

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: Universitat de València
Organisation's contact details: Vice-Rectorate for Strategy, Quality and Information Technologies; vicerec.estrategia@uv.es ; Edificio Rectorado; Avda. Blasco Ibañez, 13. 46010-Valencia (Spain)
Web-link to published version of organisation's HR Strategy and Action Plan: http://www.uv.es/hrs4r
Web-link to organisational recruitment policy (OTM-R principles): ⁴⁵

SUBMISSION DATE TO THE EUROPEAN COMMISSION:

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	3,523
Of whom are international (i.e. foreign nationality)	188
Of whom are externally funded (i.e. for whom the organisation is host organisation)	687
Of whom are women	1,561
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1,801
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	764
Of whom are stage R1 = in most organisations corresponding with doctoral level	465
Total number of students (if relevant)	47,567
Total number of staff (including management, administrative, teaching and research staff)	7,458
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	€351,266,624.00
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	€258,466,396.00
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	€44,232,669.00
Annual funding from private, non-government sources, designated for research	€11,900,305.00
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

The University of Valencia (UV) is a public High Education institution founded in 1499 being one of the largest universities in Spain. UV offers 55 degrees, 6 double degrees and 5 international double degrees, 107 Master's degree qualifications, two of them within Erasmus Mundus and 62 doctoral programmes. UV counts on 23 Research institutes and Centres and 84 Departments, 3,419 research papers published in the Web of Science Index, 87 start-ups and 216 patents in force.

The UV is a leading academic organisation, with a remarkable international dimension as follows:.

ARWU: 70-116 (Europe); 2-5 (Spain)

THE: 198-252 (Europe); 6-8 (Spain)

NTU: 87 (Europe); 3 (Spain)

Nature Index: 67 (Europe); 3 (Spain)

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 organisation 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.

Ethical and professional aspects

Strengths

- A preliminary version of a Code of Good Practice in Research has been discussed and approved by the Research Committee and will be submitted to the Governing Board in 2020 for consideration. For public knowledge this draft can be accessed through the HRS4R portal. <https://www.uv.es/hrs4r/en/areas/ethical-aspects/code-good-practices.html>
Instead of the non-agreement between the five Valencian Universities for the establishment of a shared code of Good Practices in Research, as stated in the Action Plan, the UVEG itself has been proactive in the adoption of an own code.
- In 2019 the UV approved its III Gender Equality Plan, which can be accessed on the HRS4R portal. This third plan demonstrates the institutional commitment against the gender inequalities as themain source of discrimination in Spain. (<https://www.uv.es/hrs4r/en/areas/ethical-aspects/pla-d-igualtat.html>)
- Regarding Open Access policies, a UV working group has been created (UniOS). This group is supporting researchers with any information requirement regarding Open Science (<https://www.uv.es/hrs4r/en/areas/ethical-aspects/politica-institucional-d-acces-obert.html>) providing detailed answers to FAQs. (http://roderic.uv.es/oa_ca.html)

Weaknesses

- The updating of procedures to welcome and provide information for new research recruits has not advanced as planned. Although instructions have been adopted by the UV management and can be publicly accessed on the HRS4R portal, they are focused on information for visiting researchers regarding insurance policies and authorisation to access UV facilities such as IT services. These instructions are, consequently, incomplete when it comes to meeting the objective. In the meantime, the HSR4R portal offers easy access to the information addressed to researchers provided by the FECYT (Spanish Foundation for Science and Technology) which compiles the main issues that a foreign researcher needs to tackle when coming to work in Spain and it targets both researchers themselves and their hosting institution. This document guidelines include: the characteristics of the Spanish R&D&I system and the research career in the country; the recognition of foreign qualifications for

academia and professional purposes; the labour market; the tax and the social security systems; entry and residency requirements; the health and education systems and the [EURAXESS Spain](#) network supporting mobile researchers. Thus, being a weakness the delay in the development of internal regulations, UV has strived to provide accurate information and the HRS4R portal has become a one-stop information point for researchers.

- There is a clear need for availability of internal documents in English and the ability to provide full support in English to foreign researchers and PhD students.

