Universitat de Girona

[Doc4] ACTION PLAN

Case number:	2018ES328092
Name Organisation under review:	Universitat de Girona (UdG) (http://www.udg.edu)
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DATE ENDORSEMENT CHARTER AND CODE: 10 OCTOBER 2018

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	777
Of whom are international (i.e. foreign nationality)	76
Of whom are externally funded (i.e. for whom the organisation is host organisation)	149
Of whom are women	310
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	518
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	90
Of whom are stage R1 = in most organisations corresponding with doctoral level	169
Total number of students (if relevant)	15,299
Total number of staff (including management, administrative, teaching and research staff)	2467

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	97,113,720
Annual organisational direct government funding (designated for research)	850,725
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	12,428,731
Annual funding from private, non-government sources, designated for research	2,745,181

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)
The Universitat de Girona (UdG) is a higher education public institution devoted to social progress through excellent teaching and research. UdG is deeply rooted in Catalonia and its culture, acting as an economic and cultural motor.
The UdG is closely involved with the natural territory that supports the University, is deeply concerned about sustainability and social responsibility, and has a European-without-borders vision for which the implementation of HRS4R is timely and a priority.
The UdG offers 44 bachelor and 40 master's degrees in many areas: Sciences, Law, Business and Economics, Tourism, Education and Psychology, Arts and Humanities, Engineering and Architecture, Medicine and Nursing. Research is carried out in 22 departments and 10 institutes, and 14 PhD programs produce 100 theses every year.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE

An overview of the UdG's present strengths and weaknesses under the four thematic headings of the Charter and Code is provided below.

Thematic heading	STRENGTHS and WEAKNESSES
Ethical and professional aspects	**STRENGTHS** The UdG community is committed to ensuring the highest standards of integrity. A Code of Good Practices of the School of Doctoral Studies has been adopted. An open access policy has been implemented and an institutional repository is available. Software to detect plagiarism is routinely used to verify the originality of doctoral theses. Strong support services for research management and transparent accountability. Specialized services to support researchers in the search and management of external funding (including the justification of executed funds). Strong commitment to dissemination: outstanding participation of researchers and diversity of mechanisms and events. The University's research strategy is marked by specialisation processes tied to the economic and social environment. **WEAKNESSES** Even though UdG complies with ethical principles, no ethical code has been formally adopted. The Code of Good Practices of the School of Doctoral Studies is not sufficiently known among researchers and can have a limited scope. Researchers consider the excessive administrative burden on research management to be a burden. The dissemination of assets within the research community requires improvement, particularly for newcomers. Lack of a data ownership policy and a proper data management plan following FAIR principles. Limited use of the Open Access institutional repository and compliance with the Open Access policy. Some of the most relevant information is not written in English. Not all researchers are familiar with the regulations because of multiple sources and information points. The impact of the research projects can be increased through a well-defined communication and dissemination plan with different target audiences. There is no common agenda and database for outreach activities.
Recruitment and selection	**STRENGTHS** Established and well-defined selection and hiring processes in accordance with in-house, national and regional regulations. Recruitment procedures aligned with the key aspects of the Open Transparent and Merit-based recruitment principles especially in calls addressed to teaching and research staff. The assessment of merits includes aspects of mobility, seniority and special qualifications. Current institutional regulations ensure non-discrimination and complaints mechanisms are in place. A centralised job-offer website contains regulations for recruiting researchers financed by UdG self-funded calls and research projects. **WEAKNESSES** No official OTMR policy approved has been approved. Limited use of e-tools for recruitment and selection. Lack of systematic procedures to manage international dissemination of vacancies. Training to selection committees is not always provided. Ex-post communication with candidates in selection processes is not always provided. There are no common selection criteria for hiring researchers for R&D projects. Legislation and budget constraints block the stabilisation and promotion of postdoctoral researchers and staff turnover. Changes should be made to track the suitable integration of all elements on the OTM-R checklist at the different stages of the recruitment process.

