TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name of Organisation under review:

Universitat Internacional de Catalunya, Private Foundation.

Organisation's contact details:

Vicerectorat de Recerca, Carrer de la Immaculada, 22, 08017 Barcelona Email: vrecerca@uic.es

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

http://www.uic.es/ca/recerca/hrs4r

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1. ORGANISATIONAL INFORMATION

Please provide a limited number of 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	*295
Of whom are international (i.e. foreign nationality)	*22
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*9
Of whom are women	*147
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*104
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*127
Of whom are stage R1 = in most organisations corresponding with doctoral level	*64
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	*850
RESEARCH FUNDING (figures for most recent fiscal year-2016)	€
Total annual organisational budget	€47,302,300
Annual organisational direct government funding (designated for research)	€788,100
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	€248,548
Annual funding from private, non-government sources, designated for research	€689,659
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	

Universitat Internacional de Catalunya (UIC Barcelona), established in 1997, is a young non-profit private university with over 7,000 students and around 590 teaching and research staff. The university has two campuses with 7 Faculties, 2 Schools and 5 Institutes. It offers 14 degree programs, 8 dual degree international programs and a wide range of master's and postgraduate

degrees. The Barcelona Campus is our most cosmopolitan campus with a total constructed surface area of 24,477 m². The Sant Cugat Campus is situated inside the grounds of the Hospital Universitari General de Catalunya with an area of more than 15,000 m² devoted to academic use.

2. NARRATIVE (MAX. 2 PAGES)

Ethical and professional aspects.
Ethical aspects such as freedom of research, ethical principles and non-discrimination are to be found embedded in the University's DNA and reflected in the ideology of UIC Barcelona.

UIC Barcelona supports and promotes **freedom of research.** There are no restrictions placed on university research staff with regard to submitting applications in response to a call, forming part of a research group or taking part in privately financed research on any subject whatsoever.

Ethical principles are also safeguarded by the existence of a Research Ethics Committee (CER) and the Clinical Research Ethical Committee (CEIC), currently in process of accreditation to Ethical research committee with medicines (CEIm), albeit that their activities need to be made more visible. The UIC Barcelona Code of Good Practice in Research, which is signed by researchers as soon as they join the Doctorate School, provides tools for carrying out the task with the required **professional attitude**.

At the same time, **professional responsibility** is guaranteed by the same code supported by anti-plagiarism programmes (Turn it in). It has been noted, however, that there is a lack of information about the requirements of Open Access and the need for an institutional repository to give public access to the results.

Researchers are also supported by administrative and technical staff with regard to the **financial management** of their projects. Additionally, there is a Vice-Rectorate of Research, Innovation and Knowledge Transfer (VRIT) responsible for the transfer and **exploitation** of the results. Despite the services at their disposal, a lack of knowledge has been noted in this field which will be addressed by holding training seminars.

UIC Barcelona has clearly established principles of **non-discrimination**. Specifically, there has been an Action Plan for equal opportunities in place at the Universitat Internacional de Catalunya since 2009. Researchers are **assessed** according to national and regional regulations (accreditation). Even so, it appears necessary to increase the weight of these accreditations when assessing teaching and research staff.

With regard to **good practice** in research, the university has an in-house Health and Safety Unit that monitors compliance with current legislation and safe working practices. Despite this, researchers have barely assimilated all of the information on Health and Safety. The university's information technology service provides support systems to minimise IT disasters, but the vast majority of the university's documentation in not recorded on in-house systems, which is why a new system of document management is being worked on.

Thus, UIC Barcelona has in place many institutional regulations, committees and plans that guarantee all of these ethical and professional aspects but it clearly lacks a welcome service for new researchers, training and a clear organisation of the website for them to be able to appreciate everything available to them.

Recruitment

The university has clear and transparent rules for the **recruitment** of teaching staff into the workforce. The in-house regulations on teaching staff specify the accreditations required to qualify for one of the permanent teaching posts. The **selection** criteria and the composition of the selection panels are reviewed by the Vice-Rectorate of Research and Teaching Staff as well as Human Resources. However, places are limited due to the size of the faculties and not all researchers can be offered continuity, despite their having the relevant qualifications.

