defined in the Action Plan, the Vice-Rectorate of Research, Innovation and Knowledge Transfer (VRIT) appointed a committee for the implementation of HRS4R, responsible for initiating the actions. This committee is composed of staff from the units and services responsible for implementing the actions (VRIT, Vice-Rectorate for Academic Affairs (VOAP), Faculty Boards, Library, IT...) met quarterly to coordinate the process of implementation of the actions and check on progress. The minutes of these means have been compiled and archived by the HRS4R coordinator and are available to the European Commission evaluators on request.

This committee, instead of including all kinds of researchers, compromised, members of the Faculty Boards (usually R3 or R4), since as representatives of the faculties they could communicate the importance of the process as a whole to the other researchers. In addition, the whole research community (R 1 through R4) was included in a second survey of the 40 principles before the end of the two years.

As it was noted that many training activities are still required in relation to the four thematic areas of the Charter and Code, a new training programme led by the VRIT ("Training Open Program", or TOP) is being developed, that will encompass these and give them greater visibility. This document will make reference to this at several points.

Ethical and professional aspects:

The majority of the actions related to the ethical and professional responsibility of researchers have been carried out as scheduled.

Notwithstanding this, following the HRS4R process recommendations, we have carried out a new Gap Analysis to assess the results of actions currently being undertaken and propose new ones.

To our satisfaction, many of the shortcomings identified in the previous analysis have been resolved with the current Action Plan. According to the new survey, issues such as Contractual and legal obligations (5), Public engagement (9) or Assessment systems (11) no longer pose a problem to the university.

The researchers are supported by administrative and technical staff of the VRIT in complying with **the contractual and legal obligations (5)** of their research.

**Public engagement (9)** does not represent a gap this time. However, we would like to stress the importance of ensuring research reaches society by means of a training plan that focuses on these aspects.

The point **Evaluation Systems (11)** has been resolved very satisfactorily. New In-house Teaching Staff Regulations have been established that accord greater importance to external accreditations and are more objective in their assessment. In addition, junior researchers now carry out more research.

On the other hand, this new analysis has brought to light gaps in points that had been deemed to have been solved. For example, **Professional responsibility (3)**, **Good practice in research (7)** or **Dissemination, exploitation of results (8)**. The greatest emphasis will be given to actions in these areas.

The code of **Good practice in research (7)** is being updated to ensure this point and that of **Professional attitude (4)**. The university's Research Ethics Committee also plans to run training on these practices. UIC's new regulation in intellectual property rights is also posted on the Intranet, in order to ensure **Professional responsibility (3)**, however, we have identified a lack of knowledge by some sectors of the scientific community that will be addressed through training as part of the VRIT's TOP program. An Office of Sustainability and Cooperation has also been set up. This office aims to ensure that the entire institution firmly commits to working on sustainability issues, thus ensuring points such as **Good practice in research (7)** and **Public engagement (9)**.

In addition, with regard to good practices, the university's IT service provides support systems to minimise potential IT problems and is still working on a new document management system, since the vast majority of the documents are not saved on the internal systems. In this regard, UIC has launched an e-admin project that will start to show results over the next few months, and which will simplify the internal procedures.

Moreover, in order to meet the need for **dissemination and exploitation of results (8)**, the Library has run workshops for training in Open Access (some involving CSUC). In addition, an innovation hub of a marked social nature is being set up by VRIT to assist researchers in exploiting their research results.

Although the previous analysis reflected a sound knowledge of the committees of **Ethics in Research (2)**, they have been given more visibility. <https://www.uic.es/en/bioetica/comite-etica-recerca-cer>.

Lastly, and although this does not represent a gap, we seek to review the International University of Catalonia's Action Plan for Equal Opportunities which was created in 2009, in order to continue to ensure the principle of **Non-discrimination (10)**.

To sum up, UIC has many institutional regulations, committees and plans in place that guarantee ethical and professional issues. However, work continues on actions such as a welcome service for new researchers, training through the new TOP program and also by other areas such as the Library, as well as reorganisation of the website to increase researchers' awareness. Lastly, VRIT has recently begun publishing a weekly newsletter featuring the details of the institution's most significant research input and output, which has been very well received.

#### Recruitment and selection:

Work has been done in conjunction with the VOAP to correct the shortcomings in this area. There appeared to be a lack of knowledge about the offers and, therefore, of the selection system as a whole, which is why the efforts in this area were aimed at making job offers more visible as well as giving greater feedback to candidates. It was also intended to make the selection panels more transparent to these candidates by publishing the CVs of the panel members, but this is a step that will be taken once the internal recruitment guide is published.

The first point that no longer appears as a Gap for the university is **Recruitment (12/13)**. Work has been done on an internal recruitment guide that addresses the issues contained in OTM-R. This guide, which defines all the stages of recruitment, is already being used by VOAP and VRIT for recruiting researchers.

The points of **Judging merit (16)** and **Recognition of qualifications (19)** also seem to be solved. This is undoubtedly due to the application of the OTM-R procedures. For permanent positions, a public defence is made before a selection panel. This guarantees that the candidate is judged, not only the basis of their CV but also on other merits (16) that cannot be appreciated in a CV. Moreover, recognition of qualifications (19) is shown through the importance given to any qualifications in the job offer.

On the other hands, **Selection (14)** and **Transparency (15)** are still regarded as gaps. As the selection process is very new, many researchers are not aware of the existence of the committees. Thus, a new action is proposed consisting of publication of the internal recruitment guide and sharing it with researchers. The guide sets out the make-up of the selection committees according to type of researchers (R1-R4) and provides a template for job offers, which includes the description of the position and the selection criteria. With regard to the UIC's predoc and postdoc calls, this point is solved, since the selection is clear, and it follows the criteria of public bodies.

Regarding **transparency**, we will have to insist, in the publication of the decisions, on the criteria and priorities being made transparent, the list of those admitted/turned down and facilitating the contesting of the decision. However, it should be noted that overall, the process is functioning with very good and much improved transparency: for hiring permanent staff, the position is publicly advertised on the UIC website, EURAXESS and other portals, and the candidate is selected through a public defence. Whereas in the selection for UIC's predoc and postdoc positions, the prioritisation criteria and the decisions are published on UIC's website. Another action will be to post UIC's announcements for predoc and postdoc positions on EURAXESS to attract more international researchers.

The rest of the principles are still guaranteed: Merits are assessed based on suitability for the work to be carried out, without penalising **Chronological variations (17)**. **Mobility (18)** is taken into account both in prioritising applications and in the annual review of researchers. **Seniority (20)** is valued, as is the candidates' career path. The only point that has had to be reconsidered is **Postdoctoral appointment (21)**. To address this, a Research Committee will be set up, which will set professional goals for researchers, create a training plan and further develop the mentoring plan, among other responsibilities.