	There is a need to define curricular requirements with appropriate balance between research, teaching and management skills.
Working conditions	**STRENGTHS** The UdG provides work environments with appropriate infrastructure, including research facilities and installations, libraries, cultural and sport venues, and high health and safety standards. Legislation in force establishes clear and stringent norms concerning working conditions and social protection. There is a close relationship with employees' representatives, so that the needs are properly channelled towards management. Stable research funding programme for mobility, research infrastructure maintenance and pre-doctoral grants. Established non-discriminatory policies for gender and functional diversity. The UdG has approved an equality plan and has appointed an equality commission. Participation in decision-making bodies by researchers and students is promoted and regulated by the UdG's fundamental rules. The Office of Occupational Health and Safety inspects and prioritises worker health and safety investments. The psychosocial work environment and job satisfaction for academic and research staff is assessed periodically and a prevention plan has been designed. **WEAKNESSES** The budget assigned by the Catalan government through the University Investment Plan (PIU) is insufficient to assure the proper maintenance/renewal of research infrastructures. An inventory of research equipment, including scientific and technical capabilities, is needed. Advice and support provided for industrial exploitation of research results needs to be improved.
Training and development	**STRENGTHS** A well-established PhD school with an internal quality management system to continuously improved the training and evaluation of R1 researchers. Wide offer of training courses for R1 researchers encompassing IP, entrepreneurship, mentorship, technical courses and soft skills. The School of Doctoral Studies mediates in conflicts between R1 researchers and their supervisors. Advanced in-house teacher training is offered by the Josep Pallach Institute of Education Sciences. Teaching is recognised as an important asset at the UdG for researchers at all stages. A training plan for teaching and research staff, approved in December 2016, considers the multiple dimensions of University activity (teaching, research, knowledge-transfer, management, sustainability and social compromise). A number of different institutes, units and services provide training opportunities at the UdG. **WEAKNESSES** Data handling/record keeping policies should be established. The research career path (competences and skills) needs to be defined for researchers at all stages of their professional careers. The training plan for teaching and research staff has not been fully deployed and needs to be revised in accordance with the defined research career path. The UdG should intensify coordination between the different units providing training to teaching and research staff. Tools should be provided to increase the employability and entrepreneurship of researchers at all career stages given that UdG Ocupació addresses its activity mostly to bachelor's and master's degree students. An institutional policy on intellectual property rights should be adopted.

3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

<u>Please provide the web link to the organisation's HR Strategy dedicated webpage(s):</u>

*URL: https://www.udg.edu/en/investiga/hrs4r

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS Description	GAP Principle(s)	Timing								Responsible Unit	Target(s) Indicator(s)
		19 Q4	2020 Q1	Q2	Q3	Q4	2021 Q1	Q2	Q3		
A1. Code of Ethics Write and disseminate the Code of Ethics, a collective self-regulating instrument that provides an accessible and comprehensive guide to established ethical policies and procedures on core activities of the UdG (teaching, research and knowledge transfer and social commitment) and fundraising/financing (investment and procurement).	[1] [2] [3] [6]	▓	▓	▓	▓					Vice-Rector for Strategic Projects Vice-Rector for Territory and Social Commitment	**TARGETS** 1. Benchmarking of ethical code of outstanding research centres and universities to identify the topics that should be included in the Code 2. Writing of the draft of the code 3. Approval of the draft by the Governing Council 4. Code of Ethics published online in Catalan, Spanish and English 5. Code widely disseminated among the UdG community **INDICATORS** Share of met targets Code of Ethics published Statistics of access to the Code of Ethics published online
A2. Code of Good Practices in Research & Innovation Write and disseminate a Code of Good Practices in Research & Innovation, a collective self-regulating instrument made up of a set of actions, recommendations and commitments for research practices. This code should improve and expand the EDUdG Code of Good Practices and address emerging challenges emanating from technological developments, open science, citizen science and social media, among other areas in the line with the European Code of Conduct for Research Integrity recently published by ALLEA.	[1] [2] [3] [6] [7] [8] [32]		▓	▓	▓	▓	▓			Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Benchmarking of Code of Good Practices in Research and Innovation of outstanding institutions 2. Write a draft of the Code of Good Practices in Research and Innovation, considering the EDUdG Code of Good Practices 3. Approval of the Draft by the Delegate Committee for Research, Transfer and Doctorate 4. Code of Good Practices in Research and Innovation published in Catalan, Spanish and English 5. Dissemination and support to the research community for implementation **INDICATORS** Share of met targets Code of Good Practices in Research and Innovation published Number of resources developed to support the implementation Number of accesses to the code published online
A3. Data Ownership Policy Prepare and formally adopt the UdG's Data Ownership Policy, assigning roles and responsibilities to key actors. It should establish clear guidance on relevant issues such as sound management practices and the retention and maintenance of	[3][4][6][36]	▓								Vice-Rector for Quality and Transparency	**TARGETS** 1. Benchmarking of Data Ownership Policy in Research and Innovation of outstanding research centres and universities 2. Write a draft of the Data Ownership Policy

