

## TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: **UNIVERSITAT DE VALÈNCIA**

Organisation's contact details: Vice-Rectorate for Research and Scientific Policy.

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

<http://www.uv.es/serinves/hrs4r>

**SUBMISSION DATE:** 26TH MAY 2017

### 1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked \* are compulsory.

<b>STAFF &amp; STUDENTS (2015)</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	2.188,04
Of whom are international (i.e. foreign nationality)	117,15
Of whom are externally funded (i.e. for whom the organisation is host organisation)	415,4
Of whom are women	970,40
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1527,14
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	124,25
Of whom are stage R1 = in most organisations corresponding with doctoral level	536,65
Total number of students (2015-2016)	51.133
Total number of staff (including management, administrative, teaching and research staff)	5.675,98
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	359.663.906,13 €
Annual organisational direct government funding (designated for research)	109.399.545,60 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	38.429.300,07 €
Annual funding from private, non-government sources, designated for research	8.688.021,41 €
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>The Universitat de València is a public High Education institution with more than 500 years of history, being one of the largest Universities in Spain. Its mission is to train competent professionals at European level and encourage prestigious research with international impact contributing to the development of our society. Education and research promote UV's undertaking to disseminate science and culture, and to reaffirm the democratic values of the society in general, and of the Valencian society in particular."</p> <p><u>Education:</u>            54 degree qualifications, 6 double degrees and 4 international double degrees            116 Master's degree qualifications, two of them within Erasmus Mundus            64 doctoral programmes, 24 of them with an Excellence Seal</p>	

Research:

2,894 research papers published in the Web of Science Index

19 Research Institutes and Centres

92 Departments

6 Interdisciplinary research structures

106 patents in force

81 start-ups located in the science park

## 2. NARRATIVE

On 5<sup>th</sup> April 2016, the Rector of the University of Valencia (UV) signed a letter, addressed to the European Commission, endorsing the Declaration of Commitment to the Principles of the European Charter for Researchers and the Code of conduct for the recruitment of researchers. The reception of the letter was acknowledged by the European Commission by letter of 26<sup>th</sup> May 2016.

Since that date, the University of Valencia has performed a thorough and deep reflection to assess to which extent current practices are in line with the Principles of the Chart and Code of Conduct. The result of this reflection has been translated into the mandatory Gap Analysis and the corresponding Action Plan. Beyond the strict fulfilment of the requested forms, the exercise has had several spin-offs in the form of objective organisational benefits, namely:

- i) a comprehensive and critical review of the current administrative practice and cultural approach to recruitment of researchers within the limits of the National and Regional legislation in force;
- ii) the involvement of all relevant actors, departments and services in the exercise, both through the representation bodies or directly through a general consultation;
- iii) the increased awareness on the importance of the Principles of the Charter and Code; and
- iv) the commitment to progress in those areas identified as requiring further improvement.

The Gap analysis was, in a first instance, carried out by the Supervisory Committee, chaired by the Vice-Rector for Research and Scientific Policy, Prof. Pilar Campins, by appointment of the Rector. Other members of the Committee were:

- UV's Manager. Joan Oltra Vidal
- Deputy Manager for HR and Administration, José Ramírez
- Had of the Research Service, Lucía Echevarría
- Head of the HR Service for Faculty and Research staff, Teresa Bondia
- Head of the HR Service for Administrative and Service staff, Teresa Domingo
- Representatives of the Faculty and Research Staff (including the 4 mandatory categories of researchers R1 to R4)
  - o R1 Dr. Guillermo Rafael Chismol Muñoz-Caravaca
  - o R2 Dra. Ana Montesinos García

- R3 Dra. Carmen Gómez Cabrera
- R4 Dr. Daniel Tirado Fabregat
- Advisor: Dr Mar Benavides, Professor of HR Strategy at the Faculty of Economics, UV.
- The European Research Projects Office (organically dependant on the Research Service) acted as Technical Secretariat of the Committee.

A Working Group was also established carrying out technical tasks aimed at collecting information and managing the consultation process of the Gap Analysis.