In respect of novice researchers, the selection process is clear and follows the criteria of public bodies. There is total **transparency** in the selection of candidates, the **merits** they are judged on and the **recognition of their qualifications**.

Even so, there seems to be a lack of knowledge about the offers and therefore of the entire selection system, which means that efforts in this area need to concentrate on making all these job offers more visible, as well as giving more feedback to candidates. There is also a desire to make the selection panels more transparent to these candidates by publishing the CVs of the panel members. The current regulations guarantee that there is no discrimination and include complaint mechanisms. Qualifications and research experience are taken into consideration and merits are assessed based on the ability to adapt to the work that needs to be done, without penalising **chronological variations**. Nevertheless, new regulations for teaching staff are being drawn up that will include a more specific method of recognising qualifications and all of the other aspects mentioned.

The intention is also to put into practice some elements of OTM-R, such as the selection process, transparency in committee reports, improved selection panel practices, and the publicising of positions, thereby attracting more foreign researchers.

Working conditions and social security

All researchers, including those at R1 level, have work contracts and are included in the teaching and research staff group. All of them, including R1s, are covered by social security and are paid s**alaries** according to their professional level. All researchers are provided with adequate **equipment and facilities**, even though IT deficiencies have been noted and are being improved.

The advantages, conciliation measures and promotion prospects established by national legislation are all complied with. **Employment stability** is determined by law and economic resources, even though the intention is to give more security to temporary staff by issuing contracts with the longest possible duration (with a maximum limit of 4 years).

The university has a **professional development** strategy for its researchers that specifically includes access to professional guidance. In the case of R1s at the Doctorate School, the thesis supervisors and the academic committees of the doctorate programmes play an essential role. The problem is when researchers are taken on by UIC Barcelona as a postdoc. Beyond the context of the Doctorate School, the figure of the supervisor is unclear. That is why a mentoring plan is being set up within the "Gaudí" training programme in order to formalise this role.

The university also encourages **mobility** with specific calls for scholarships and academic licences. The in-house teaching staff regulations discuss the system for research stays, study permits and sabbatical courses. Basically, teaching time is reduced according to research stays.

The university has an **ombudsman**. However, there is no set procedure for resolving conflicts between supervisors and R1s. This procedure needs to be developed and incorporated into the ombudsman's regulations.

Training and development.
The **relationship with supervisors** is recorded in different ways. With regard to R1s, there are annual reports (DAD) about the research plan and researcher training activities. The remainder of the teaching and research staff are monitored through meetings of the Board of Governors.
While the role of supervisor is clearly defined as a thesis director, this definition becomes more problematic at later stages. There is no clear supervisor figure in any of the Faculties and only the Dean or Vice-Dean fulfils this role. One action point that UIC Barcelona intends to put in place is the annual appointment of someone from the Board of Governors to take responsibility for the professional development of researchers who come in as postdocs.
Also, researchers' professional development and training will benefit from courses sponsored by HR, enhanced by VRIT seminars and cross-curricular training courses (in other Faculties) run by in-house experts from within the teaching and research staff.

3. ACTIONS

Following a Gap Analysis based on the results of a survey among R1, R2, R3 and R4 researchers detailed in the first document, a list of proposals for improvements was drawn up to bridge the gaps detected and thus comply with the principles of C&C.
All of these proposals were listed and grouped according to their impact on the university's research programmes and a definitive list of actions was produced that would form the Action Plan. Finally, these were prioritised according to the needs highlighted by the Gap Analysis and their impact on the HRS4R strategy.
As a result of this analysis, a prioritised list of actions follows along with a description of them containing:
- details of the associated improvement proposals,
- the gaps that need solving,
- the timetable for implementing them,
- the unit responsible,
- and the indicators.