Action	Ref.	Timeline	Responsible	Targets / Indicators
research records/data, and describe its relationship to other relevant University policies.				3. Approval of the draft by the Delegate Committee for Research, Transfer and Doctorate 4. Data Ownership Policy published in Catalan, Spanish and English 5. Policy widely disseminated among the research community **INDICATORS** Data ownership policy published Number of accesses to the document Number of dissemination and training events on the subject Number of attendees to dissemination and training events
A4. Intellectual Property Policy Prepare and formally adopt the UdG's Intellectual Property Policy (IPP), recommended by the World Intellectual Property Organisation, to 1. clarify the ownership of and the right to use the IP resulting from the institution's own or collaborative R&D activities; 2. set out the rules of the institution on how to accurately identify, evaluate, protect and manage IP for its further development, usually through some form of commercialisation; and 3. provide a transparent framework for cooperation with third parties and guidelines on the sharing of economic benefits arising from the commercialisation of IP.	[3][4][8][31]		Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Benchmarking of Intellectual Property Policies of outstanding research centres and universities 2. Write a draft of the IP Policy 3. Policy approved by the Delegate Committee for Research, Transfer and Doctorate 4. IP Policy published in Catalan, Spanish and English 5. Policy widely disseminated among the research community **INDICATORS** Share of met targets Intellectual Property Policy published Number of dissemination events on available support services and resources Attendees at training events
A5. Reference Guide to Research Data Management Write and disseminate a reference guide for research data management based on FAIR (findable, accessible, interoperable and reusable) for the whole research data lifecycle (data acquisition and collection; storage, security and analysis; dissemination and preservation).	[3][4][6][7][36]		Vice-Rector for Quality and Transparency	**TARGETS** 1. Audit current practices on research data recording and storage 2. Define data management categories according to requirements and targets 3. Identify the most adequate media and format for each level 4. Evaluation of software options and technical capabilities required for each data management category 5. Write a draft of the Reference Guide to Research Data Management 6. Approval of the guide by Delegate Committee for Research, Transfer and Doctorate 7. Guide published in Catalan, Spanish and English **INDICATORS** Share of met targets Reference Guide published Number of accesses to the dedicated website

Action	Ref	Timeline	Responsible	Targets / Indicators
A6. Open Access Policy Write and disseminate the new institutional Open Access Policy, which shall establish procedures and tools to address the change of paradigm regarding traditional scientific publications and the way the dissemination of research results is understood.	[7][8]		Vice-Rector for Quality and Transparency	**TARGETS** 1. Spot the shortcomings of current institutional policy and practices regarding Open Access 2. Assess the effectiveness of different communication channels for promotion and training 3. Write a draft of the new Open Access Policy 4. Approval of the draft by the Governing Council 5. Policy published in Catalan, Spanish and English **INDICATORS** Share of met targets Open Access Policy published Number of accesses to the dedicated website Number of publications in the repository Share of research outputs in the repository Number of accesses to the publications in the repository
A7. Open Access guide Giving guidance to researchers on how to comply with open access policies, especially managing intellectual property rights/copyright to ensure open access to their publications and e-theses.	[7][8]		Vice-Rector for Quality and Transparency	**TARGETS** 1. List frequently asked questions on open access implications for e-theses/copyright/prior publication 2. Identify relevant information and resources 3. Identify communication channels for promotion and training 4. Write a draft of the Guide on Open Access 5. Approval of the draft by the Delegate Committee for Research, Transfer and Doctorate 6. Publish guide in Catalan, Spanish and English **INDICATORS** Share of met targets Open Access Guide published Number of accesses to the dedicated website Number of enquires addressed
A8. Project Management Guide Acquisition of a project management programme to improve administrative processes and facilitate the generation and distribution of the Project Management Guide, which should gradually integrate issues related to safety, good practices, communication, data management, etc.	[4][5]		Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Benchmarking of project management programmes 2. Define contents, tools and actions 3. Acquisition of a project management programme 4. Gradually integrate the available resources 5. Communication plan to disseminate the improvements of the project management guide to the research community linked to action 22 **INDICATORS** Project management programme acquired Number of users Number of dissemination events