Working conditions:

In this area, the current Action Plan appears to have covered many of the previous gaps:

Issues such as **Research environment (23)** and **Working conditions (24)** have significantly improved. The UIC has invested in improving its facilities in Sant Cugat, providing suitable research equipment to many faculties. With regard to working conditions, employees have increasing flexibility in their hours and telework is being considered for specific circumstances.

The current COVID19 crisis has shown that the implementation of teleworking has not entailed any significant drawback, except for certain types of work, such as laboratory work, that must necessarily be carried out on-site. However, even in this area, there has been good coordination by all the levels involved to ensure facilities and experiments are maintained. In this regard, great efforts are also being made to improve the university's IT tools.

As we noted in the previous Action Plan, **Employment stability (25)** is determined by law and financial resources, and it has not been possible to guarantee minimum 4-year contracts for R2-R3 researchers, as the financial resources vary annually according to the number of enrolments. Notwithstanding this, it appears that researchers regard this problem as solved, as they are better informed as to how to pursue an academic career at UIC.

The university continues to encourage **Mobility (29)** with specific calls for scholarships and the new In-house Teaching Staff regulation defines the system for research stays, study permits and sabbatical courses. The new regulations have also increased the time spent on research by junior researchers, which means that there is no longer a feeling of excessive hours of **Teaching (33)**, while the academic dedication plan protects young researchers' time spent on research.

A specific section has been created for the **Ombudsman (34)** on the university's website. On the other hand, a mentoring plan has been initiated, which will include surveys to find out the relationship between researcher and mentor, enabling potential conflicts between researcher and mentor to be brought to light.

New actions are, however, required, to guarantee the continued achievements of the points in this section, particularly with regard to **Career development (28)** and **Access to career advice (30)**, which it is planned to develop as part of the mentoring plan. This mentoring plan, although it is included as an action in the current Action Plan, has not yet been fully implemented across the faculties, and many researchers need this mentoring to set their career goals.

On the other hand, researchers believe that they lack guidance in exploiting their research and are lack knowledge of their **Intellectual and industrial property rights (31)**. To ensure this principle, an improved communication of the services offered by VRIT is proposed, plus an Innovation Hub has been created for the exploitation of the researchers' results.

Lastly, the new survey highlights that young researchers do not feel represented in **Decision-making (35)**. Although they cannot currently form part of the decision-making bodies, researcher committees will be established who will liaise with the Faculty Boards and convey their proposals.

Training and development:

Almost all the principles in this final section had weaknesses.

The mentoring plan and Doctorate School enable researchers to have a **Structured and regular relationship with their supervisor (36)**. This relationship is recorded in several ways. Thus, with respect to R1, there are annual reports (DAD) about the research plan and researcher training activities. The other teaching and research staff are monitored through the mentoring plan, for which there are three annual meetings put on record (one for setting goals, another for follow-up and the last to check whether the goals set have been achieved) in a computer application specifically created for the programme.

According to the new survey, **Supervision and managerial duties (37)** have also been improved, but there is a long way to go for the other principles to be guaranteed.

**Professional development (38)** and **Access to research training (39)** are to be guaranteed through TOP, the research training program headed up by VRIT and agreed with the Doctorate School. Other initiatives have also been launched to enhance researcher training, such as courses run by VIRT, the university's Gaudí programme, or the promotion of conferences held by public institutions.

Have any of the priorities for the short- and medium term changed?

The change of Vice-Rector has created an opportunity to obtain an outside view of the HRS4R process. The perspective of the new Vice-Rector has led mean we have homed in on issues that we were already addressing, but less directly. The greatest shortcoming of our university is communication, both internal and external. Many actions established for HRS4R were already underway, but they must:

1. Reach the whole university community. This requires bigger and wider dissemination of everything done by VRIT: calls, courses, procedures, regulations (intellectual property), services (such as the new Social Innovation Hub). With this in mind, the following actions have been prioritised: 1 (Improved visibility/ improved website), 7 (Better communication of the facilities that UIC Barcelona can provide for research) and 14 (Information on the training

offered by UIC). A specific action has also been proposed to inform on the whole HRS4R process: (17) HRS4R Communication Plan, to strengthen the communication of topics covered in HRS4R: Good Practices in Research, Mentoring Plan, etc.

2. Gain the necessary momentum. In order for the whole HRS4R process to be developed, the university's decision-making bodies must be aware of its existence and importance. Therefore, an initial step was to include the members of the Faculty Boards (usually R3 or R4) as representatives of the implementation committee. In addition, the directors of the services involved in the implementation have also been included on the committee.
3. The above sought to strengthen the overall implementation of the Action Plan rather than to prioritise a specific action. Lastly, it is viewed as necessary to set up a Research Committee that encompasses cross-disciplinary discussion regarding the institution's research and transfer model, creating a smooth, transparent and ongoing communication channel between the Governing Board, research staff and research bodies (groups, institutes, chairs and scientific and technical services).

Have any of the circumstances in which your organization operates, changed and as such have had an impact on your HR strategy?

At the time of the interim review, most of the actions have been completed in accordance with the previously established schedule, while some have had setbacks as a result of both internal and external factors.

Internally, the UIC has undergone a number of major changes in its organisation over the last year: the change of Vice-Rector of Research, Innovation and Transfer of Knowledge and the restructuring of administrative staff within Research. The impact of these changes on the HRS4R strategy has been positive, as this project has been accorded the necessary importance.

Externally, UIC, like other institutions in Catalonia, has been affected by the political unrest caused by the worsening of the relationship between the Catalan regional government and the Spanish government. In addition, the current shutdown of the country due to Covid-19 has disrupted the normal functioning of the institution and forced us to complete many actions in the revised action plan.

Despite these problems, the Vice-Rector and UIC have sought to reaffirm the institution's commitment to the principles included in the Charter and Code and the ongoing work required to achieve the targets set out in the initial plan.

The Steering Committee has worked hard to bring the actions back up to speed, and, among other things, has been able to initiate the transparent and merit-based open recruitment policy.

Are any strategic decisions under way that may influence the action plan?

One of the pillars of UIC's strategic plan is researcher training. For this reason, we are looking to enhance point 2 of the Action Plan: researcher training actions and sessions. In order for training to be centralised in one department, the VRIT will lead this plan and is working on organising a transversal, cross-disciplinary training programme regarding research and knowledge transfer.

This programme, TOP (Training Open Program), aims to ensure that both research staff and administration and service staff progress in the line of the institution's research strategy.

In particular, the UIC is in the process of creating an interdisciplinary research area that transcends the traditional structures of the faculties, which are largely focused on teaching, while working closely alongside them in all the actions. This will be accomplished, in particular, through strengthening research institutes and groups as core elements of the activity, and will prepare the university to face global challenges such as the achievement of the 2030 Agenda SDGs, the social dimension of its transfer activity and the full internationalisation of its research staff.