The Committee produced a first draft of the Gap Analysis, with identification of relevant legislation and regulation in force, collection of current practice and initial assessment of the degree of fulfilment of each Principle and the OTM-R check-list.

That draft was then made public through the UV's web-based Bulletin Board and publicised to all UV's staff, students and other personnel of the University for comments. The results were collected, digested and consolidated by the Supervisory Committee and the changes introduced accordingly into the Gap Analysis.

From the Gap Analysis, main progress areas and corrective actions were identified as follows:

#### Ethical and Professional aspects

- The UV meets well the Principles of this heading. Both Legislation in force, UV's regulations as well as the UV's tradition reflected in its Mission, Vision and Values statements<sup>1</sup> provide a well consolidated framework for ethical and responsible research. At the same time, there is a need to compile existing written norms, current practice and recommendations for improvement into a comprehensive document of Good Practice of Research, of which a first embryonic text will be soon adopted by the UV Governing Board. Other accompanying actions concern a better dissemination policy and a revision and update of the existing standards to respond to changing and emerging needs, among others. Adhesion to the FAIR principles, promotion of laboratory certifications will also be promoted and reinforced.

#### Recruitment

- The UV is bound by general Legislation concerning the recruitment of personnel in public institutions. This legislation establishes a very clear framework where equal opportunities, merit-based selection, publicity and non-discrimination are overarching principles. The same legislation also limits the margin for manoeuvre for implementing some of the Principles, namely concerning the CV valorisation. However, UV should be more pro-active in giving publicity to the vacancies beyond the strict minimum established by law, particularly in English and using other channels than the regulated ones, as well as being more pro-active in the use of EURAXESS.

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<sup>1</sup> <http://www.uv.es/uvweb/college/en/university/mission-view-values/mission-1285924490521.html>

#### Working conditions and Social Security

- Again, Legislation in force establishes very clear and stringent norms concerning working conditions and social protection. The same legislation also limits the margin for flexibility in implementing some of the Principles, namely concerning salaries of researchers in their early career. Beyond that, UV excels in non-discriminatory policies, mainly for gender but also for functional diversity. Although UV strictly fulfils the Principles under this heading, more will be done to improve the guidance that researchers receive concerning aspects like career prospects and employment opportunities.

#### Training

- The UV offers a wide variety of training and long-life learning opportunities to its staff and other personnel. Nevertheless, this is an area where improvements are clearly needed, mainly concerning the dynamic and pro-active adaptation of the offer to the actual demand, the promotion of the participation in training actions and the assessment of the attractiveness of the courses on offer.

The draft Action Plan was circulated among the members of the Research Committee of the UV and among the services and Units that would be involved in the implementation of the different actions. Their inputs and comments were introduced in the final document here below.