Action	Ref.	Responsible	Targets / Indicators
A9. Communication plan for research projects Giving guidance on how to set a communication plan for research projects by defining SMART (specific, measurable, achievable, realistic and time-bound) goals based on stakeholder communication requirements, available tools/media, and the policies and requirements of funders.	[8]	Vice-Rector for Communication and External Relations Rector's Delegate for Promotion and Dissemination	**TARGETS** 1. Define contents, media and actions 2. Collect resources and tools 3. Write the draft of the communication plan for research projects 4. Set up communication plan templates 5. Publish communication plan in Catalan, Spanish and English 6. Design the dedicated webpage 7. Communication plan widely disseminated among the research community **INDICATORS** Share of met targets Number of communication plans requested for research projects Number of accesses to the dedicated webpage Number of training events carried out Number of participants in training events Satisfaction survey
A10. Common agenda for dissemination and training activities Adapting the UdG intranet to allow a common multi-level and multi-user agenda to administer the different events, activities, meetings, etc. This agenda will be one of the main tools for research communication at the UdG level (intranet) as well as in society (internet).	[8][39]	Vice-Rector for Communication and External Relations Rector's Delegate for Promotion and Dissemination	**TARGETS** 1. Define the most adequate media and format 2. Identify relevant contents and stakeholders 3. Set up a protocol for updates 4. Implement a common agenda 5. Widely disseminate the common agenda among relevant stakeholders **INDICATORS** Share of met targets Number of items in the common agenda Number of accesses to the dedicated webpage
A11. UdG Researcher's Guide A tool specifically designed to help researchers manage the services and resources available at the UdG. The pack shall be built and published progressively, incorporating existing materials and policies and the products of this action plan until completed.	[2][4]	Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Define the most adequate media and format 2. Identify relevant contents and stakeholders 3. Write and publish the UdG Researcher's Guide v.1 4. Set up a protocol for (bottom-up) updates 5. Publish guide in Catalan, Spanish and English 6. Widely disseminate the guide among the research community **INDICATORS** Share of met targets UdG Researcher's Guide v.1. published Number of accesses to the Guide
A12. Welcome protocol for researchers The welcome protocol will supplement the Researcher's Guide by providing the required data to newcomers	[4][23]	Vice-Rector for Communication and External Relations	**TARGETS** 1. Audit current procedures 2. Spot the shortcomings of current procedures and needs

Action	Ref		Responsible	Targets / Indicators
(recruited and visiting researchers) to enable complete and seamless integration into the University working environment.			Rector's Delegate for Promotion and Dissemination	3. Identify the critical points to be addressed, relevant stakeholders and responsibilities 4. Write a draft of the welcome protocol for researchers 5. Protocol approved by the Delegate Committee for Research, Transfer and Doctorate 6. Protocol implemented and widely disseminated among the research community **INDICATORS** Share of met targets Welcome protocol defined and implemented Number of users: researchers to whom the service is provided Satisfaction survey to assess the quality of the service provided
A13. Definition the OTM-R policy and improvement of general OTM-R procedures The OTM-R working group will review and define the processes for selecting and recruiting researchers for the progressive adaptation to the OTM-R system. The whole set of internal rules regarding advertisement, selection and hiring of research staff as well as procedures and practices will be audited. The OTM-R protocol will collect the whole set of internal rules regarding the advertisement, selection and hiring of the research staff at all levels within UdG, as well as the procedures and practices associated to them.	[9][12-20] OTM-R 1,2,6-8, 11-15,16-19, 20-21		Vice-Rector for Staff	**TARGETS** 1. UdG's OTM-R policy defined 2. Audit the procedures considering Charter & Code (C&C) principles and requirements of OTM-R 3. Reinforce of the OTM-R items that already satisfy the requirements of the C&C 4. Implement measures for the items that are not aligned with C&C principles-OTMR-R check list 5. Write guidelines for the adaptation to the OTM-R system 6. Write a draft of the OTM-R protocol 7. Protocol approved by Delegate Committee for Staff 8. Protocol widely disseminated (website mainly) **INDICATORS** Share of met targets OTM-R policy published OTM-R protocol published Number of accesses to the dedicated web page
A14. Training programme on OTM-R The university will organize workshops to assure adequate training of the staff involved in the recruitment and selection of researchers.	[14] OTM-R 3		Vice-Rector for Staff	**TARGETS** 1. Design of an OTM-R training course 2. Training course on OTM-R approved by governing bodies and included in the Annual Training Plan 3. Training course organised twice a year **INDICATORS** Share of met targets Number of staff following training in OTM-R Satisfaction survey to evaluate the quality of the training provided
A15. Use of e-tools for recruitment The use of e-tools for the whole recruitment process will be promoted, considering job advertisements, applications and	[13] OTM-R 4		Vice-Rector for Staff	**TARGETS** 1. Evaluation of software options and technical capabilities required for implementation of e-tools for recruitment

