

Internal Gap Analysis and Action Plan (2016) to support the Implementation of the Human Resource Strategy for Researchers at the Universitat Internacional de Catalunya

1. About the UIC

On October 26, 2016, the Universitat Internacional de Catalunya signed the Declaration of commitment to the Principles of “The European Charter of Researchers” and “The Code of Conduct for the Recruitment of Researchers”.

2. Internal Gap Analysis

a) Internal Work Group

In order to find out about the situation in the institution and its alignment with HSR4R, the UIC created an internal analysis group.

This group, led by the Vice-Rector for Research, Innovation and Knowledge Transfer, included:

- The Vice-Rector for Research
- The Research Director
- A research technician

The group also worked closely with:

- The Vice-Rector for Staff Management
- The Director of Staff Management
- The Human Resources Department

The first group undertook a study of 40 articles of the Charter and the Code, as recommended by the European Commission in order to complete an internal institutional analysis.

In relation to the potential improvement items, the 19 most relevant for Institution points were chosen. These points all covered the four fundamental sections in the Charter and the Code (Ethical and Professional Aspects, Recruitment, Working Conditions and Social Security, and Training).

b) Survey

We carried out a quantitative survey based on the 19 above mentioned selected points. The questionnaire asked people to score these points from 1 to 4, depending on whether they agreed that

at the UIC these actions were being undertaken or not.

Moreover, the survey was open and explicitly asked participants to make the effort to fill out the comments in all the boxes, in order to achieve more effective results while creating the Action Plan.

The sample of participants was selected carefully. Instead of sending out a mass survey we chose a limited number of participants covering all types of researchers (from post-doc to seniors) and all departments in the university.

10% of all active researchers at the UIC were represented in this sample.

The results of the survey demonstrated that there are points for which the UIC is highly valued. It is important to highlight two points where we were surprised at the generally positive responses from participants:

- **24. Working conditions.**
- **34. Complaints/ Appeals procedure**

Furthermore, we have also highlight the 11 points where we feel we still have a lot of work to do at the UIC.

We developed our Action Plan based on the criticism related to these 11 points.

3. Action Plan

| Areas | Aspect | Actions | Who | Specific units involved | When | |
|--|---|---|---|---|----------------|----------------|
| I. ETHICAL AND PROFESSIONAL ASPECTS | 5. Contract and legal obligations | 1. Use the website to provide legal documents such as IP, internal regulations, guidelines for an efficient use of funding. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | COMMUNICATIONS | September 2017 | |
| | 6. Accountability | 1. Create a website that contains more transparent information on the research results and is updated regularly. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | VRIT COMMUNICATIONS | February 2018 | |
| | | 2. Organise courses for researchers to publicise the issue of intellectual property and the internal regulations of UIC Barcelona, transparency and efficient use of funding. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | | September 2017 | |
| | 7. Good research practice | 1. Distribute the Code of Good Practice among researchers. | Vice-Rectorate for Staff Management (VP) | VP-HR | February 2017 | |
| | | 2. Inform researchers that their projects must be approved by the Research Ethics Committee (CER). | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | VRIT CER | February 2017 | |
| | 8. Dissemination and exploitation of results | 1. Organise conferences specific to each faculty explaining how to strengthen university-company links (mechanisms, aid, support...). | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | | October 2017 | |
| | | 2. Provide information on the possibility of publishing in open access journals. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | VRIT LIBRARY | February 2018 | |
| | 11. Evaluation/appraisal systems | 1. Introduce independent committees to assess the pre- and post-doctoral hiring process and monitor those hired. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | VRIT VP Vice-Rector for Academic Organisation and International Relations (VOARI) | September 2017 | |
| | II. RECRUITMENT | 13. Recruitment | 1. Increase presence in the academic job market to attract qualified researchers. | Vice-Rectorate for Staff Management (VP) | VP VRIT | September 2017 |
| | | 16. Judging merit | 1. Set evaluation criteria that make it possible to judge the merits of hired researchers (in addition to the number of publications and mobility). | Vice-Rectorate for Staff Management (VP) | VP VRIT | September 2018 |
| III. WORKING CONDITIONS AND SOCIAL SECURITY | 28. Career development | 1. Undertake periodic reviews to monitor the researchers' career development. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | VP VRIT | September 2018 | |
| | | 2. Create an action plan for Mentors, by which a competent and qualified member of the University will provide advice, support and guidance on career development to young researchers. | Vice-Rectorate for Staff Management (VP) | | December 2018 | |

| | | | | | |
|---------------------|---|---|---|----------------------------|----------------|
| | 34. Complaints/appeals | 1. Promote the visibility of the University Ombudsman among researchers. | University Ombudsman | University Ombudsman HR | January 2017 |
| | 35. Participation in decision-making bodies | 1. Hold regular meetings between researchers (or a representative) and the services involved in research at UIC Barcelona (VRIT) to provide information on research policies. | Vice-Rectorate for Research, Innovation and Knowledge Transfer (VRIT) | | March 2017 |
| IV. TRAINING | 39. Access to research training and continuous development | 1. Increase resources for attending conferences, courses and networking sessions abroad. | Faculties and Departments | | September 2017 |
| | | 2. Reinforce educational innovation. | Vice-Rector for Academic Organisation and International Relations (VOARI) | | February 2017 |
| | | 3. Increase the number of courses and research seminars that take place in departments. | Faculties and Departments | | September 2017 |