### 3. ACTIONS (SEE ANNEX FOR DETAILS AND FOR THE GANTT CHART)

<b>Title action</b> <i>(In brackets, Principles involved)</i>	<b>Timing</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
<b>General</b>			
A1. Establishment of a standing HRS4R committee overseeing the implementation of the HR Strategy.	3 <sup>rd</sup> Qtr 2017	Rectorate/Vice-Rectorate for Research and Scientific Policy*	T. Adoption by the UV's Executive Board
A2. Creation of the UV's HRS4R portal	4 <sup>th</sup> Qtr 2017	Research Service	T. Availability of the Portal on the UV's Web.
<b>Ethical and Professional aspects</b>			
A3. Adoption of the Internal Code of Good Practice for Research. (1, 3, 4, 5, 6, 8)	1 <sup>st</sup> Qtr 2018	Vice-Rectorate for Research and Scientific Policy*	T. Formal adoption by the UV's Governing Board
A4. Revision and update of specific provisions for visiting researchers. (4)	4 <sup>th</sup> Qtr 2017	Research Service	T. Manager approval of documents
A5. Welcoming material for new research recruits to be included in the HRS4R portal (5)	1 <sup>st</sup> Qtr 2018	Research Service	T. Material available on paper and on the Web
A6. Studying establishing a Welcome Office for International Researchers (5)	4 <sup>th</sup> Qtr 2018	Vice-Rectorate for International Relations*	T. Report on viability of the different options for establishing this service
A7. Guidelines to meeting FAIR principles. (6, 8)	1 <sup>st</sup> Qtr 2018	Library Service	T. Formal adoption by the UV's Governing Board
A8. On-line Training course on the Internal Code for Good Practice in Research and FAIR principles (5, 6, 8)	Periodic from 2 <sup>nd</sup> Qtr 2018	Training SFPIE Service	T. Course available on-line
A9. Promotion of the certification of laboratories through the existing Certification Program (7)	Continuous from 4 <sup>th</sup> Qtr 2017	Vice-Rectorate for Research and Scientific Policy *	I. Nr of Labs and Units certificated
<b>Recruitment and Selection (See also OTM-R actions table below for additional related actions)</b>			
A10. Wider publicity to the announcement of vacancies beyond the mandatory official channels, including in English (13)	4 <sup>th</sup> Qtr 2017 / Gradual increase	HR Services + RUVID	I. Number of channels used  I. Number of vacancies publicised in English
A11. Promotion of the OTM-R actions in the UV's HRS4R portal and through training/dissemination actions	4 <sup>th</sup> Qtr 2017 / Gradual increase	Research Service	I. Number of entries
<b>Working Conditions and Social Security</b>			
A12. Knowledge Platform to offer job prospects and opportunities for researchers under contract (30)	4 <sup>th</sup> Qtr 2018	OPAL	T. Web service in place  I. Nr of entries in the service
<b>Training and development</b>			
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)	Continuous from 3 <sup>rd</sup> Qtr 2017	Research Service OPER OTRI	I. Nr of training actions and workshops  I. Nr of Groups involved
A14. Pro-active promotion of the participation in training courses, also aiming to adapt the supply to the demand, (38, 39)	Continuous from 1 <sup>st</sup> Qtr 2018	Vice-Rectorate for Research and Scientific Policy *	T. Analysis of applications per Course on offer  I. Nr and % of staff involved

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

## OTM-R in UV

Specific actions as listed below to implement the OTM-R strategy in UV include the rationalisation and concentration of all relevant regulations concerning the recruitment of researchers in one single, prominent place of the UV's HRS4R Web Portal, with standard format and in several languages.

Spanish Regulations (both National and Regional) already establish a number of compulsory steps that need to be respected in the recruitment process of University Faculty and Research staff aimed at ensuring open, transparent and merit-based staff appointments. UV's naturally uses these regulations as the recruitment framework and will seek to improve the way this information is made available to any interested applicant as well as will explore possible improvements to better attract the best applicants, including foreign applicants.

*If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.*

The Faculty and Research Staff Service offers a comprehensive access to all regulations pertaining to the recruitment, evaluation and assessment, promotion, salaries and staffing of the Faculty members of UV at

<http://www.uv.es/uvweb/servicio-recursos-humanos-pdi/es/normativas-circulares/normativa-especifica-profesorado/normativa-especifica-profesorado-1285903405933.html>

Although listed in one single entry-point in the UV's portal, steps will be taken to provide a more user-friendly access to relevant aspects of these regulations. See specific actions listed in the box below.



**Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:  
(In brackets, the OTM-R item of the checklist addressed)**

<b>Title action</b> (Details in Annex) (In brackets, OTM-R Principles involved)	<b>Timing</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
<b>A-OTM 1. UV's OTM-R Web.</b>  (OTMR-1, OTMR-2).  Related to Action A2	4 <sup>th</sup> Qtr 2017	Research Service	T. Availability of the OTM-R Web portal.
<b>A-OTM 2. Comprehensive OTM-R information.</b>  (OTMR-1, OTMR-4)  Related to Actions A5, A10, A11	4 <sup>th</sup> Qtr 2017	Deputy-Manager for HR	T. Availability on-line of navigable html information and printable documents.
<b>A-OTM 3. Training courses</b>  (OTMR-3)  Related to Actions A8, A11, A14	1 <sup>st</sup> Qtr 2018 onwards	Long-life Training Service	I. Nr of training actions I. Nr of trainees per year.
<b>A-OTMR 4. Advertising formats.</b> (OTMR-6, OTMR-7, OTMR-8)  Related to Actions A1, A2, A10	1 <sup>st</sup> Qtr 2018	Research Service	T. Standard formats adopted for the different categories of positions I. % of total vacancies advertised using standard formats.
<b>A-OTM 5. OTM-R QA System.</b>  (OTMR-5, OTMR-10)  Related to Actions A1	4 <sup>th</sup> Qtr 2018	Quality Assurance Unit	T. UV's OTM-R QA system adopted
<b>A-OTMR 6. Attracting foreign candidates.</b>  (OTMR-6, OTMR-7)  Related to Actions A-6, A-10, A-11	4 <sup>th</sup> Qtr 2018 and progressive improvement later on	HR Service	T. Welcome office established I. Evolution of the number of candidates from abroad