Recruitment and selection

Strengths

- Although Spanish legislation is very exigent in the framework it establishes regarding equal opportunities, merit-based selection, publicity and non-discrimination and the fact that this legislation binds public institutions, the Action Plan considered that it was very important to have wider publicity beyond mandatory official channels including English. It is probably one of the areas in which the Action Plan has been more effective. In 2019 UV has published on the Euraxess platform a total of 18 research vacancies and a total of 114 tenured positions even though those positions and vacancies had already been published in the official bulletins of the nation and of the region. More than the publication itself, the strength of the measure comes from the fact that it provokes a cultural change in the organisation through the acceptance of more open and transparent recruitment processes. Apart from publication on Euraxess, the HS4R portal concentrates all the available positions again in a single access point for researchers. Calls for research staff can be accessed directly on the main site (<https://www.uv.es/hrs4r>). In addition, on the site there is a link to the UV Employment site (<https://www.uv.es/hrs4r/en/areas/recruitment/uv-employment-website.html>) with easy access to all of the positions (research staff and tenured positions).
- The recruitment and selection process is transparent and merit-based and candidates for tenured positions can analyse in advance the criteria which are being used to rank them. The criteria are published with the position announcement along with the names of the committee members that are going to evaluate as well as the universities they come from (please consult an example: https://www.uv.es/pdi/funcionarios2019/138convo_web_ingl (direct access but also accessible through the HRS4R portal)).

Weaknesses

- The second action of the Action Plan indicated that OTM-R principles and actions should be disseminated on the HSR4R portal. Although that information is present on the portal (<https://www.uv.es/fatwireed/hrs4r/en/hr-excellence-research-uv/uv-s-otm-r-checklist-2019.html>) there has been little advancement in the design of activities among researchers to spread OTM-R, signalling a clear area for improvement.
- Advertising positions on Euraxess has demonstrated the difficulty of making legal requirements for documentation to be provided by candidates compatible according to national laws (e.g. mandatory forms in Spanish) and the flexibility of providing documentation that candidates from abroad need.

Working conditions

Strengths

- Legislation in force establishes very clear and stringent norms concerning working conditions and social protection. These norms for public institutions are a clear strength as they guarantee a non-discriminatory policy; however, this limits the margin for flexibility concerning salaries for researchers in their early career. Since career development is regulated by national norms, the HRS4R portal gives access to the Ministry of Science, Innovation and Universities site which describes the different positions and the regulation to move from one to another. (<https://www.uv.es/fatwireed/hrs4r/en/areas/work-conditions/researcher-s-website-research-map.html>)
- UV excels in providing assistance to researchers regarding safety conditions at work through the Health in the Workplace Unit (<https://www.uv.es/uvweb/health-safety-environment-service/en/health-prevention/units/health-workplace-unit/introduction-1285901456052.html>) with specific information regarding the use of chemical and biological agents, risks during pregnancy, standards of risk control in laboratories (<https://www.uv.es/uvweb/health-safety-environment-service/en/health-prevention/units/unit-safety-workplace-/laboratories-1285906051891.html>) and so on.
- A map of the research groups is offered on the HRS4R portal (<https://www.uv.es/fatwireed/hrs4r/en/areas/work-conditions/researcher-s-website-research-map.html>) to help new recruits or potentially interested researchers to have clear insight into the UV research interests and facilitate making contacts or correctly evaluate the attractiveness of a potential position in this university. The same portal offers access to the UV Research and Tech Transfer with information regarding scientific production, technology supply, structures of interdisciplinary research, as well as R&D management and support services.

Weaknesses

- UV provides very good guidance to connect the demand with job offers for graduate students through the platform UVEmplo (UVJobs) (<https://www.uv.es/uvjob/en/uvjob.html>). Guidance and advising, courses to enhance employability, and entrepreneurship stimulus are only a few of the services this unit offers. However, it is focused on undergraduate and master's students and it is not designed as a platform for job opportunities for researchers under contract.