Lastly, any actions directly relating to the OTM-R document are described in more detail

	Title action	Details	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator(s) / Target(s)
1	**Improved visibility-Improved website.**	-The university is committed to uploading to its website every piece of legislation that refers to research, apart from developing the research intranet, adding and reorganising documents. -The research website will also be reorganised to make job offers more visible. -Lastly, a researcher support section will be created within the library website. **Gaps solved**: 5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 13. Recruitment (Code), 25. Stability and permanence of employment, 30. Access to career advice, 31. Intellectual Property Rights.	4th QUARTER (October, November, December 2018)	Library, DIRCOM (University Communications Management) and VRIT (Vice-Rectorate for Research, Innovation and Transfer).	Indicator: - URL of the website section. - Number of documents added to the intranet. - Number of hits on job offers. - Creation of the library's researcher support website.
2	**Actions and training sessions.**	-Training programmes will be run (Gaudí programme) aimed at researchers who join UIC Barcelona as doctors to advise them on how to develop their research career within the university. A pilot programme has already operated and it is hoped that this can now be rolled out in every Faculty. -The VRIT will run seminars (once a year) on how to exploit results.	4th QUARTER (October, November, December 2018)	VOARI (Vice-Rector for Academic Organisation and International Relations), SIQE (Service of Innovation and Educational Quality), VRIT (Vice-Rectorate of Research, Innovation and	Indicator: - Number of courses (Gaudí programme) run. - Number of people attending the seminars on the exploitation of results. - Number of cross-curricular training courses run.

		-Cross-curricular training. An expert member of the UIC Barcelona teaching and research staff will be used to give classes in Faculties other than their own. **Gaps solved**: 5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 33. Teaching, 28. Career development, 38. Continuing Professional Development, 39. Access to research training and continuous development.		Knowledge Transfer) and Doctorate School.	
3	**Action and training sessions aimed at departments connected with research.**	-Running training courses subsidised by HR to give the DIRCOM department a deeper insight into the subject of research. **Gaps solved:** 9. Public engagement.	8th QUARTER (October, November, December 2019)	DIRCOM (University Communications Management) and HR.	Indicator: - Completion of training courses.
4	**Organisation of more events for science.**	-Sessions to which public institutions are invited (AGAUR, MINISTRIES, etc). -A week dedicated to research. UIC Barcelona's researchers will have to make presentations of their projects for the benefit of other UIC members and invited firms. These weeks will also serve as training for point 2 of this plan. **Gaps solved:** 5. Contractual and legal obligations, 9. Public engagement, 31. Intellectual Property Rights.	8th QUARTER (October, November, December 2019)	VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) and Faculties.	Indicator: - Number of sessions held. - Seminars run, number of projects presented.

5	**Process for welcoming the researcher.**	-A welcome letter will be produced for researchers indicating the institutional rules along with their references and links. This information could be presented (in the form of a booklet) to researchers when they sign their contracts with UIC Barcelona. **Gaps solved:** 5. Contractual and legal obligations, 17. Variations in the chronological order of CVs, 20. Seniority.	1st QUARTER (January, February, March 2018)	VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer).	Indicator: - Number of letters distributed over the two years of the plan.
6	**Undertaking of new research procedures.**	-Procedures will be introduced to apply for grants for projects or research groups in external competitive calls. A schedule of calls will also be drawn up. -Team meetings involving all academic staff will be encouraged in all Faculties to ensure that researchers are supervised. **Gaps solved:** 5. Contractual and legal obligations, 30. Access to career advice, 35. Participation in decision-making bodies.	2nd QUARTER (April, May, June 2018)	VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) and Faculties.	Indicator: - Creation of documents. - Minutes of team meetings.
7	**Better communication of the facilities that UIC Barcelona can provide for research.**	-UIC Barcelona will create a new IT system (ERP) that will raise the profile of the VRIT project tracking application. -The research portal will benefit from wider dissemination as it is the tool used by UIC Barcelona to spread the word about its scientific output. - More access to information about pre- and postdoctoral recruitment will be achieved through providing links to calls.	4th QUARTER (October, November, December 2018)	Technological Development Management and VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer).	Indicator: - Creation of the ERP - Number of emails from the PRC research portal. - Number of emails from VRIT giving links to calls, twitter/newsletter.

		Gaps solved: 5. Contractual and legal obligations, 8. Dissemination, exploitation of results, 12. Recruitment.			
8	**Open Science.**	-An institutional repository will be created that will gather together open access digital publications representing the teaching, research or institutional activities of the teaching staff and other members of the university community. **Gaps solved:** 8. Dissemination, exploitation of results.	4th QUARTER (October, November, December 2018)	Library.	Indicator: - URL of the repository. - Number of documents uploaded.
9	**New teaching staff regulations.**	-New teaching staff regulations will be produced that will include topics such as the recognition of qualifications. -There will be a section on institutional support that will provide the means of quantifying amounts of management, teaching and research time. -The new regulations will also reflect an increase in the weight given to accredited external sources in respect of assessing teaching and research staff. **Gaps solved:** 9. Public engagement, 19. Recognition of qualifications, 24. Working conditions, 25. Stability and permanence of employment, 30. Access to career advice.	4th QUARTER (October, November, December 2018)	HR.	Indicator: - Production of the document. - Number of new team members compared to previous years.