#### 4. IMPLEMENTATION

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

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

UV is establishing a HRS4R standing committee which will be in charge to continuously oversee the all aspects of the Human Resources Strategy implementation of the institution, including the OTM-R principles. The embryo of this standing HRS4R is the Supervisory Committee that has geared the preparation of the Gap Analysis and the present Action Plan and will include in its compositions representatives of the Rectoral team, UV Administration, researchers and other personnel linked to the UV research activities.

- How do you involve the research community, your main stakeholders, in the implementation process?

All actors of the University will be involved in the implementation process through the participation of its representatives in the HRS4R standing committee. In particular, representatives of the 4 career stages of researchers (R1-R4) will be members of the committee. The HRS4R standing committee will report to the Governing Board of the University, where a formal representation of all actors of the institutions are also represented, being this a second higher control level of the progress of the Strategy implementation.

- How will your organisation ensure that the proposed actions will also be implemented?

The Governing Board is the highest decision-making body of the UV and gives the mandate to the HRS4R standing committee. This committee will have to report on progress and measures to be implemented to the Governing Board. The Action Plan has been adopted by the UV, and therefore its commitments are backed by the top management of the Institution. The HRS4R standing committee will count with both the authority and the resources to actually implement the actions included in the Action Plan. If an action cannot be finally implemented, due justification will have to be provided and compensation actions will be considered to overcome the failure.

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

The UV already embraces the vast majority of the HRS4R Principles, as evidenced by the Gap Analysis. A more explicit reference to the Strategy will be implemented in all aspects of the research and recruitment policy of the University. Most actions included in the present Action Plan aim at making more visible and explicit the HRS4R Principles in relevant aspects of the UV policies and practice.

The fact that the UV seeks the recognition of the HRS4R seal of excellence indicates the clear political commitment towards making its principles and the OTM-R guidelines and toolkit the overarching strategic and implementing framework for the UV's HR policy.



- How will you monitor progress?

The HRS4R standing committee will be responsible for the monitoring of the Action Plan progress, including any corrective action deemed necessary to reach the objectives set up in the Plan in case there are any delays, impediments or emerging circumstances needing specific action. As indicated above, the HRS4R standing committee will report to the UV Governing Board regularly. Progress of the Action plan will be made public in the HRS4R website of the UV corporate portal.

- How do you expect to prepare the internal and external review?

The HRS4R standing committee will be collecting during the 2-year initial implementation phase evidence of actions and results of those activities. These will be compiled in a report that will provide details on how actions were carried out, by whom and to which extent expected results were reached. Factual and physical evidence will be available.

The Quality Unit of the UV (<http://www.uv.es/uvweb/unitat-qualitat/ca/unitat-qualitat-1285866858780.html>) is the Institution's body established "to coordinate and improve the evaluation and quality assurance processes of the UV". The Quality Unit will be charged by the Rector with the task to assess, with the evidence collected and following its internal assessment methodologies, the actual progress achieved by the 2-year period in implementing the Action Plan.

As for the external review, the UV is part of Regional (Valencian Universities Network - RUVID) National (Spanish Universities' Conference of Rectors - CRUE) and European (European University Association - EUA) where expertise will be sought to carry out an external review of the implementation of the Action Plan. UV will also seek the advice and possible involvement of FECYT (Spanish Foundation for Science and Technology) as coordinator in Spain of EURAXESS.