Training and development

Strengths

- UV provides a general framework for faculty training through the Pla de Formació (Training Plan), whose services are renewed every year. The responsible unit for this Plan is the SFPIE (Lifelong

Learning and Educational Innovation Service). The 2019 Plan can be accessed through the HSR4R portal (<https://www.uv.es/uvweb/manuel-sanchis-guarner-centre-education-quality/en/news/pla-de-formacio-2019-primer-semester-1285923252378/Novetat.html?id=1286062051011>). Training is provided in different areas, with a specific focus on research.

- One of the alternatives offered by the Lifelong Learning and Educational Innovation Service (SFPIE) is training on demand. This training focuses on the organisation of activities regarding specific requests from faculty members of the different campuses, schools, departments, institutes, services and/or units of the Universitat de València. Taking into account the characteristics of this training, any group of UV professionals has the option of requesting the SFPIE to organise training sessions according to interests. This procedure aims to adjust the request process to the budgetary and organisation possibilities that the SFPIE can offer in order to streamline the use of space, schedule training sessions and balance the attention provided to different applicants. With this option UV staff can request the organisation of training sessions that are not ordinarily offered but are necessary for staff to properly carry out their duties.
- As the UV takes part in a large number of international S&T programmes with a special focus on Horizon 2020 ,the EU Framework Programme for Research and Innovation (2014-2020, the Research and Innovation Service (reporting directly to the Vice-Rector for Research and the Vice-Rector for Innovation and Transfer) is responsible for promoting UV participation by means of its International R&D and Innovation Unit, which is the counselling and support unit for UV researchers wishing to participate in a project funded by the European Commission. This unit also carries out tasks linked to the financial and accounting management of research projects resulting from European and international calls for proposals, serving as the point of contact for the funding agencies. Under this structure, and according to the Action Plan, support is provided to research groups to access national and international funds through both information and meetings. Please consult to see a few examples (full list on <https://www.uv.es/uvweb/research-service/en/internationalisation/eurorecerca/eurorecerca-files-1285976989385.html>):
 - [Marie Skłodowska-Curie 2019 grants meeting](#). During the seminar, one part was devoted to the HRS4R seal of excellence
 - [Energy and Security H2020 meeting](#)

Weaknesses

- The number of training courses is still very limited, and no study has been developed to ensure that there is a connection between supply and demand. Since the option of training on demand minimises the discrepancies, a systematic analysis of researchers' requests for training should be developed and this is a clear area for improvement.

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

Human Resources strategy is defined for a 4-year period by the UV Strategic Plan. The current plan (2016-2019)

covers the period of the Action Plan design and Action Plan first phase implementation so no changes in priorities have been produced during this period.

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

A new Rector was elected in 2018. This change is considered to be very positive for the implementation of the HRS4R Action Plan as actions have been boosted since the new steering committee and implementation working group were established.

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

Yes. The current UV Strategic Plan (2016-2019) will end and the new one (2020-2023) is being developed. However, while this report is being written, the main objectives regarding research and human resources remain unchanged: increasing scientific production and productivity, attracting and developing talent, mobilising new resources into research, improving UV staff training for performing their functions, and enhancing motivation of the human resources are some of these objectives and they seem perfectly compatible with the strengthened Action Plan. If more information is needed regarding the current Strategic Plan please consult the HRS4R portal: <https://www.uv.es/fatwireed/hrs4r/en/hr-excellence-research-uv/hr-excellence-research-uv-strategic-plan.html>

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.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings:

General objectives

<i>Proposed actions</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>
<i>A1. Establishment of a standing HRS4R committee overseeing the implementation of the HR Strategy.</i>	<i>9. Public engagement</i>	<i>2017Q3</i>	<i>Rectorate/Vice-Rectorate for Research and Scientific Policy*</i>	<i>T. Adoption by the UV Executive Board</i>	<i>Completed</i>	<i>See composition on HRS4R portal https://www.uv.es/fatwireed/hrs4r/en/excellence-research-a-la-uv/excellence-research-a-la-uv/commission-meetings.html</i>
<i>A2. Creation of the UV's HRS4R portal</i>	<i>9. Public engagement</i>	<i>2017Q4</i>	<i>Research Service</i>	<i>T. Availability of the Portal on the UV Web</i>	<i>Completed</i>	<i>Visit http://www.uv.es/hrs4r</i>