### 3. ACTIONS

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered, omitted or added, please provide a commentary for each action: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings:

| Proposed actions                        | Details   | Gap Principle (s)  | Timing   | Responsible Unit  | Indicator (s) / Target  | CS * | Remarks   |
|---|---|--|--|---|---|------|---|
| 1. Improved visibility-Improved website | <p>1/2) The university is committed to uploading to its website every piece of legislation that refers to research, apart from developing the research intranet, adding and reorganising documents.</p> <p>3) The research website will also be reorganised to make job offers more visible.</p> <p>4) Lastly, a researcher support section will be created within the library website.</p> | <p>Gaps solved: 5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 13. Recruitment (Code) 25. Stability and permanence of employment, 30. Access to career advice, 31. Intellectual Property Rights.</p> | 4th QUARTER (October, November, December 2018) | Library, DIRCOM and VRIT (Vice-Rectorate for Research, Innovation and Transfer) | <p>Indicator:</p> <p>1) URL of the website section.</p> <p>2) Number of documents added to the intranet.</p> <p>3) Number of hits on job offers.</p> <p>4) Creation of the library's researcher support website</p> | C *  | <p>1) URL of the website section: There is no url with the regulation because the vast majority of regulation is internal to UIC. For this reason, they have been uploaded to UIC's intranet, to which all the university community has access. This is why all the documents generated by the process (new code of good practices, welcome guide...) are posted in the section dedicated to the HRS4R (New action).</p> <p>2) Number of documents added to the Intranet: 8 new documents have been uploaded to the Research Intranet (Intellectual Property and Industry Regulation, Mobility Regulation...) and it is intended to continue posting regulation relating to research.</p> |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| Proposed actions                 | Details   | Gap Principle (s)  | Timing   | Responsible Unit   | Indicator (s) / Target   | CS * | Remarks   |
|----------------------------------|---|--|--|--|--|------|---|
|                                  |   |  |  |  |  |      | <p>3) Number of entries for job offers:<br/>The web has been reorganised to make UIC calls more visible:<br/><a href="https://www.uic.es/ca/recerca/convocatories">https://www.uic.es/ca/recerca/convocatories</a><br/>As a result, the number of applications for the calls have gone up. For example, for predoc:<br/>PREDOC 2017/18: 4 candidates<br/>PREDOC 2018/19: 18 candidates<br/>PREDOC 2019/20: 21 candidates</p> <p>4) Creation of the library's researcher support website:<br/><a href="http://biblioguias.uic.es/apoyo_a_la_investigacion">http://biblioguias.uic.es/apoyo_a_la_investigacion</a></p> <p>5) Creation of a research newsletter (New action)</p> |
| 2. Actions and training sessions | 1) Training programmes will be run (Gaudí programme) aimed at researchers who join UIC Barcelona as doctors to advise them on how to develop their research career within the university. | Gaps solved: 5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 33. Teaching, 28. Career | 4th QUARTER (October, November, December 2018) | VOARI (Vice-Rector for Academic Organisation and International Relations) /SIQE/ VRIT (Vice-Rectorate of Research, | Indicator:<br>1) Number of courses (Gaudí programme) run.<br>2) Number of people attending the seminars on the exploitation of results | E *  | 1) Number of courses (Gaudí programme) run:<br>YEAR 2016/17: 26 Lecturers from the Faculty of Dentistry<br>YEAR 2017/18: 11 Social Sciences Lecturers: Business Administration and Management, Law, Communication and Education   |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| <i>Proposed actions</i>  | <i>Details</i>   | <i>Gap Principle (s)</i>   | <i>Timing</i>                                  | <i>Responsible Unit</i>                             | <i>Indicator (s) / Target</i>                      |  | <i>CS *</i> | <i>Remarks</i>   |
|--|--|--|--|---|--|--|-------------|--|
|  | <p>A pilot programme has already been running and it is hoped that this can now be rolled out in every Faculty.</p> <p>2) The VRIT will run seminars (once a year) on how to exploit results.</p> <p>3) Cross-curricular training. An expert member of the UIC Barcelona teaching and research staff will be used to give classes in Faculties other than their own.</p> | <p>development, 38. Continuing Professional Development, 39. Access to research training and continuous development.</p> |  | Innovation and Knowledge Transfer)/Doctorate School | 3) Number of cross-curricular training courses run |  |             | <p>YEAR 2018/19: 10 Health Science lecturers: Medicine, Nursing, Physiotherapy and Basic Sciences</p> <p>2) Number of people attending the seminars on the exploitation of results: 47 Gaudí Training</p> <p>3) Cross-curricular training courses. Business Administration and Management offers summer courses in research methodology aimed at the entire university: two courses have been run</p> <p>4) Development of the new TOP training program (New action)</p> |
| 3. Action and training sessions aimed at departments connected with research | 1) Running training courses subsidised by HR to give the DIRCOM department a deeper insight into the subject of research.  | Gaps solved: 9. Public engagement.   | 8th QUARTER (October, November, December 2019) | DIRCOM /HR  | Indicator: 1) Completion of training courses       |  | C *         | 1) Running training courses: Instead of running courses within the communication department, the director of the Catalan Foundation for Research and Innovation, Laura Rubio, has been hired as head of the Communication Department.  |

| <i>Proposed actions</i>                    | <i>Details</i>  | <i>Gap Principle (s)</i>   | <i>Timing</i>                                  | <i>Responsible Unit</i>  | <i>Indicator (s) / Target</i>  |  | <i>CS *</i> | <i>Remarks</i>  |
|--|---|--|--|--|--|--|-------------|---|
| 4. Organisation of more events for science | <p>1) Sessions to which public institutions are invited (AGAUR, MINISTRIES, etc).</p> <p>2) A week dedicated to research. UIC Barcelona's researchers will have to make presentations of their projects for the benefit of other UIC members and invited firms. These weeks will also serve as training for point 2 of this plan.</p> | <p>Gaps solved:</p> <p>5. Contractual and legal obligations,</p> <p>9. Public engagement,</p> <p>31. Intellectual Property Rights.</p> | 8th QUARTER (October, November, December 2019) | VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) / FACULTIES | <p>Indicator:</p> <p>1) Number of sessions held</p> <p>2) Seminars run, number of projects presented</p> |  | IP *        | <p>1) Number of sessions held: Sessions have been held, inviting people from public institutions: CSUC to talk about Open Science. AGAUR to talk about the SGR. In addition, researchers at have also been informed of all the training activities that are offered by all these external institutions, for example, to explain the new Horizon Europe framework programme, etc.</p> <p>2) Seminars held; number of projects submitted: The UIC has not yet held any training seminars, but we anticipate we will start to do so over the next three years.</p> <p>3) Shortage of scientific dissemination has been identified, which will be sought to be improved as from the 2020-21 academic year</p> |
| 5. Process for welcoming the researcher    | 1) A welcome letter will be produced for researchers indicating the institutional rules along with their references and links. This   | <p>Gaps solved:</p> <p>5. Contractual and legal obligations,</p> <p>17. Variations in the</p>  | 1st QUARTER (January, February, March 2018)    | VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer)             | <p>Indicator:</p> <p>1) Number of letters distributed over the two years of the plan</p>                 |  | IP *        | 1) Number of letters given out in the two years of the plan: Instead of sending out welcome letters, we are putting together a welcome guide for new researchers, which will explain everything from access to the  |