Action	Ref	Timeline	Responsible	Targets / Indicators
reports on the selection process to reduce the administrative burden for candidates and selection committees.				2. Deployment of e-tools for authenticity certification in application forms 3. Protocol for e-recruitment of different positions defined 4. Software and technical capabilities for e-recruitment in place **INDICATORS** Share of met targets E-tools for recruitment in operation Share of processes managed with e-tools
A16. Quality management system for OTM-R The use of a manual and of e-tools formalises the quality management system for OTM-R. It should document processes, procedures, and responsibilities for achieving quality policies and objectives	[12-21] OTM-R 1,5,10, 22-23		Vice-Rector for Quality and Transparency	**TARGETS** 1. Drafting of the quality management system manual 2. RASCI responsibility matrix (responsible, accountable, support, consulted, informed) adopted to assign and display responsibilities 3. Processes and indicators related to the implementation of the HRS4R and OTMR principles well defined 4. Evaluation of technical capabilities required for implementation of e-tools for quality 5. Implementation of an e-tool for quality management, dashboards and documentation provision **INDICATORS** Share of met targets Number of processes completed, partially fulfilled and pending Statistics on indicators Share of complains
A17. Second Gender Equality Plan The Second Gender Equality Plan will be a developing tool in which the strategic lines and actions proposed by the government must be defined to promote equal opportunities between women and men in the various fields of competence of the Universitat de Girona. The plan will strengthen and update the measures currently in force within the framework of the Equal Opportunities Plan, whose objective is to achieve equal treatment and opportunities between women and men and to eliminate discrimination based on gender.	[10][24]		Vice-Rector for Territory and Social Commitment Rector's Delegate for Gender Equality	**TARGETS** 1. Definition of priority objectives and strategic lines 2. Identification of actions, resources and responsibilities of the different units and services 3. Definition of a participatory process that allows feedback from the University community and experts in gender equality 4. Drafting of the Second Gender Equality Plan 5. Approval of the Second Gender Equality Plan by the Governing Council 6. Publication and communication to the University community **INDICATORS** Share of met targets Second Gender Equality Plan published Annual diagnosis on the presence of men and women in different areas of the community
A18. Research infrastructures management	[23]		Deputy to the Rector for Infrastructures	**TARGETS**

Action	Ref	Timeline										Responsible	Targets / Indicators
Deploy a user-friendly inventory for all scientific and technological equipment available in departments, institutes and research centres. The inventory should provide an overview of the scientific and technical capabilities, in addition to collecting all requirements regarding maintenance or health and safety issues.												and Scientific-technical Resources	1. Evaluation of software options and technical capabilities required for the implementation of the inventory 2. Software and technical capabilities for the management of research infrastructure already in place 3. Definition of the up-date protocol and relations with other institutional databases 4. Template with the main features and characteristics of the equipment to be included in the inventory 5. Data base built up and progressively updated 6. Inventory of scientific and technological equipment with identified capabilities and applications progressively deployed **INDICATORS** Share of met targets Number of items in the inventory database Number of identified capabilities and applications Number of users
A19. Development framework for researchers Career paths, competences and skills for researchers at all levels need to be (re)defined as an integral part of adopting the EU Charter and Code for researchers. A conceptual development plan for researchers, inspired by the VITAE Researcher Development Framework, will be developed. In defining this model of competences, the UdG seeks to identify and define the skills that researchers need to develop through every step of their research career in order to contribute to their professional and personal development. The skills map will be a tool to identify training needs (to ensure that researchers meet the demands of their roles) and the training offer addressed to each scale. As a result, researchers at the UdG will be in a position to maximise opportunities and develop a wider career path.	[28][38][39]											Vicerector for Staff Vicerector for Research and Knowledge Transfer	**TARGETS** 1. Benchmarking of development framework for researchers in outstanding research centres and universities 2. Identify relevant stakeholders 3. Meetings with relevant stakeholders 4. Write the draft of the development framework for researchers. 5. Approval of the draft by the Delegate Committee for Research, Transfer and Doctorate 6. Development framework for researchers published in Catalan, Spanish and English 7. Development framework for researchers widely disseminated among the research community **INDICATORS** Share of met targets UdG's development framework for researchers approved and published Number of accesses to the dedicated website/document Number of dissemination events on the subject and number of participants
A20. Continuous development training plan for researchers According to the skills map defined within the Development framework for researchers (Action A19), the best tools to obtain these competences should be defined and deployed, and include a provision of tools to increase employability and entrepreneurship.	[30][38][39]											Vice-Rector for Staff Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Review of the current UdG formation plan for teachers and researchers 2. Identification of and meeting with relevant stakeholders and representatives 3. Write a draft of the continuous development training plan for researchers 4. Draft approved by the Governing Council