* Or the Vice-Rectorate that would take over these functions in any subsequent re-organisation

Ethical and professional aspects

<i>Proposed actions</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>
<i>A3. Adoption of the Internal Code of Good Practice for Research</i>	<i>1 Research freedom 2 Ethical principles 7 Good Practice in Research</i>	<i>2018Q1</i>	<i>Rectorate/Vice-Rectorate for Research and Scientific Policy*</i>	<i>T. Formal adoption by the UV Governing Board</i>	<i>In progress 90%</i>	<i>2020Q1 A draft has already been elaborated and discussed by the Research Committee. It is publicly accessible on the HRS4R portal: https://www.uv.es/hrs4r/en/areas/ethical-aspects/code-good-practices.html</i>
<i>A4. Revision and update of specific provisions for visiting researchers</i>	<i>5. Contractual and legal obligations</i>	<i>2017Q4</i>	<i>Research Service International Relations Service</i>	<i>T. Managerial approval of documents</i>	<i>Extended</i>	<i>2020Q4 Current instructions must be extended to cover other aspects, extended insurance policies and university authorisations.</i>
<i>A5. Welcoming materials for the new research recruits to be included on the HRS4R portal</i>	<i>23. Research environment 24. Working conditions</i>	<i>2018Q1</i>	<i>Research Service International Relations Service HR Service</i>	<i>T. Printed materials available and on the web</i>	<i>In progress 25%</i>	<i>2020Q1 Materials exist but are disseminated through different services. A consolidated guide is being elaborated. In the meantime, the HRS4R is offering information regarding general regulations (labour market, taxes, visas...)</i>
<i>A6. Studying establishing a Welcome Office for International Researchers</i>	<i>23. Research environment 24. Working conditions</i>	<i>2018Q4</i>	<i>Vice-Rectorate for International Relations*</i>	<i>T. Report on viability of the different options for establishing this service</i>	<i>Completed</i>	<i>Results show creating a physical office is not viable due to the economic cost of creating 4 different offices (1 per campus). A new action has been proposed in the Revised Action Plan for embedding a virtual office on the HRS4R portal (see Action A6b).</i>
<i>A6b. Establishing a virtual Welcome Office for International Researchers</i>	<i>23. Research environment 24. Working conditions</i>	<i>NEW</i>	<i>Vice-Rectorate for International Relations*</i>	<i>T. Report on viability of the different options for establishing this service</i>	<i>NEW</i>	<i>2020Q4 Design works are being initiated by the Vice-Rectorate for International Relations.</i>

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<i>Proposed actions</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>
<i>A7. Guidelines to meeting FAIR principles</i>	<i>23. Research environment</i>	<i>2018Q1</i>	<i>Library Service</i>	<i>T. Formal adoption by the UV Governing Board</i>	<i>Completed</i>	<i>Policies for FAIR principles are being re-evaluated in the framework of the Open Science and Open Data policies. On February 2019 the Conference of Rectors of Spanish Universities (CRUE) affirmed their commitment to Open Science, a new approach for collaboration that is transparent and accessible to research, which implies a structural change in the way research and dissemination of results are developed. CRUE Spanish Universities General Assembly approved a document with ten specific actions to conduct Open Science, just like other similar European institutions and associations have done. This mandatory positioning makes specific adhesion to the FAIR principles unnecessary. <u>CRUE commitment</u></i>
<i>A8. Online training course on the internal Code for Good Practice in Research and FAIR principles</i>	<i>1 Research freedom 2 Ethical principles 7 Good Practice in Research</i>	<i>Periodic from 2018Q2</i>	<i>Training SFPIE Service</i>	<i>Course available online</i>	<i>Extended</i>	<i>2020Q1 Extended until the final formal adoption of the Code by the Governing Board On the 17th July 2019 a Seminar on Open Access has taken place at UV driven by the personnel of Libraries and Documentation Service from UV.</i>
<i>A9. Promotion of the certification of laboratories through the existing certification programme</i>	<i>7 Good Practice in Research</i>	<i>Continuous from 2017Q4</i>	<i>Vice-Rectorate for Research and Scientific Policy*</i>	<i>I Number of Labs and Units certified</i>	<i>In progress 60%</i>	<i>Currently the Quality Unit has helped to certify up to 12 units or labs, most of which are related to research (Central Unit for Research in Medicine, Environmental Radioactivity Laboratory, Central Service for Experimental Research...). Please consult full list: https://www.uv.es/uvweb/quality-unit/en/service-quality/services-evaluated-1285877064704.html</i>