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| <i>Proposed actions</i>   | <i>Details</i>   | <i>Gap Principle (s)</i>  | <i>Timing</i>                                  | <i>Responsible Unit</i>   | <i>Indicator (s) / Target</i>  |  | <i>CS *</i> | <i>Remarks</i>   |
|---|--|---|--|---|--|--|-------------|--|
|   | information could be presented (in the form of a booklet) to researchers when they sign their contracts with UIC Barcelona.  | chronological order of CVs, 20. Seniority.  |  |   |  |  |             | doctoral school to the career path at the UIC.<br>This guide will explain the support to researchers provided by VRIT and other general information about joining the university.  |
| 6. Undertaking of new research procedures   | 1) Procedures will be introduced to apply for grants for projects or research groups in external competitive calls. A schedule of calls will also be drawn up.<br><br>2) Team meetings involving all academic staff will be encouraged in all Faculties to ensure that researchers are supervised. | Gaps solved:<br>5. Contractual and legal obligations, 30. Access to career advice, 35. Participation in decision-making bodies. | 2nd QUARTER (April, May, June 2018)            | VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer)/FACULTIES  | Indicator:<br>1) Creation of documents<br>2) Minutes of team meetings                    |  | E *         | 1) Creation of the documents:<br>Schedule of calls:<br><a href="https://www.uic.es/progs/obj.uic?id=5dbaacda1cc20">https://www.uic.es/progs/obj.uic?id=5dbaacda1cc20</a><br>Procedure for applications:<br><a href="https://www.uic.es/progs/obj.uic?id=5be30d548309b">https://www.uic.es/progs/obj.uic?id=5be30d548309b</a><br><br>2) Minutes of meetings.<br>This indicator has been replaced by the creation of a mentoring plan, which ensures point 30 (access to career advice) and can be recorded in a computer programme. |
| 7. Better communication of the facilities that UIC Barcelona can provide for research | 1) UIC Barcelona will create a new IT system (ERP) that will raise the profile of the VRIT project tracking application.   | Gaps solved:<br>5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 12.                            | 4th QUARTER (October, November, December 2018) | INFORMATION SYSTEM MANAGEMENT/ VRIT (Vice-Rectorate of Research, Innovation and | Indicator:<br>1) Creation of the ERP<br>2) Number of emails from the PRC research portal |  | E *         | 1)ERP Creation. It has not been possible to create a new ERP for the university, but many efforts are being made to achieve a shared computer system. Regarding research, we have a CRIS (Current research Information System) used to manage and  |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| Proposed actions | Details   | Gap Principle (s) | Timing | Responsible Unit    | Indicator (s) / Target  | CS * | Remarks  |
|------------------|---|-------------------|--------|---------------------|---|------|--|
|                  | <p>2) The research portal will benefit from wider dissemination as it is the tool used by UIC Barcelona to spread the word about its scientific output.</p> <p>3) More access to information about pre- and postdoctoral recruitment will be achieved through providing links to calls.</p> | Recruitment.      |        | Knowledge Transfer) | 3) Number of emails from VRIT giving links to calls, twitter/newsletter |      | <p>disseminate research data: DRAC.</p> <p>2) Number of emails from the PRC: The Research Portal was disseminated through emails every two months (six a year), informing on the uploading of data, and the Research Portal has been linked to the UIC website:<br/> <a href="https://www.uic.es/es/investigacion/apoyo/produccion-cientifica">https://www.uic.es/es/investigacion/apoyo/produccion-cientifica</a></p> <p>3) Number of emails sent by VRIT with links to HR calls, twitter /newsletter: Internal calls have been disseminated through links to the Research website, but we intend to disseminate the calls further through publishing on EURAXESS.<br/> <a href="https://www.uic.es/progs/obj.uic?id=5e1df2c043958">https://www.uic.es/progs/obj.uic?id=5e1df2c043958</a><br/>           We send daily messages with HR calls to public institutions and private foundations with which the UIC has signed agreements.</p> <p>We have also just launched a weekly research newsletter.<br/> <a href="#">Research newsletter</a></p> |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| <i>Proposed actions</i>           | <i>Details</i>  | <i>Gap Principle (s)</i>  | <i>Timing</i>                                  | <i>Responsible Unit</i> | <i>Indicator (s) / Target</i>   |  | <i>CS *</i> | <i>Remarks</i>   |
|-----------------------------------|---|---|--|-------------------------|---|--|-------------|--|
| 8. Open Science                   | 1) An institutional repository will be created that will gather together open access digital publications representing the teaching, research or institutional activities of the teaching staff and other members of the university community.  | Gaps solved:<br>8. Dissemination, exploitation of results.  | 4th QUARTER (October, November, December 2018) | LIBRARY                 | Indicator:<br>1) URL of the repository<br>2) Number of documents uploaded                               |  | C *         | 1) Repository URL:<br>The library has created an institutional repository that compiles open access digital publications.<br><a href="http://repositori.uic.es/?locale-attribute=en">http://repositori.uic.es/?locale-attribute=en</a><br><br>2) Number of documents posted to the repository: 1,066 docs<br><br>3) Active participation in discussions about open science in the Catalan research system  |
| 9. New teaching staff regulations | 1) New teaching staff regulations will be produced that will include topics such as the recognition of qualifications and flexibility of working hours.<br>There will be a section on institutional support that will provide the means of quantifying amounts of management, teaching and research time.<br>The new regulations will | Gaps solved:<br>9. Public engagement, 19. Recognition of qualifications, 24. Working conditions, 25. Stability and permanence of employment, 30. Access to career advice. | 4th QUARTER (October, November, December 2018) | HR                      | Indicator:<br>1) Production of the document<br>2) Number of new team members compared to previous years |  | C *         | 1) Production of documents: New teaching staff regulations have been produced that include topics such as the recognition of internal and external qualifications, the academic career path and the milestones for achieving professional stability.<br><br>These regulations were disseminated with meetings and posted on the UIC intranet:<br><a href="https://www.uic.es/progs/obj.uic?id=5e1df2c043958">https://www.uic.es/progs/obj.uic?id=5e1df2c043958</a> |