**ANNEX.** Description of the Actions listed in Tables “Actions” and OTM-R Actions in Section 3 above.

<b>Title action (Principles involved)</b>	<b>Timing</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
<b>General</b>			
A1. Establishment of a standing HRS4R committee overseeing the implementation of the HR Strategy.	3 <sup>rd</sup> Qtr 2017	Rectorate/Vice-rectorate for Research and Scientific Policy*	T. Adoption by the UV's Executive Board
<b>Description.</b> UV is establishing a HRS4R standing committee which will be in charge to continuously oversee the all aspects of the Human Resources Strategy implementation of the institution, including the OTM-R principles. The embryo of this standing HRS4R is the Supervisory Committee that has geared the preparation of the Gap Analysis and the present Action Plan and will include in its compositions representatives of the Rectoral team, UV Administration, researchers and other personnel linked to the UV research activities			
A2. Creation of the UV's HRS4R portal	4 <sup>th</sup> Qtr 2017	Research Service	T. Availability of the Portal on the UV's Web site.
<b>Description.</b> The UV's HRS4R dedicated portal will become the one-stop information point for all aspects relevant to the HR strategy, with a structure that allows interested parties (applicants, staff, administration, public) getting clear description of processes, requirements and applicable regulations on all phases of the researcher's recruitment and working life in the Institution. Most of the information is already on-line, but requires being placed in a logical and coherent way under the HRS4R heading.			
<b>Ethical and Professional aspects</b>			
A3. Adoption of the Internal Code of Good Practice for Research. (1, 3, 4, 5, 6, 8)	1 <sup>st</sup> Qtr 2018	Vice-Rectorate for Research and Scientific Policy*	T. Formal adoption by the UV's Governing Board
<b>Description.</b> Taking as starting point a commonly agreed document by the five public Universities of the Valencia Region, UV will enrich and complete this document to specifically address the aspects of the ethical and professional career of researchers. We will develop this document also building on other Universities that previously developed this type of document in Spain in the framework of their own HRS4R exercises.			
A4. Revision and update of specific provisions for visiting researchers. (4)	4 <sup>th</sup> Qtr 2017	Research Service	T. Manager approval of documents
<b>Description.</b> Specifically for visiting researchers, an update of the instruction adopted by the UV management will be produced by the end of 2017. That instruction mainly referred to the obligation of those visiting researchers to underwrite a insurance policy and other aspects related to authorisations to access UV's facilities ( <a href="http://www.uv.es/normatives/privatinstruccions/IUV_7_2016.pdf">http://www.uv.es/normatives/privatinstruccions/IUV_7_2016.pdf</a> ). The new document will incorporate other instructions referred to good practice in research and ethical principles.			
A5. Welcoming material for new research recruits to be included in the HRS4R portal (5)	1 <sup>st</sup> Qtr 2018	Research Service	T. Material available on paper and on the Web
<b>Description.</b> Currently there is no standard material available to new staff helping them to get used to internal procedures, code of conduct and good practice. The proposed action aims at producing a modular set of information elements that could be tailored by individual Faculties/Units providing a comprehensive information package to newcomers in the Institution.			
A6. Studying establishing a Welcome Office for International Researchers (5)	4 <sup>th</sup> Qtr 2018	Vice-Rectorate for International Relations*	T. Report on viability of the different options for establishing this service
<b>Description.</b> UV is aware of the need to provide a specific service to new recruits in the Institution, particularly to those coming from abroad. This requires a careful reflection to decide which best option would strike the best balance between flexibility, de-centralisation and coherence of the advice provided, given the largely distributed geographical distribution of UV's campuses in Valencia and in the Region. This also has important budgetary implications that need to be carefully considered. This action, therefore, will tackle this issue with a view to provide a limited number of implementation alternatives by the end of 2018.			