* Or the Vice-Rectorate that would take over these functions in any subsequent re-organisation

Recruitment and selection

<i>Proposed actions</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>
<i>A10. Wider publicity for the announcement of vacancies beyond the mandatory official channels, including English</i>	<i>12. Recruitment (Code) 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code)</i>	<i>2017Q4</i>	<i>HR Services + RUVID</i>	<i>I. Number of channels used for advertising vacancies. II. Number of vacancies published in English</i>	<i>Completed</i>	<i>During 2019 tenured positions are being announced on Euraxess and also directly on the main site (https://www.uv.es/hrs4r). Calls for research staff can easily be accessed, but the site also has a link to the UV Employment site (https://www.uv.es/hrs4r/en/areas/recruitment/uv-employment-website.html) with easy access to all of the positions (research staff and tenured positions).</i>
<i>A11. Promotion of the OTM-R actions in the UV's HRS4R portal</i>	<i>12. Recruitment (Code) 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code)</i>	<i>2017Q4</i>	<i>Research Service</i>	<i>Number of entries</i>	<i>Extended</i>	<i>2020Q3 The current information on the portal about the OTM-R principles is very limited and an additional period is required to be completed.</i>

Working conditions and Social Security

<i>Proposed actions</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>
<i>A12. Knowledge platform to offer job prospects and opportunities for researchers under contract</i>	<i>28. Career development</i>	<i>2018Q4</i>	<i>OPAL (now UVEmpleo – UV Jobs)</i>	<i>T. Web service in place I Number of entries in the service (job offers, sectorial information)</i>	<i>Extended</i>	<i>2020Q4 UV provides very good guidance to connect the demand with job offers for graduate students through the platform UVEmpleo (UVJobs) (https://www.uv.es/uvjob/en/uvjob.html). Guidance and advising, courses to enhance employability, and entrepreneurship stimulus are only a few of the services this unit offers. However, it is focused on undergraduate and master's students and it is not designed as a platform for job opportunities for researchers under contract. An extension is needed to extend UVJobs offer for researchers under contract</i>

Training and development

<i>Proposed actions</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>
A13. Provide support to UV's Research Groups for accessing National and International funds and to facilitate actions for local, national and international networking.	30. Access to career advice.	Continuous from 2017Q3	OPAL (now UVEmplo)	I. Nr of training actions and workshops. I. Nr of groups involved.	In progress 25%	Three seminars have been organized in the UV campuses in June 2019. During the seminars, aiming at providing information of the Marie Curie actions, the personnel of the International Projects Office has explained the main features and procedure of implementation of the HSR4R seal.
A14. Pro-active promotion of the participation in training courses, also aiming to adapt the supply to the demand.	38. Continuing Professional Development. 39. Access to research training and continuous development.	Continuous from 2018Q1	Vice-Rectorate for Research and Scientific Policy	T. Analysis of applications per Course on offer. T. Nr and % of staff involved.	In progress 25%	In the Training section of the UVEG HRS4R webpage there is a list of educational courses: <ul style="list-style-type: none"> ▪ Courses from the Training Plan of Teaching and Researching Staff 2019-2020. ▪ Openware courses by areas of knowledge. ▪ Courses from the ADEIT Foundation of the UV, aiming at fostering the approximation of the University of Valencia to its socioeconomic environment. ▪ Courses from the Employability Service of the UV.

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 *: <https://www.uv.es/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

The UV OTM-R Strategy was designed in the Action Plan to encompass 6 actions that involved the OTM-R principles as follows:

A-OTM1 (OTM-R principles 1 and 2). Description: OTM-R web as the infrastructure for the collection of all the material relevant to the UV's OTM-R policy in a single entry point, according to the OTM-R guidelines and considering the OTM-R Toolkit. As indicated in the action A2 evaluation, the HRS4R portal is currently working and has been converted into a true information point to announce all of the research positions. It needs to be completed with the information regarding tenured positions although both of them are also being announced on the EURAXESS portal.