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| <i>Proposed actions</i>                      | <i>Details</i>   | <i>Gap Principle (s)</i>  | <i>Timing</i>                                  | <i>Responsible Unit</i>  | <i>Indicator (s) / Target</i>  | <i>CS *</i> | <i>Remarks</i>   |
|--|--|---|--|--|--|-------------|--|
|  | also reflect an increase in the weight given to accredited external sources in respect of assessing teaching and research staff.   |   |  |  |  |             | 100% of new members of staff are accredited for the position they occupy.  |
| 10. Implement some of the practices of OTM-R | <p>1) Job offers will begin to appear on Euraxess.</p> <p>2) The members of the pre- and postdoctoral selection panel will be published along with their CVs (Toni Mora and others).</p> <p>3) Pre- and postdoctoral candidates who are not selected will receive a reply with improved feedback.</p> <p>In terms of the descriptions of the posts available, there will be a guarantee that the level of qualification requested is</p> | <p>Gaps solved:</p> <p>13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit, 25. Stability and permanence of employment, 30. Access to career advice.</p> | 4th QUARTER (October, November, December 2018) | HR/ VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) | <p>Indicator:</p> <p>1) Number of offers posted on EURAXESS</p> <p>2) Description and publication of the selection panel</p> <p>3) Number of emails sent in response to unsuccessful candidates</p> <p>4) Advertisements with a description of the posts.</p> <p>5) Number of temporary contracts issued with a duration of more than one year</p> | E *         | <p>1) Number of job offers posted on EURAXESS: All job offers for UIC teaching and research staff have been posted on EURAXESS.<br/>16/17: 3 offers<br/>17/18: 11 offers<br/>18/19: 20 offers<br/>19/20: 14 offers</p> <p>2) Description and publication of the selection panel: The make-up of the committee has not been made public, however, for stable positions at UIC, a public defence is made, and the details of the selection panel can be consulted.</p> <p>The selection panel members have their CVs posted on the websites of the institutions to which they belong.</p> <p>3) Number of emails sent in response to unsuccessful candidates: We send an</p> |

| <i>Proposed actions</i> | <i>Details</i>   | <i>Gap Principle (s)</i> | <i>Timing</i> | <i>Responsible Unit</i> | <i>Indicator (s) / Target</i> | <i>CS *</i> | <i>Remarks</i>   |
|-------------------------|--|--------------------------|---------------|-------------------------|-------------------------------|-------------|--|
|                         | <p>commensurate with the position on offer.</p> <p>Contracts will be issued for the longest period possible (up to 4 years).</p> |                          |               |                         |                               |             | <p>email with the decisions of the calls and give explanations on request from candidates who have not been selected.</p> <p>4) Advertisements with a description of the posts: We have created a template for job offers, which includes all the required information according to the OTM-R.<br/>This is shared and then checked by VOAP or VRIT.<br/><a href="https://euraxess.ec.europa.eu/jobs/464697">https://euraxess.ec.europa.eu/jobs/464697</a></p> <p>5) Number of temporary contracts issued with a duration of more than one year: We have not been able to issue contracts of more than one year given that the number of staff required varies according to the number of students, making a commitment of this kind unviable. We have taken many other measures to help junior researchers, such as increasing research credits, therefore helping them in their career path and reducing their teaching and management hours.</p> |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| <i>Proposed actions</i> | <i>Details</i>   | <i>Gap Principle (s)</i>              | <i>Timing</i>                               | <i>Responsible Unit</i>        | <i>Indicator (s) / Target</i>                 | <i>CS *</i> | <i>Remarks</i>  |
|-------------------------|--|---------------------------------------|---|--------------------------------|---|-------------|---|
| 11. IT improvements     | 1) Improvements will be made to Wi-Fi connectivity and a new ERP system will be introduced | Gaps solved: 23. Research environment | 1st QUARTER (January, February, March 2018) | INFORMATION SYSTEMS MANAGEMENT | Indicator:<br>1)Connectivity report<br>2) ERP | E *         | <p>1) Connectivity Report: In 2017-18, an investment of € 50,000 was made to extend quality coverage to both campuses. On BCN Campus we have installed: 25 new APs, 8 new high-density APs, 4 switches PoE 48 ports, dual fibre connection between trunk switches with port aggregation, and on Sant Cugat Campus we have installed: 43 new APs, 1 PoE switch 48 ports, 2 trunk switches and 16 fibre optic ports. In 2017-18, an investment of € 44,500 was made to increase the wifi routing capacity. On BCN Campus we have installed: 1 PoE switch 48 access ports and 1 high capacity router and on Sant Cugat Campus we have installed: 19 new APs, 6 new high density APs, 14 existing APs relocated, 2 PoE switches 48 ports, double fibre connection between trunk switches for port aggregation and patch panels and switches have been rearranged.</p> <p>2) ERP: It has not been possible to create a new ERP for the university, but a great deal of work has been put into creating a shared joint computer system.</p> |

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| Proposed actions   | Details   | Gap Principle (s)  | Timing                              | Responsible Unit  | Indicator (s) / Target   | CS * | Remarks   |
|--------------------|---|--|-------------------------------------|---|--|------|---|
|                    |   |  |                                     |   |  |      | In terms of Research, we have a computer program called CRIS (Current research Information System) that we use to manage and disseminate research data. This programme is DRAC: <a href="http://www.uic.es/ca/recerca/suport/producción-científica">http://www.uic.es/ca/recerca/suport/p<br/>roducción-científica</a>  |
| 12. Mentoring plan | <p>1) Training will be given by the VP to department heads to explain how the academic career works.</p> <p>2) A member of the Board of Governors will be appointed to take responsibility for the professional development of researchers (supervisor).</p> <p>3) A document will be produced with a description of what it means to be a research supervisor.</p> | Gaps solved: 25. Stability and permanence of employment, 30. Access to career advice, 37. Supervision and managerial duties. | 2nd QUARTER (April, May, June 2018) | VP/ FACULTIES/ VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) | Indicator:<br>1) Number or existence of sessions<br>2) Annual list of supervisors<br>3) Creation of the document that will define the role of the supervisor | C *  | <p>1) Number or existence of sessions: VOAP has run sessions to explain the new teaching regulations and the functioning of an academic career within the UIC. There have been 6 information sessions for teachers (3 on each campus, depending on the profile of teachers) and one more for center and department managers. Therefore, 7 in total.</p> <p>2) Annual list of supervisors: A list of mentors and student mentored has been drawn up for each faculty. This will be updated at the beginning of each academic year.<br/><a href="https://drive.google.com/open?id=1WhXcQIU2mjlVjjExNd3EeIPI_vD-UT&amp;authuser=rmartinezc@uic.es&amp;usp=drive_fs">https://drive.google.com/open?id=1WhXcQIU2mjlVjjExNd3EeIPI_vD-UT&amp;authuser=rmartinezc@uic.es&amp;usp=drive_fs</a></p> |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