Action	Ref	Timeline	Responsible	Targets / Indicators
As a first step, this action proposes to redefine the current UdG formation plan for teachers and researchers and to improve its dissemination.				5. Training calendar set-up **INDICATORS** Share of met targets UdG's continuous development training plan for researchers approved and published Number of training actions planned Number of research staff trained
A21. Research assessment procedures Internal evaluation of individual researchers through the recognition of Active Researcher (IA) status is a way to improve research activity. The percentage of researchers recognised as IA has increased over the years to more than 95%. Thus, new objectives can be established to encourage researchers to further improve their research.	[11]		Vice-Rector for Quality and Transparency Vice-Rector for Research and Knowledge Transfer	**TARGETS** 1. Benchmarking of research evaluation criteria in outstanding research agencies, centres and universities 2. Identify relevant stakeholders 3. Meetings with relevant stakeholders 4. Write the drafts of the evaluation criteria at individual and research-group levels 5. Approval of the drafts by the Governing Council 6. Evaluation criteria published in Catalan, Spanish and English 7. Research evaluation criteria widely disseminated among the research community **INDICATORS** Share of met targets UdG's Research Evaluation Criteria approved and published Share of staff positively assessed
A22. Communication plan for HRS4R Designing a communication plan for HRS4R to inform the UdG community of the different actions and outputs of the HRS4R initiative at the Universitat de Girona.	[1-40]		Vice-Rector for Communication and External Relations Rector's Delegate for Promotion and Dissemination	**TARGETS** 1. Design of the corporate image of the project and stylebook (the image sought was one that would allow to visually associate the process with the HRS4R initiative) 2. Maintenance of the website 3. Creation of news and other actions in virtual and social media 4. Creating messages for the dissemination to research staff by target segments **INDICATORS** Share of met targets Image for the project implemented Number of accesses to the dedicated webpage Number of updates of the webpage Number of interactions in social media

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

The link between the overall action plan and the OTM-R checklist has already been included within the list and description of the individual actions to be undertaken in our organisation's HRS4R. A specific OTM-R working group has been created for the revision and updating of the current recruitment process in order to meet the Charter & Code and OTM-R items identified in the Gap Analysis. The aim is to reduce as much as possible the administrative burden for candidates and researchers hired (Actions A13 and A15) and increase the international visibility of the positions offered (A15) while assuring high quality standards (A16).

Although substantial agreement with OTM-R principles is guaranteed, the definition and adoption of a proper OTM-R policy is needed. Action A13 (as detailed above) foresees the definition of the UdG's OTM-R policy with the collection, improvement and dissemination of information, regulations and procedures in order to fill the gaps identified. Following the Governing Council/Delegate Staff Committee's discussion and approval, it will become the institution's regulatory instrument for the human resources strategy for researchers.

Upon definition of the OTM-R policy of the institution, OTM-R protocols will be defined for the different positions (Action A13). The policy and the protocols will address the whole set of inner regulations concerning the advertising and application phase (OTM-R principles 11-15), selection and evaluation phase (OTM-R principles 16-19) and the appointment phase (OTM-R principles 20-22).

Currently, several web pages of the website contain information about how the UdG has been regulating different OTM-R aspects and the intranet section provides added information and services dedicated to the staff involved in recruitment processes for the different categories of researchers. A single web page – organised for professional categories – will be updated and further implemented in English. This new architecture of coordinated information on OTM-R policy and related materials, together with the promotion of the European Charter and Code for Researchers, is foreseen in Action A22.

Newly adopted or improved IT tools will allow the submission of online applications, the assessment of formal requirements and qualifications, registration of the minutes of the selection committee, publication of all results and feedback. The impact of all ad hoc actions identified to fill in gaps regarding OTM-R principles will be maximized through the implementation of Action A22. This action, as described above, consists of a complete communication plan aiming to promote the existing and improved practices and procedures. Other actions described above (A19 Development framework for researchers and A20 Continuous development training plan for researchers) are expected to increase the attractiveness of the positions available at the Universitat de Girona and applications from abroad.

Moreover, Action A14 is dedicated to better support administration staff and selection committee members by providing training related to OTM-R policy underlying the importance of total adherence to the UdG's Code of Conduct/Ethical Code and to the European Code of Conduct for the Recruitment of Researchers. Through Action A17 (Second Gender Equality Plan), gender balance will be respected even when not currently mandatory.

Full compliance with feedback/complaint/appeal procedures is guaranteed for recruitment processes. Nevertheless, in the Action Plan a specific communication action (A22) has been designed to spread all information about institutional figures and services dealing with general work-related conflicts, disputes and grievances.

Overall assessment will be guaranteed through the implementation of a Quality Management System for the recruitment of researchers at the Universitat de Girona (ad hoc Action A16).