A-OTM2 (OTM-R principles 1 and 4). Description: Comprehensive OTM-R information. In-depth revision, streamlining and consolidation of the information concerning all stages of the recruitment of researchers, which was offered (when the Action Plan was designed) via two different links. As indicated in the actions A10 and A11 evaluation we have completed action A10 regarding wider publicity for the announcement of vacancies beyond mandatory channels but there is still work to do in the promotion of the OTM-R actions in the portal (A11). This action has been extended to the 2020Q3.

A-OTM3 (OTM-R principle 3). Description. Training courses and information actions (workshops, talks) in order to increase UV staff awareness on the OTM-R principles. There has been little advancement in this principle. Although principles are being applied in the recruitment process (most of them are present in the mandatory Spanish Laws and non-mandatory dissemination of the vacancies in English is being done), the philosophy under this application (OTM-R) has not been efficiently communicated to the staff, becoming one of the challenges for the next 3 years.

A-OTM4 (OTM-R principles 6, 7, 8, 11-22). Description. Advertising formats. Design of standard models in three languages (ES, CAT and EN) for advertising positions taking up OTM-R principles and inclusion of links to UV's OTM-R policy. As indicated in the evaluation of action A10 tenured positions have been announced on the Euraxess platform (so the standard format is being used) but also the calls for research staff can be directly accessed on the main UV HRS4R site. Other job advertising tools apart from the site and Euraxess are being applied (principle 14): the mandatory official national and regional bulletins. UV regulations require committees to be gender balanced (principle

18) (60-40 as committees have an odd number of members) and the rules regarding their composition are clearly stated in UV regulations. The composition is published in national and regional official bulletins when the vacancies are announced and thus on the Euraxess platform (principle 17). Please consult the latest announcement at: https://www.uv.es/pdi/funcionarios2019/138convo_web_ingl (see point 5 regarding committee requirements and Annex 1 for the list of committee members). The announcement accurately describes each of the steps in the recruitment process. It also describes the way applicants are informed at the end of the process (principle 20, point 8.2 and 8.4 of the announcement) and the complaints mechanism (principle 22, point 8.3)

Internal UV regulations that are translated for that announcement can be viewed here (CAT): <https://webges.uv.es/uvTaeWeb/DescargarAnuncio.do?codigo=ANUNCIO-R75-2019-942>

A-OTM5 (OTM-R principles 5 and 10). Description: Development QA System. A specific QA system has not been developed. If the objective is to assure that adequate candidates are selected at a public university, that responsibility relies on the regulations that the committees must apply in the candidate exam processes that are specified in the announcements (see point 7 of the latest announcement for full professor vacancies): https://www.uv.es/pdi/funcionarios2019/138convo_web_ingl

A-OTM6 (OTM-R principles 6 and 7). Description: Attracting foreign candidates. No limitation appears in our announcements regarding the nationality of the candidates. However, it is important to know that in the Spanish public system, an accreditation by the Ministry of Education is necessary to be able to apply for most positions. It is a requirement for the whole public system, not only UV. Once again foreign candidates are offered access in equal conditions for accreditation by the Ministry of Education but obtaining the mandatory accreditation must be planned by the candidates in advance. However, to facilitate even more de attraction, in research vacancies UV admits and contract the selected researcher while he or she gives the necessary steps with the Ministry. Unfortunately this flexibility is not possible due to regulation for tenured (civil servants) positions.

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 checklist⁴⁵.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation'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.

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).