| Proposed actions                                      | Details   | Gap Principle (s)  | Timing   | Responsible Unit | Indicator (s) / Target                                     |  | CS * | Remarks  |
|---|---|--|--|------------------|--|--|------|--|
|   |   |  |  |                  |  |  |      | 3) Creation of a document to define the role of the supervisor: The mentoring plan explains what the mentor is and their role.<br><a href="https://www.uic.es/progs/obj.uic?id=5d36f63da06db">https://www.uic.es/progs/obj.uic?id=5d36f63da06db</a><br>We intend to develop a training plan for the whole university that will include training for supervisors. |
| 13. Promotion of the Ombudsman                        | The figure of the ombudsman will be promoted to researchers as the person to approach with R1-supervisor disputes.  | Gap solved: 34. Complaints/ appeals.   | 8th QUARTER (October, November, December 2019) | OMBUDSMAN        | Indicator: 1) Number of disputes referred to the ombudsman |  | C *  | 1) Number of disputes referred to the ombudsman:<br>-18/19: 0 disputes<br>-19/20: 3 disputes<br>The university's ombudsman has been promoted. It is also planned to develop a mentoring plan that will bring to light any possible conflicts between supervisor and researcher through surveys.  |
| 14. Information about the training offered by the UIC | A document will be produced to explain the service offered by HR (training formerly offered by the old DFAC or department of training, counselling and coaching). | Gaps solved: 38. Continuing Professional Development, 39. Access to research training and continuous | 4th QUARTER (October, November, December 2018) | HR               | Indicator: 1) Number of subsidised courses                 |  | E *  | 1) Number of subsidised courses: Given that this document has not been produced by HR, VRIT has decided to lead the training as regards courses aimed at researchers. This will become a new action in the Action Plan.<br>The TOP program is expected to largely cover this gap   |

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| <i>Proposed actions</i> | <i>Details</i>  | <i>Gap Principle (s)</i> | <i>Timing</i> | <i>Responsible Unit</i> | <i>Indicator (s) / Target</i> |  | <i>CS *</i> | <i>Remarks</i> |
|-------------------------|---|--------------------------|---------------|-------------------------|-------------------------------|--|-------------|----------------|
|                         | There is a specific line of training for research staff in the offer. | development.             |               |                         |                               |  |             |                |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

The actions in the new Action Plan are divided into sections, although some address issues from several sections.

| <i>Proposed actions</i>                                      | <i>Details</i>  | <i>Gap Principle(s)</i>  | <i>Timing</i>                  | <i>Responsible Unit</i>                           | <i>Indicator(s) / Target</i>   | <i>Current status</i> | <i>Remarks</i> |
|--|---|--|--------------------------------|---|--|-----------------------|----------------|
| <b>SECTION I. ETHICAL AND PROFESSIONAL ASPECTS</b>           |   |  |                                |   |  |                       |                |
| 15. Update of the Code of Good Practices                     | Update of the Code of good practices in research and training on these good practices.                | Gaps solved:<br>3. Professional responsibility /<br>4. Professional attitude / 7.<br>Good practice in research | 2 QUARTERS.<br>(November 2020) | VRIT (Ethics Committee)                           | Indicator:<br>1) Updated document<br>2) Number of training days carried out<br>3) Number of participants in the training | N*                    |                |
| 16. Creation of the Office of Sustainability and Cooperation | Creation of an office to ensure entire institution firmly commits to working on sustainability issues | Gaps solved:<br>7. Good practice in research / 9.<br>Public commitment.  | 4 QUARTERS.<br>(May 2021)      | Office of Cooperation and Sustainable Development | Indicator:<br>1) Number of ODS-related publications<br>2) Number of ODS-related theses                                   | N*                    |                |

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|                              |  |  |                           |                         |   |    |  |
|------------------------------|--|--|---------------------------|-------------------------|---|----|--|
| 17. Integrity Code           | Production of a guide that sets out the rights and obligations of the whole university community (at all levels), and a code of conduct.   | Gaps solved:<br>3. Professional responsibility /<br>4. Professional attitude / 7.<br>Good practice in research | 4 QUARTERS.<br>(May 2021) | VRIT (Ethics Committee) | Indicator:<br>1) Production of the document   | N* |  |
| 18. HRS4R Communication Plan | Development of a plan to reinforce the communication of topics covered in the HRS4R: Good practice in research, Mentoring plan, Procedure for applying for research funding, Internal recruitment guide.<br>a) including information in the updated welcome manual and the HRS4R section of the website b) holding sessions on the strategy followed | Gaps solved:<br>7. Good practice in research   | 8 QUARTERS.<br>(May 2022) | VRIT                    | Indicator:<br>1) Number of views of the website.<br>2) Number of information sessions.<br>3) Number of participants in new courses. | N* |  |

\*CURRENT STATUS: C: Completed/ E: Extended/ IP: In Progress/ N: New

|   |   |   |                                |                  |  |     |  |
|---|---|---|--------------------------------|------------------|--|-----|--|
| 19. Training plan focused on public engagement.     | Development of a training plan focused on public engagement.  | Gaps fixed:<br>9. Public engagement   | 4 QUARTERS.<br>(May 2021)      | VRIT             | Indicator:<br>1) Number of courses completed   | N * |  |
| 20. Creation of a Social Innovation Hub             | Creation of a Social Innovation Hub at the UIC with the aim of supporting entrepreneurial proposals to implement them as real projects with a social component. | 4. Professional attitude / 8. Dissemination and exploitation of results / 9. Public commitment / 31. Intellectual property rights | 2 QUARTERS.<br>(November 2020) | VRIT             | Indicator:<br>1) Number of proposals dealt the HUB<br>2) Number of projects implemented. | N * |  |
| <b>SECTION II. RECRUITMENT AND SELECTION</b>        |   |   |                                |                  |  |     |  |
| 21. Dissemination of the internal recruitment guide | Dissemination by the departments and faculties of the new internal recruitment guide, based on the principles of the OTM-R, once approved by JdG.               | Gaps solved:<br>12. Recruitment / 14. Selection / 15. Transparency / 16. Judgment of merits / 19. Recognition of qualifications.  | 4 QUARTERS.<br>(May 2021)      | VRIT / VOAP (HR) | Indicator:<br>1) Number of information sessions.<br>2) Number of participants.           | N * |  |