A7. Guidelines to meeting FAIR principles. (6, 8)	1 <sup>st</sup> Qtr 2018	Library Service	T. Formal adoption by the UV's Governing Board
<b>Description.</b> UV is committed to the FAIR principles. In order to properly and effectively implement these principles, it is necessary both to raise awareness among the UV's staff and to provide the infrastructure and procedures to ease the process.			
A8. On-line Training course on the Internal Code for Good Practice in Research and FAIR principles (5, 6, 8)	Periodic from 2 <sup>nd</sup> Qtr 2018	Training SFPIE Service	T. Course available on-line
<b>Description.</b> Specific on-line training courses will also be made available to all staff along the same objectives as described above.			
A9. Promotion of the certification of laboratories through the existing Certification Program (7)	Continuous from 4 <sup>th</sup> Qtr 2017	Vice-Rectorate for Research and Scientific Policy*	I. Nr of Labs and Units certificated
<b>Description.</b> The Quality Unit of UV has been providing Certification services to a wide range of Research Units and Laboratories. The UV has the ambition to promote the certification of the Laboratories to meet the highest quality standards. Specific promotion activities will be developed from the last quarter of 2017 onwards in order to increase the number of certified labs and Units.			
<b>Recruitment and Selection (See OTM-R actions below)</b>			
A10. Wider publicity to the announcement of vacancies beyond the mandatory official channels, including in English (13)	4 <sup>th</sup> Qtr 2017 / Gradual increase	HR Services + RUVID	I. Number of channels used for publicising vacancies  I. Number of vacancies publicised in English
<b>Description.</b> UV will expand the channels for advertising positions. The existing advertising is made through the Official Journal and Euraxess, although new ways will be explored in order to ensure a wider reach, both in Spain and abroad when appropriate. Increased use of English will also be implemented.			
A11. Promotion of the OTM-R actions in the UV's HRS4R portal	4 <sup>th</sup> Qtr 2017 / Gradual increase	Research Service	I. Number of entries
<b>Description.</b> OTM-R is not yet well known in the UV corporate culture. The OTM-R section of the UV's portal will provide comprehensive information on and access to OTM-R principles, UV's activities to endorse them and on training and awareness initiatives taken to spread the knowledge on the OTM-R guidelines.			
<b>Working Conditions and Social Security</b>			
A12. Knowledge Platform to offer job prospects and opportunities for researchers under contract (30)	4 <sup>th</sup> Qtr 2018	OPAL	T. Web service in place  I. Nr of entries in the service (job offers, sectorial information...)
<b>Description.</b> The OPAL (Observatory for Employability and Career Counseling <a href="http://www.fundaciouv.es/opal/index.asp?pagina=154">http://www.fundaciouv.es/opal/index.asp?pagina=154</a> ) currently provides counselling service to students and graduates of the UV. In the framework of the HRS4R, it will be explored how OPAL can widen its activities and knowledge base to also provide service to UV's researchers under contract, particularly aiming at continuing the research career in the industry.			



<b>Training and development</b>			
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)	Continuous from 3 <sup>rd</sup> Qtr 2017	Research Service OPER OTRI	I. Nr of training actions and workshops  I. Nr of Groups involved
<b>Description.</b> OPER (European Research Projects Office) already provides an on-demand service to Research Groups and Units of UV. A more structured action will be deployed with short courses, workshops and specific mentoring helping Units to establish their own strategic, tailor-made pathway to internationalisation and positioning. Strategic plans will be developed for those Research Groups and Units, taking into account their starting position: not yet internationalised, incipient participation in international programmes, consolidated position and expansion ambitions.			
A14. Pro-active promotion of the participation in training courses, also aiming to adapt the supply to the demand, (38, 39)	Continuous from 1 <sup>st</sup> Qtr 2018	Vice-Rectorate for Research and Scientific Policy*	T. Analysis of applications per Course on offer  I. Nr and % of staff involved
<b>Description.</b> Current UV's training portfolio is very wide and diversified. Yet, not always the supply of courses is well matched with the actual demand, many courses having low attendance. Specific action will be implemented in order to better match training demand and supply e.g. through surveys for identification of new needs and critical review of low-demanded courses.			