The first 24 months of the implementation process were conditioned by the election of a new Rector in 20181Q. When new Vice-Rectors started working in April 2018, accelerating HRS4R implementation was a priority. The first step was establishing a steering committee formed by members of the Executive Board so the HRS4R could be considered a strategic objective well known by the Executive Board allowing their commitment in the process. This steering committee is composed of:

- Vice-Rector for Strategy, Quality and Information Technologies. Joaquin Aldás-Manzano (Chair)
- Vice-Rector for Research. Carlos Hermenegildo-Caudevilla
- Vice-Rector for Innovation and Transfer. Maria Dolores Real-Garcia
- Vice-Rector for Academic Regulations and Teaching Staff. Ernest Cano-Cano
- Vice-Rector for Internationalisation and Cooperation. Carles Padilla-Carmona
- General Manager. Juan Vicente Climent
- General Secretary. Maria Elena Olmos-Ortega

The steering committee established a working group with the representation of the university services that had been implementing the actions of the Action Plan and that should report on the advances in the previous period and continue working on the Action Plan. The composition of the working group is the following:

- Vice-Rector for Strategy, Quality and Information Technologies. Joaquin Aldás-Manzano (Chair)
- Deputy Manager for HR and Administration: José Ramírez
- Deputy Manager for Research Service: Lucia Echevarría
- Head of the HR Service for Faculty and Research Staff: Teresa Bondía
- Head of the HR Service for Administrative and Service Staff: Teresa Domingo
- Head of the Service of International Relations: Carlos Pomer
- Head of the Section for International R+D: Angeles Sanchís
- Delegate of the Rector for Exchange and Mobility: Esteban Sanchis
- Representatives of the Research Staff:
 - R1. Andrea Navarro-Noguera
 - R2. Pau Carazo-Ferrandis
 - R3. Yolanda Garcia-Ruiz
 - R4. M. Carmen Gómez-Cabrera.

The checklist below will detail how the internal review was prepared; however, the general overview of the implementation process can be summarised in the following points:

- Even with the delay in the implementation process provoked by the mandatory election of a new Rector (the former one fulfilled the maximum of 2 periods of 4-year appointment) a lot has been advanced in the main dimensions of the HRS4R principles: recruitment and selection transparency and vacancy announcements; draft of an Internal Code of Good Practice for Research in process of being approved by the Governing Board; formal adoption of Open Science and Open Data policies; and laboratory certification, among others. These advances have taken place in the framework of very strict national regulations that are mandatory for public universities. It should be mentioned that this has occurred in the context of economic restrictions in the amount of public research funding and the limitation on the number of vacancies to be announced due to national regulations (most of which are still being applied) to face the economic crisis since 2011. Most of these advances implied a cultural change in the institution and also for the staff, and no resistance has been found when these measures have been adopted.
- However, the working group and steering committee are aware that the delay leaves a lot of work to be done on the Action Plan. Most of these actions are focused on the dissemination of the HRS4R culture. Staff have accepted measures; they understand that these measures are a big step in the right direction but are not aware that they should be understood in the framework of the commitment with the HRS4R philosophy. Accordingly, actions such as A8 and A11, which have been extended in the Revised Action Plan, will be carefully supervised by the working group and steering committee. A second important gap in the implementation process has to do with the welcoming of visiting researchers where actions A4, A5 and the new A6b are involved. Special care will be taken in assuring they are not accumulating any delay and are completed within the new deadlines.
- Analysing what has been done and the size of the delay in the abovementioned actions, data allow us to be confident on having the Action Plan completely implemented at the end of the 36-month period.

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

- How have you prepared the internal review?

Once the new vice-rectors started working in April 2018 and the steering committee and working group were renewed (most of the working groups member were the same as they formed part of it due to their responsibilities as head of services), the steering committee asked the working group a report on the degree of advance on each of the actions of the Action Plan.

That report allowed the steering committee to establish which actions needed of an extension and which of them could benefit from intensive work to increase the degree of advance until a reasonable percentage at the end of the interim assessment. Actions A4, A8, A11 and A12 were extended and the working group focused on working with the different services in advancing the rest of them: A1 had already be completed (steering committee), A2 (portal) was completed after the meetings with the Web and Marketing Unit (responsible

of the institutional site), a draft of the Code of Good Practice was elaborated by the Research Service and discussed with the Research Committee which approved it, the Vice-Rectorate of Internationalization and Cooperation checked the welcoming materials for the new research recruits and started to consolidate those existing in different services and to elaborate those pending (A5), the Unit of Quality updated the list of certified laboratories and evaluated the degree of advance in the certification processes in march to be able to offer a real percentage of objective fulfillment (A9).