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|   |  |  |                            |                  |  |     |  |
|---|--|--|----------------------------|------------------|--|-----|--|
| 22. Creation of OTM-R contracting policy                                  | Creation of a transparent and merit-based recruitment policy for the entire university community (PAS and PDI) and its publication on the UIC website. | Gaps solved:<br>12. Recruitment / 14. selection / 15. Transparency / 16. Judgment of merits / 19. Recognition of qualifications. | 8 QUARTERS.<br>(May 2022)  | VRIT / VOAP (HR) | Indicator:<br>1) url of the UIC recruitment policy document  | N * |  |
| 23. Publication of the decision of the PDI positions of the places of PDI | Publication of the decisions of the PDI calls with the candidates' positions   | Gaps solved:<br>14. Selection / 15. Transparency / 16. Judgment of merits / 19. Recognition of qualifications.                   | 8 QUARTERLY.<br>(May 2022) | VRIT / VOAP (HR) | Indicator:<br>1) url with final decisions of predoc, postdoc and general PDI calls<br>2) Number of decision documents uploaded | N * |  |
| 24. Creation of the Research Committee                                    | Creation of the Research Committee who will be responsible, among other things, for setting the researchers' objectives.                               | Gaps solved:<br>21. Postdoctoral appointments  | 4 QUARTERS.<br>(May 2021)  | VRIT             | Indicator:<br>1) Minutes of the meetings of the research committee   | N * |  |

|   |  |   |                             |                  |  |     |  |
|---|--|---|-----------------------------|------------------|--|-----|--|
| 25. Publication of UIC's pre-doc calls on EURAXESS  | Publication of UIC's pre-doc calls on EURAXESS to attract more foreign researchers.  | Gaps solved: 15. Transparency                             | 2 QUARTERS. (November 2020) | VRIT             | Indicator:<br>1) Number of job offers published on EURAXESS with calls               | N * |  |
| <b>SECTION III. WORK CONDITIONS AND SOCIAL SECURITY</b>                                     |  |   |                             |                  |  |     |  |
| 26. Promotion of the services offered by VRIT   | Conducting sessions informing on the services offered by the VRIT (especially in relation to intellectual property rights) | Gaps solved: 31. Intellectual property rights.            | 4 QUARTERS. (May 2021)      | VRIT / VOAP (HR) | Indicator:<br>1) Number of sessions run<br>2) Number of participants in the sessions | N * |  |
| 27. Creation of committees for junior researchers to submit proposals to the Faculty Boards | Creation of committees for junior researchers to submit proposals to the Faculty Boards                                    | Gaps solved: 35. Participation in decision-making bodies. | 4 QUARTERS. (May 2021)      | VRIT             | Indicator:<br>1) Minutes of meetings of the junior researcher committees             | N * |  |

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| SECTION III. TRAINING AND DEVELOPMENT |  |  |                               |                  |  |     |  |
|---------------------------------------|--|--|-------------------------------|------------------|--|-----|--|
| 28. Creating a research training plan | Creating a plan, now that the mentoring plan is underway, for mentor training (to ensure proper supervision) and for researchers (so that they have clear goals and specific training to achieve them).  | Gaps solved:<br>39. Access to research training  | 4 QUARTERS.<br>(May 2021)     | VRIT / VOAP (HR) | Indicator:<br>1) Number of courses completed<br>2) Number of participants in the courses | N * |  |
| 29. Research newsletter               | Creation of a research newsletter to be posted on the research website, to publicise the current calls. It will also include an information section on the European Union programme Horizon 2020 and a scientific agenda with activities that may be of interest to the institution's lines of research. | Gaps solved:<br>8. Dissemination and exploitation of results / 28. Career development/<br>38. Continuing professional development /<br>39. Access to research training | 1 QUARTERLY.<br>(August 2020) | VRIT             | Indicator:<br>1) Bulletin url  | N * |  |

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The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site \*:

<http://www.uic.es/en/research/hrs4r>

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles:

We produced the OTM-R document in the first stage, but we have now updated it to record the progress of the actions related to recruitment.

As reflected in the document, we have applied the OTM-R practices to the recruitment of stable staff (including R2-R3). In terms of the recruitment of R1, we are recruiting an increasing number of staff through our own competitive recruitment calls, which follow the protocols of external calls and therefore, ensure an open, transparent and merit-based recruitment. The next step will be to centralise all the university's R1s and for them to undertake this competitive process.

We have put together an in-house recruitment guide that follows The Toolkit step by step to improve OTM-R practices. We will now share this guide with the faculties so that all recruiters are using it from the very beginning of the recruitment process.

The new Action Plan also provides for the creation of a new OTM-R (22) policy for all UIC staff, which must be posted to the University website and must be deployed before the external review.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist<sup>45</sup>.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organization's website. Please provide the web link to the OTM-R dedicated webpage (s) if it is different than the one where the reviewed HR Strategy is located.

<http://www.uic.es/en/research/hrs4r>

N.B. Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the renewal phase at the latest.

#### 4. IMPLEMENTATION (MAX. 1 PAGE)

General overview of the implementation process: (max. 1000 words).

As specified in the previous Action Plan, having submitted the HRS4R strategy to Euraxess, the Action Plan was approved by the Governing Body and the VRIT appointed a committee for implementation of the actions which was to meet every three months.

These committees were made up of the heads of departments responsible for carrying out the activities (VRIT/VOAP/Doctorate School/Library/IT Systems/DIRCOM) and the representatives of the Faculty Boards (mostly R3/R4). This first change made by the committee /which not does not incorporate R1/R2) was a strategy to stress the importance the whole process, whereby Faculty Boards are responsible for conveying the importance of the HR accreditation to researchers within their faculties (R1 to R4).

In addition, the Steering Committee, comprising the HR Director, the Vice-Rector for Academic Affairs and the Vice-Rector for Research, Innovation and Knowledge Transfer, met every six months to review the implementation process.

The appointment of a new Vice-Rector has been instrumental in reinforcing the HR strategy. The new Vice-Rector has attended all the committee meetings since he joined the university and has proposed new meetings for the Steering Committee (in order to discuss the OTM-R more in depth).

Implementation committee meetings were held to monitor progress in implementing the C&C Principles, and action representatives took the lead in each session according to the actions discussed.

When all the actions relating to the services had been implemented or had started to be implemented, a division of the committee was created to start engaging the faculties and Doctorate School more in their implementation. In this second stage, we suggested the representatives of the Faculty Boards carried out a new survey in their respective faculties, based on the 40 principles, in order to carry out a new Gap Analysis. Although this new analysis is not mandatory in the implementation process, we used it for two purposes: to involve the whole research community (R1 to R4) in the process, and to obtain a study of the real situation of implementation.

This survey, which asked questions and asked for comments on the 40 Principles, was responded by 60% of researchers (212 of 354) and thus gave an overview of the implementation status. We were able to identify that some actions were no longer a gap for the university, such as contractual and legal obligations (5), evaluation systems and evaluation (11), recognition of qualifications (19), etc. Based on these new responses, we created the above table, which analyses the implementation of each principle (if fully or partially implemented) and there are suggestions for improvements or actions to be undertaken.

However, this new Gap Analysis also showed that some principles that were regarded as accomplished need to be reviewed, such as professional responsibility (3) and good practice in research (7). Having identified this, we have been able to propose new actions.