<b>OTM-R</b>			
<b>A-OTM 1. UV's OTM-R Web.</b> (OTMR-1, OTMR-2)	4 <sup>th</sup> Qtr 2017	Research Service	T. Availability of the OTM-R Web portal.
<b>Description.</b> Infrastructure for the collection in a single entry-point of all the material relevant to the OTM-R policy of the UV, according to the Principles of the OTM-R guidelines and considering the use of the OTM-R Toolkit.			
<b>A-OTM 2. Comprehensive OTM-R information.</b> (OTMR-1, OTMR-4)	4 <sup>th</sup> Qtr 2017	Deputy-Manager for HR	T. Availability on-line of navigable html information and printable documents.
<b>Description.</b> In-depth revision, rationalisation and consolidation of the information concerning all stages of researchers' recruitment, which is currently offered on two different links: <a href="http://www.uv.es/uvweb/administrative-service-staff/en/human-resources-service-p-a-s-1285910936596.html">http://www.uv.es/uvweb/administrative-service-staff/en/human-resources-service-p-a-s-1285910936596.html</a> and <a href="http://www.uv.es/uvweb/servicio-recursos-humanos-pdi/es/seleccion-del-profesorado/personal-contratado/normativa-1285902901614.html">http://www.uv.es/uvweb/servicio-recursos-humanos-pdi/es/seleccion-del-profesorado/personal-contratado/normativa-1285902901614.html</a>			
<b>A-OTM 3. Training courses and information actions (workshops, talks) in order to increase awareness of the UV's staff on the OTM-R principles.</b> (OTMR-3)	1 <sup>st</sup> Qtr 2018 onwards	Long-life Training Service	I. Nr of training actions I. Nr of trainees per year.
<b>Description.</b> Training courses and information actions (workshops, talks) in order to increase awareness of the UV's staff on the OTM-R principles.			
<b>A-OTMR 4. Advertising formats.</b> (OTMR-6, OTMR-7, OTMR-8)	1 <sup>st</sup> Qtr 2018	Research Service	T. Standard formats adopted for the different categories of positions I. % of total vacancies advertised using standard formats.
<b>Description.</b> Design of standard models in three languages (ES, CAT and EN) for advertising positions taking up OTM-R principles and inclusion of links to the OTM-R policy of the UV.			
<b>A-OTM 5. OTM-R QA System.</b> (OTMR-5, OTMR-10)	4 <sup>th</sup> Qtr 2018	Quality Assurance Unit	T. UV's OTM-R QA system adopted
<b>Description.</b> Taking the existing charter of services for UV's staff as a starting point, development of the QA system of the UV's OTM-R system ( <a href="http://www.uv.es/uvweb/administrative-service-staff/en/service-charter-1285910936691.html">http://www.uv.es/uvweb/administrative-service-staff/en/service-charter-1285910936691.html</a> and <a href="http://www.uv.es/uvweb/servicio-recursos-humanos-pdi/es/presentacion/servicios-prestados/seccion-gestion-pdi-1285915888379.html">http://www.uv.es/uvweb/servicio-recursos-humanos-pdi/es/presentacion/servicios-prestados/seccion-gestion-pdi-1285915888379.html</a> )			



<b>A-OTMR 6. Attracting foreign candidates.</b> (OTMR-6, OTMR-7)	4 <sup>th</sup> Qtr 2018 and progressive improvement later on	HR Service	T. Welcome office established I. Evolution of the number of candidates from abroad
<b>Description.</b> Adaptation of the current vacancies advertising and design to better reach potential foreign candidates, e.g. by using English, considering offering support to moving from abroad, specific information on National working conditions, adapting language requirements...			