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

4. IMPLEMENTATION

General overview of the expected implementation process:

The implementation strategy of the action plan is based on the experience and practices adopted during the HRS4R process of gap analysis and action planning by a steering committee, an implementation and monitoring committee and a coordinator for HRS4R.

The UdG constituted the **Steering Committee (SC)** on 27 July 2018. The SC, chaired by the rector, Quim Salvi, monitored the Gap Analysis and Action Plan developed in this proposal. The Steering Committee is composed of top-level representatives of the Executive Council, administration and service heads with competences in human resources, international relations, and research and knowledge transfer, and representatives of the department and institute heads and a representation of researchers at different stages (for a complete list, please refer to document 1 describing the Gap Analysis process). The confluence of diverse backgrounds and viewpoints stimulates a fluent debate that will be paramount for the Implementation phase.

As for the Initial Phase, the **Implementation and Monitoring Committee (IMC)** will coordinate and follow up the day-to-day of the implementation by reviewing performance indicators. The IMC will submit quarterly reports to the Steering Committee and the Governing Council about HRS4R implementation. During the Initial Phase, the IMC was composed of the Vice-Rector of Quality and Transparency (Pepus Daunis-i-Estadella), the Vice-Rector for Research and Knowledge Transfer (Maria Pla), the Vice-Rector for Staff (Joan Andreu Mayugo), the coordinator of the HRS4R (Maria Martin) and technical staff (Teresa Roura, Carme Delgado) supporting the activity of the Committee.

For the Implementation Phase, the IMC will be reinforced with the participation of Isabel Muradàs (Technician of the General Manager's Office in Support of Strategic Projects), who will coordinate the different units and services involved in the implementation of the action plan according to a RASCI (responsible, accountable, support, consulted, informed) matrix for the assignment of responsibilities and identification of key contributors. In each bimonthly period, if deemed necessary, the most affected accountable will be incorporated into the IMC.

Maria Martin, Deputy to the Rector for Infrastructures and Scientific and Technical Resources, assumes the **coordination of the Implementation Phase**, continuing the activities already undertaken in the **Initial Phase**.

Six ad hoc **working groups** are being established to implement the actions specified in the plan as listed below. Each working group will be constituted by 5–11 people comprising: i) representatives of the different areas and services within the administrative staff in accordance with the RASCI matrix defined; ii) representative of the Executive Council iii) representative of the Governing Council/(Delegate) Committees and iv) researchers appointed through an open call for participation. These different backgrounds will stimulate a fluent debate with multiple perspectives of the same problem, to prepare each of the deliverables and their correspondent road maps.

- **Ethics and Gender Equality (EGE_WG)** in charge of drafting the collective self-regulating instruments for ethical and gender equality policies and procedures on core activities of the UdG
  - A1. Code of Ethics
  - A2. Code of Good Practices in Research & Innovation
  - A17. Second Gender Equality Plan

- **Research Data Management and Open Access (RDM&OA_WG)**: responsible for the development of sound data management and open access actions, in addition to analysing the mechanism that could be incorporated to foster Open Access publication among the UdG research community.
  - A3. Data Ownership Policy
  - A4. Intellectual Property Policy
  - A5. Reference Guide to Research Data Management
  - A6. Open Access Policy
  - A7. Guide on Open Access

- **OTM-R (OTM-R_WG)** with the task of reviewing the processes of selection and recruitment of researchers for the progressive adaptation to the OTM-R system.
  - A13. Definition the OTM-R policy and improvement of general OTM-R procedures
  - A14. Training programme on OTM-R Selection
  - A15. Use of e-tools for recruitment
  - A16. Quality management system for OTM-R

- **Research Career Framework (RCF_WG)** that will be involved in the development of actions planned to address the definition of the development plan for researchers at the Universitat de Girona and the best tools to obtain these competences.

A19. Development framework for researchers

A20. Continuous development training plan for researchers

- **Research Management and Assessment (RM&A_WG)** tackling the actions designed to address the identified shortcomings related to project management and research resources and evaluation

  A8. Project Management Guide

  A18. Research Infraestructures Management

  A21. Research assessment procedures

- **Communication (C_WG)** which will be involved in the development of actions addressed to increase the visibility of the research activities at the institution and improving the communication of assets to the research community, including the main outcomes of the HRS4R initiative