The Steering Committee conducted a detailed review of the Gap Analysis and OTM-R, that was discussed by the implementation group and is included in this review. This committee has had the function of keeping track of the whole process but has also become a specific task force to deal with the issues of the OTM-R, therefore more meetings with this group (VRIT and VOAP) have been held than those initially foreseen (every 6 months).

The initial OTM-R checklist and step-by-step guide (toolkit) for self-evaluation have been used to ascertain the extent to which our current practices fulfil the principles of open, transparent and merit-based (OTM-R) and to identify where improvements could be made.

It is worth noting that the role of the Human Resources department is limited to overseeing the HRS4R as part of the working group, and it is the task of the Steering Committee to align organisational policies with the HRS4R, ensuring that changes are translated into standard procedures to be applied throughout the organisation. One of the actions proposed in the new Action Plan (21) is to create an OTM-R recruitment policy for the entire university, not just researchers.

In order to gain traction from transversal departments, in particular those involved in research, human resources and quality, it is essential to ensure that actions are implemented in our organisation. As a result, this will oblige us to review the composition of the working groups.

The commitment of governing bodies to the organisation is equally important during this first stage of the HRS4R programme. This is ensured by the strategic management's alignment with the European Charter for Researchers on the principles of transparency, quality, integrity, equal opportunities, excellence and social responsibility. The ultimate goal is to implement the HRS4R as a continuous process that identifies areas for improvement, designs solutions and implements these solutions for the university. The next few years will be critical for consolidating HRS4R at UIC, in preparation for the external review.

There are many documents and processes affecting issues relevant to researchers that should be reviewed, updated and translated into English. As a result, the following documents and actions have been updated or approved:

- New Teaching Staff Regulations
- Job offer template
- Rules for internal calls
- Mentoring plan
- Procedure for applying for research grants.
- In addition, new documents have been proposed:
  - Updated Code of Good Practices.
  - Research Integrity Code (led by the committee of the same name that is currently being formed)
  - In-house recruitment guide
  - Recruitment policy

As an action that compiles all this information, a New Communication Plan has been proposed, which will incorporate the development of the HRS4R section of the website, aimed at giving researchers and research managers improved access to relevant institutional documents and websites on the principles of C&C. In addition, we aim for it to show relevant information and news regarding HRS4R (for example, Article 32 of the Horizon 2020 Grant Agreements).

Make sure you also cover all the highlighted aspects in the checklist below:

- How have you prepared the internal review?

For the interim review, the following actions were taken:

- The Vice-Rector of Research, Innovation and Knowledge Transfer appointed a HRS4R implementation committee in charge of launching the actions. This committee, formed by the units and services responsible for carrying out the actions (VRIT, VOAP, Faculty Boards, Library, IT...), met quarterly to coordinate the process of implementing each action and to evaluate the progress made.
- Instead of including all types of researchers in this committee, it was decided to include only the members of the Faculty Boards (usually R3 or R4) as the representatives of the faculties would then share the importance of the whole process with the other researchers.
- A Steering Committee was created consisting of the Vice-Rector for Research, Innovation and Knowledge Transfer, the Vice-Rector for Academic Affairs, the HR director, and technicians from VOAP and VRIT. This committee met every 6 months until the change of Vice-Rector.
- Once the service-based actions had been implemented or initiated, the implementation committee was split into two. The actions assigned to services were monitored by the coordinator of the HRS4R process, while Faculty Boards conducted a new survey in their respective faculties.
- The Steering Committee initially met every six months to evaluate the status of the action plan, but since the new Vice-Rector has joined the university, meetings have been held more often, to discuss OTM-R issues and to produce an internal recruitment guide.
- A second survey was conducted based on the 40 principles of the Charter and the Code, aimed at identifying the level of satisfaction with the implementation of the action plan and proposing new actions.
- VRIT produced the offers template and the OTM-R document to be passed onto the UIC Barcelona Board of Governors for approval.

- How have you involved the research community, your main stakeholders, in the implementation process?

- Researchers and service staff are members of the HRS4R implementation task force. Researchers (Vice-Rectors) and VOAP and VRIT service staff also form part of the OTM-R working group.
- All our researchers have been invited to respond to the online survey for the new Gap Analysis. Staff involved in recruitment (HR) need to be more actively involved in the OTMR working groups.
- It is planned to develop a communication plan throughout 2021, which includes holding information sessions at the various campuses to promote HRS4R. In addition, we plan to carry out communication work to explain and raise the awareness of HRS4R and involve the university community at all levels.

- Do you have an implementation committee and / or steering group regularly overseeing progress?

The implementation committee, consisting of service staff and researchers, has been meeting quarterly for two years. In the last year, in which the committee was split into two, the new committee consisting of faculty researchers has met every two months until the completion of the new Gap Analysis.

The Steering Committee consisting of VRIT, VOAP and HR has met every six months, except for last year, when it met quarterly to discuss OTM-R issues.

- Is there any alignment of organizational policies with the HRS4R? For example, is the HRS4R recognized in the organization's research strategy, overarching HR policy?

Work is underway to include HR strategy for researchers (HRS4R) in the next update of the university's strategic plan. It also features in the programme of the current UIC Barcelona Board of Governors, and it is intended to bring in HR and work together more actively on a joint recruitment policy that is not limited to researchers.

- How is your organization ensuring that the proposed actions are also being implemented?

Firstly, the commitment to HRS4R is included in the UIC Barcelona Board of Governors' programme and it is intended to incorporate in the next Strategic Plan. Many people in key positions are very aware of the changes that need to be made and are committed to furthering them.

In addition, the quality management team will be included throughout the process to ensure timely implementation of the actions.

- How are you monitoring progress?

VRIT is leading and managing the whole process. The plan is for, from now on, the Innovation and Educational Quality Service to be responsible for following up on monitoring indicators and reports.

The performance indicators chosen for each action are checked and reported to the Steering Committee, which takes corrective measures if they are not in line with the planning timing or scope.

The annual results of the online survey will also be reported to the Steering Committee, to ensure proper monitoring of the entire process.

- How do you expect to prepare for the external review?

- The next review will be conducted by the same groups (for monitoring and implementation) which will then inform the Board of Governors.
- We aim to increase the involvement of HR and the quality management service in the monitoring, to ensure the process is appropriately monitored.
- This will be done by reviewing the progress of the project in accordance with the objectives of the Action Plan, and checking the indicator reports and compliance with the roadmaps for each action. Based on this, an interim report will be issued after 12 months.
- As we did in this internal review, a new survey will be conducted in order to gain the researchers' view of the situation. This input on the work that has been carried out will enable us to remedy the status of the Action plan and design the new one.
- A final report will be drafted and prepared to coincide with the fifth year, as set forth in the new procedures. The review templates available in Euraxess will be used for these reports.

*Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.*