ACTION PLAN – GANTT CHART

Title action	2017				2018			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
<b>General</b>								
A1. Establishment of a standing HRS4R committee overseeing the implementation of the HR Strategy.								
A2. Creation of the UV's HRS4R portal								
<b>Ethical and Professional aspects</b>								
A3. Adoption of the Internal Code of Good Practice for Research. (1, 3, 4, 5, 6, 8)								
A4. Revision and update of specific provisions for visiting researchers. (4)								
A5. Welcoming material for new research recruits to be included in the HRS4R portal (5)								
A6. Studying establishing a Welcome Office for International Researchers (5)								
A7. Guidelines to meeting FAIR principles. (6, 8)								
A8. On-line Training course on the Internal Code for Good Practice in Research and FAIR principles (5, 6, 8)								
A9. Promotion of the certification of laboratories through the existing Certification Program (7)								
<b>Recruitment and Selection (See OTM-R actions below)</b>								
A10. Wider publicity to the announcement of vacancies beyond the mandatory official channels, including in English (13)								
A11. Promotion of the OTM-R actions in the UV's HRS4R portal								
<b>Working Conditions and Social Security</b>								
A12. Knowledge Platform to offer job prospects and opportunities for researchers under contract (30)								
<b>Training and development</b>								
A13. Provide support to UV's Research Groups for accessing National and International funds...(30)								
A14. Pro-active promotion of the participation in training courses, aiming to match supply and demand, (38, 39)								
<b>OTM-R</b>								
A-OTM 1. UV's OTM-R Web (OTMR-1, OTMR-2).								
A-OTM 2. Comprehensive OTM-R information (OTMR-1, OTMR-4)								
A-OTM 3. Training courses (OTMR-3)								
A-OTM 4. OTM-R QA System (OTMR-6, OTMR-7, OTMR-8)								
A-OTM 5. Attracting foreign candidates (OTMR-5, OTMR-10)								
A-OTM 6. Advertising formats (OTMR-6, OTMR-7)								

## ANNEX 2

### THE PRINCIPLES OF THE CHART AND CODE AS LISTED IN THE GAP ANALYSIS.

#### I Ethical and professional aspects

##### 1. Research Freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere

##### 2. Ethical principles

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

##### 3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations



by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

#### **4. Professional attitude**

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason

#### **5. Contractual and legal obligations**

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

#### **6. Accountability**

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

## **7. Good practice in research**

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times

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

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

## **9. Public engagement**

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

## **10. Non-discrimination**

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

## **11. Evaluation/appraisal systems**

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international

collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

## II. Recruitment

### 12. Recruitment

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

### 13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

### 14. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

### 15. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career

development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

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

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.

This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

#### 17. **Variations in the chronological order of CVs** (Code)

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

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

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

#### 19. **Recognition of qualifications** (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and,

consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

#### 20. **Seniority** (Code)

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

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

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long term career prospects.

### **III. Working conditions and Social Security**

#### 22. **Recognition of the profession**

All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

#### 23. **Research environment**

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

Funders should ensure that adequate resources are provided in support of the agreed work programme

24. **Working conditions**

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

25. **Stability and permanence of employment**

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.

26. **Funding and salaries**

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

27. **Gender balance**

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking



precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

#### 28. **Career development**

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

#### 29. **Value of mobility**

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

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

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

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

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



Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

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

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

### 33. **Teaching**

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

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

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

and equitable treatment within the institution and improving the overall quality of the working environment.

**35. Participation in decision-making bodies**

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

## **IV. Training**

**36. Relation with supervisors**

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.

This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

**37. Supervision and managerial duties**

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

**38. Continuing Professional Development**

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

39. **Access to research training and continuous development**

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.

Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.

40. **Supervision**

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.

Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

## **ANNEX 3**

### **OTM-R Checklist**

#### **OTM-R System**

1. Have we published a version of our OTM-R policy online (in the national language and in English)?
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?
4. Do we make (sufficient) use of e-recruitment tools?
5. Do we have a quality control system for OTM-R in place?
6. Does our current OTM-R policy encourage external candidates to apply?
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?
10. Do we have means to monitor whether the most suitable researchers apply?

#### **Advertising and application phase**

11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report]

13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?

14. Do we make use of other job advertising tools?

15. Do we keep the administrative burden to a minimum for the candidate?  
[see Chapter 4.4.1 b) 45]

#### Selection and evaluation phase

16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) 45]

17. Do we have clear rules concerning the composition of selection committees?

18. Are the committees sufficiently gender-balanced?

19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?

#### **Appointment phase**

20. Do we inform all applicants at the end of the selection process?

21. Do we provide adequate feedback to interviewees?

22. Do we have an appropriate complaints mechanism in place?