10	**Implement some of the practices of OTM-R.**	-We will publish more job offers on Euraxess. -The members of the pre- and postdoctoral selection panel will be published along with their CVs. -Pre- and postdoctoral candidates who are not selected will receive a reply more individualized with improved feedback. -In terms of the descriptions of the posts available, there will be a guarantee that the level of qualification requested is commensurate with the position on offer. -Contracts will be issued for the longest period possible (up to 4 years). **Gaps solved:** 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit, 25. Stability and permanence of employment, 30. Access to career advice.	4th QUARTER (October, November, December 2018)	HR and VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer).	Indicator: - Number of offers posted on EURAXESS. - Description and publication of the selection panel. - Number of emails sent in response to unsuccessful candidates. - Advertisements with a description of the posts. - Number of temporary contracts issued with a duration of more than one year.
11	**IT improvements.**	Improvements will be made to Wi-Fi connectivity and a new ERP system will be introduced **Gaps solved:** 23. Research environment	1st QUARTER (January, February, March 2018)	Technological Development Management.	Indicator: - Connectivity report. - Creation of the ERP.
12	**Mentoring plan.**	-Training will be given by the VP to department heads to explain how the academic career works. -A member of the Board of Governors will be appointed to take responsibility for the professional development of researchers (supervisor).	2nd QUARTER (April, May, June 2018)	VP (Vice-Rectorate for Teaching and Research Staff), VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer)	Indicator: - Number or existence of sessions. - Annual list of supervisors.

		-A document will be produced with a description of what it means to be a research supervisor. **Gaps solved:** 25. Stability and permanence of employment, 30. Access to career advice, 37. Supervision and managerial duties.		and Faculties.	- Creation of the document that will define the role of the supervisor.
13	**Promotion of the ombudsman.**	-The figure of the ombudsman will be promoted to researchers as the person to approach with R1-supervisor disputes. **Gap solved:** 34. Complaints/ appeals.	8th QUARTER (October, November, December 2019)	Ombudsman.	Indicator: - Number of disputes referred to the ombudsman.
14	**Information about the training offered by UIC Barcelona.**	-A document will be produced to explain the service offered by HR (training formerly offered by the old DFAC or department of training, counselling and coaching). There is a specific line of training for research staff in the offer. **Gaps solved:** 38. Continuing Professional Development, 39. Access to research training and continuous development.	4th QUARTER (October, November, December 2018)	HR.	Indicator: - Number of subsidised courses.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

Many of the actions that will be initiated by this Action Plan will be of crucial importance to implementing the principles of OTM-R. In the case of UIC Barcelona, however, there is one action that encapsulates some OTM-R practices which will therefore have most influence on this document. Notwithstanding, all of the actions that affect the points in Section II regarding Recruitment and Selection have been grouped together, as this is the area we intend to solve using OTM-R practices. The actions with most influence on OTM-R principles are:

Action 01. Improved visibility. Improved website.

Among the web improvements foreseen is a reorganisation of the research website to increase the visibility of job offers. This action impacts directly on Point 13 (Recruitment - Area II, Recruitment and Selection). Furthermore, it will directly affect the publication phase of the OTM-R document.

Action 05. Process for welcoming the researcher.

A welcome letter will be produced for researchers including all of the regulations. This will solve Gaps such as lack of knowledge about sabbatical years, maternity leave, etc referred to in Point 17 (Variations in the chronological order of CVs) or the recognition of senior researchers in Point 20 (Seniority - Area II, Recruitment and Selection).

Action 07. Better communication of the facilities that UIC Barcelona can provide for research.

One of the intended improvements is to inform researchers about what UIC Barcelona is already equipped to provide them with. For this reason, even though the visibility of job offers will improve, emails will also be sent with links to pre- and postdoctoral calls, and all such calls will be published on Twitter and in the newsletter.