6 monitoring meetings were hold by the working group (19.07.2018; 27.11.2018; 11.01.2019; 04.02.2019; 19.02.2019; 26.03.2019) to take the decisions described in the previous paragraph. After of each of the meetings the Chair of the working group informed the steering committee by email of the minutes of the meeting.

The Chair of the working group, as Vice-rector responsible of this report, elaborated a draft of this document that was sent to the working group on 29.03.2019 asking for comments. The revised version was sent to the steering committee on 24.05.2019 with the same objective. Once their comments were incorporated, the final report was approved by the steering committee on 12.07.2019

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

Involvement of stakeholders derives from the description of the working group and steering committee composition and the general overview of the implementation process (point 4 of this document). As a summary:

- Governing board: several vice-rectors, the general secretary and general managers are members of the steering committee.
- University services (HR, Research, Internationalisation...). Their heads are members of the working group.
- Research staff: R1 to R4 are represented in the working group, and the Research Committee (please consult functions and composition here (ES): <https://www.uv.es/uvweb/servicio-investigacion/es/investigacion-uv/comision-investigacion/composicion-funciones-1285922232632.html>) studied and approved the draft of the Code of Good Practice for Research.

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

As detailed in the general overview (please refer to that section for the composition) a steering committee and a working group are in charge of implementing the plan and overseeing progress.

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

- The UV Strategic Plan defines the HR strategy. The current plan (2016-2019) was created before the granting of the HRS4R award but was fully compatible with the HRS4R as the only reference to HR in research is the institutional goal: "Attract and develop talent" which is described as "Renew and increase the endowment of research talent to nourish our potential as an institution of high quality basic and applied research. The achievement of this goal requires strengthening the current research staffing and defining and recruiting staff with a strict research profile".
- Currently the new Strategic Plan is being written (2020-2023) under the supervision of the Vice-Rector for Strategy, Quality and Information Technologies who is, at the same time, the Chair of the HRS4R steering committee and of the working group. This assures that HRS4R strategy will model and direct the future HR strategy also at a normative level.

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

As we have strived to demonstrate during the internal review, HRS4R has implied a significant cultural change in the way the organisation perceives recruitment, working conditions and training. The organisation has understood that even by having very strict national regulations that are of mandatory application for a public university, there is still room for improvements from a self-regulation perspective. A good example of that has been widening the publicity for the announcement of vacancies beyond mandatory official channels, which has increased the number of applicants and thereby enables research groups to have a better selection based on more diverse curricula. So, if the steps provided so far have demonstrated clear improvements in the HR strategy, that effect must be the main incentive to efficiently implement the rest of the proposed actions. Improvement is the motivation and the following point in the questionnaire (how progress will be monitored) is the tool to ensure implementation.

- How are you monitoring progress?

The progress will be monitored in the same way we have monitored the original Action Plan. The working group will hold regular (at least quarterly) meetings to analyse progress and propose modifications or changes to the Revised Action Plan if delays are detected or external events affect the planned actions in some way.

Similar to the past 2 years of the HRS4R period, the steering committee is formed as described by members of the Executive Board. In addition to being involved in the implementation of those actions assigned to them as the responsible unit, it will keep an overview of the process through the reports by the Chair of the working group, who is also a

member of the steering committee. At least one meeting will be held each semester.

Monitoring of the progress will be based on the indicators provided in the Revised Action Plan.

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

Since the objective of the external review is to verify the implementation of the Revised Action Plan, the main task for the organisation is to effectively implement this plan in the upcoming 36 months. We believe that the monitoring process previously described is going to guarantee this implementation.

Accordingly, the preparation of the external review will be based on the accumulation of evidence regarding the effective achievement of each of the actions described in the Revised Action Plan. The process of monitoring will follow what has been described in the previous section. In the last semester before the 36-month period expires, an internal assessment performed by the steering committee will review the indicators of each action and draw up the final report.

As a summary we are monitoring the process the best way in order to prepare for the external review.

Additional remarks/comments about the proposed implementation process: (max. 1000 words):

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