  A9. Communication plan for research projects

  A10. Common Agenda for dissemination and training activities

  A11. UdG Researcher's Guide

  A12. Welcome protocol for researchers

  A22. Communication Plan for HRS4R

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	The action plan has been designed following the experience acquired during the initial phase, thus facilitating the adoption of new policies and practices that will enable the UdG to be in line with its European references.
	Cloud tools for teamwork, coordination mechanisms and monitoring are already established. For the above reasons, and regardless of the duration of the evaluation process to obtain the seal, the implementation of the plan will begin in the fourth quarter (Q4) of 2019.
	The Implementation and Monitoring Committee will report quarterly about HRS4R implementation to the Steering Committee and the Governing Council/Delegate Committees.
	The Steering Committee will hold biannual meetings and work sessions.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	Including all types of researchers in ad-hoc working groups guarantees the participation of the research community in any action that implies the development and approval of new guidelines, protocols and/or regulations.
	The key outcomes of the action plan will be debated and endorsed by the competent governing bodies in which researcher representation is assured in accordance with University regulations. Thus, the entire community will be updated on the progress.
	Research group leaders within the UdG play a main role in raising awareness and dissemination of the HRS4R. Following regular reporting by the Implementation and Monitoring Committee as mentioned earlier, specific informative meetings and seminars will be planned.
	In addition, a communication plan (will be designed with the aim of raising awareness in the University community about the Charter & Code and OTM-R criteria and, also, to report on progress in implementation. The communication plan will include updating of the web contents and the integration into the intranet of the new contents in the appropriate section.
How do you proceed with the alignment of organisational policies with the HRS4R?	The Universitat de Girona's statutes define its structure, competency allocation, representativeness and stakeholder participation mechanisms

Checklist	*Detailed description and duly justification
Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	within the decision-making bodies. Most of the actions in this plan are intended to make the principles of the HRS4R visible and explicit in key aspects relevant to practices at the Universitat de Girona. Alignment of the organisation policies with HRS4R will be assured by embedding the main actions in the decision-making bodies established in the University in accordance with its statutes. Accordingly, most of the actions have been planned to include a guideline, protocol and/or regulation to be debated and endorsed by the Governing Council and/or Delegate Committees.
How will you ensure that the proposed actions are implemented?	One of the programme objectives of the institution's current government team was to position the Universitat de Girona in a process of continuous improvement in terms of its human resources for research within the HRS4R initiative. During the initial phase, an intensive information campaign was undertaken to raise awareness among the University community about the relevance of the HRS4R. The remarkable participation in the survey is an exponent of the Universitat de Girona community's involvement. Thus, there is a strong institutional engagement and key actors are sensitive to changes and are committed to their implementation and promotion. To ensure the implementation of actions in a timely manner, the Executive Council will allocate enough internal resources, reinforcing the deficit prone areas according with the workload and the resources available. The responsible units for the actions are identified in the vice-rectorates, the organisational units of the University management, to guarantee a strong and coordinated action of the administrative units. In the Universitat de Girona, thanks to its size and its consolidated organisational structure, the administrative units interface directly and easily with the governing bodies. This guarantees that all stakeholders operate in line with the strategic directions and with the involvement of the entire community.
How will you monitor progress (timeline)?	Measuring the progress of the Action Plan is the main responsibility of the Implementation and Monitoring Committee (IMC). A standardised working procedure will be established to ensure the quality of the outcomes and of the main indicators of the implementation process for all working groups. To facilitate the monitoring and a transparent follow up of progress, a quality management system software (ServiceNow) will support implementation monitoring. Training and technical support will be available to the users of the Quality Management System Software (QMSS) following the experience acquired in its implementation for the quality management of degree and doctoral studies. The monitoring process will consist of the following steps and mechanisms: 1. Work group/unit meetings. For each group, a coordinator will be appointed who will: • Define a specific working plan for the WG/unit according to the timeframe of the action plan and data entry to the QMSS • Update the implementation progress into the QMSS and report to the IMC 2. Progress meetings of the IMC for:

Checklist	*Detailed description and duly justification
	• Scorecard updating • Detecting deviations and proposing corrective actions • Elaborating quarterly progress reports • Biannual reporting to the Steering Committee • Interim assessment preparation The report will be transferred to the Steering Committee for its supervision and approval.
How will you measure progress (indicators) in view of the next assessment?	The Implementation and Monitoring Committee will take on the ongoing task of evaluating the progress of the actions scheduled in the HRS4R process. Within the IMC, the Vice-rector for Quality and Transparency will coordinate the data collection through the QMSS with the different working groups and units involved in the Action Plan. Suitable protocols and mechanisms will be established to collect the information at the start-up of the implementation phase. A scorecard will be set-up for gathering up the indicators linked to each programmed action. Furthermore, the basis for the composition of the forms of the interim assessment will be: • The 4th progress report to the Steering Committee (Q3 2021) • The information collected in the scorecard • A rechecking of the 40 principles of the C&C using the toolkit suggested for the GAP analysis (Q2 2021)

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)