Action 10. Implement some of the practices of OTM-R.

Obviously, this is the action that has most impact, in that its purpose is to introduce some OTM-R practices as the best way of solving some of the university's Gaps.
Analysis:
• Publicity and application phases: The Euraxess platform will be used more frequently. There will also be a guarantee that the qualifications requested in the offer descriptions are commensurate with the level of the position.
• Selection and assessment phase: The members of the pre- and postdoctoral selection panel will be published in advance along with their CVs.
• Appointment phase: an attempt will be made to provide more feedback.

Action 09. New regulations for teaching staff

The new regulations for teaching staff provide tangible evidence of a review of recruitment policy. Furthermore, in an attempt to satisfy point 19 - Recognition of qualifications (Area II. Recruitment and Selection), these regulations will expressly include a section on this point.

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4. IMPLEMENTATION (MAX. 1 PAGE)

• Do you have an implementation committee and/or steering group regularly overseeing progress?
Once the HRS4R strategy is presented to Euraxess and the Action Plan is approved, the Vice-Rector of Research will appoint a Permanent Committee (Working Group) for the Implementation of the HRS4R, responsible for initiating the actions. This committee will be composed of staff from the units and services charged with implementing the actions (VRIT/HR/VOARI/BOARD OF GOVERNORSS, etc). Additionally, researchers at every level (R1, R2, R3 and R4) will have representation as part of this Working Group.
Meanwhile, the Steering Committee that will oversee the progress of the project will be the same as the one that supervised the strategic process for the HRS4R: Vice-Rector of Research, Director of Research, Vice-Rector of Personnel, HR Director and a research technician.

• How do you involve the research community, your main stakeholders, in the implementation process?
The very fact of including all types of researchers in the Working Group guarantees the participation of the research community in any action that implies the development and approval of new guidelines, protocols and regulations. Furthermore, the entire university community and general public will be updated on the progress of any actions through regular postings on the HRS4R and UIC Barcelona websites.

• How will your organisation ensure that the proposed actions will also be implemented?
Progress in implementing actions will be continuously monitored and assessed through the setting of six-monthly targets (every two quarters). The Working Group will be obliged to report on the progress of each action to the Steering Committee and the Board of Governors, the highest decision-making body at UIC Barcelona. If it is not possible to implement a particular action, an adequate justification will need to be provided and compensatory 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 the organisation's research strategy, overarching HR policy?
The majority of the actions of this plan are intended to make the principals of the HRS4R more visible and explicit in aspects relevant to practices at UIC Barcelona.
Meanwhile, the fact that UIC Barcelona is actively seeking recognition through the HRS4R seal of excellence demonstrates a clear commitment to including the principles and guidelines of OTM-R as part of the strategic implementation of the university's human resources policy.

• How will progress be supervised?
The HRS4R Working Group will be responsible for monitoring the progress of the Action Plan, including any corrective action considered necessary to achieve the plan's objectives in the event of delays, impediments or circumstances that arise requiring specific action.

As mentioned above the HRS4R Working Group will report regularly to the Steering Committee and the UIC Barcelona Board of Governors.

• How is it anticipated that in-house and external reviews will be prepared?

In-house reviews will be carried out by the Steering Committee every two years from the date that the Action Plan is implemented. It will be based on the six-monthly reports of the Working Group and on an analysis on the progress of the Action Plan. Additionally, a group of researchers including all stages (R1, R2, R3 and R4) will be selected and consulted on the implementation of the Action Plan and the reasons behind any possible divergences from the initial road map.

With regard to external reviews, UIC Barcelona forms part of a Regional (Agency for Management of University and Research Grants - AGAUR), National (Spanish Rectors' Conference - CRUE) and European (European University Association - EUA) network whose experience will be called on to carry out an external review of the implementation of the Action Plan. UIC Barcelona will also seek advice from FECYT (Spanish Foundation for Science and Technology) in their capacity as the coordinator for EURAXESS in Spain.

For the external review, the Steering Committee will appoint an External Assessment Group composed of external researchers from all stages. The Steering Committee will be responsible for providing these researchers with access to the information they need to evaluate the progress of the Action Plan, including monitoring reports, updated indicator values and interviews with researchers, technicians and administrative staff working at the university.