

## Internal Review

**Case number:** 2018ES346754

**Name Organisation under review:** Universidad Carlos III de Madrid

**Organisation's contact details:** C/ Madrid, 126, Getafe, Madrid, 28903

**Submission date to the European Commission:** 05/04/2019

## 1. Organisational Information

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

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	1348
Of whom are international (i.e. foreign nationality) *	209
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	219
Of whom are women *	475
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	867
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	195
Of whom are stage R1 = in most organisations corresponding with doctoral level *	273
Total number of students (if relevant) *	21672
Total number of staff (including management, administrative, teaching and research staff) *	2055
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	190196914.39
Annual organisational direct government funding (designated for research)	90004764.11
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	22131860.76

**RESEARCH FUNDING (figures for most recent fiscal year)**

€

Annual funding from private, non-government sources, designated for research

15808620.72

**ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)**

The Carlos III University of Madrid aims to contribute to the improvement of society through advanced research in accordance with demanding international criteria and quality teaching. The University aspires to excellence in all its activities, with the aim of becoming one of the best European universities.

The university will promote the development of its members within the framework of the public service of higher education. Its activities will be guided by the values of merit, capacity, efficiency, transparency, equity, equality and respect for the environment.

UC3M's Strategic Plan is structured in 4 axes: Research, Education, Relationship with Society and Good Governance.

**2. Strengths and weaknesses of the current practice**

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

**Note:** Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

## Ethical and professional aspects\*



## Strengths and Weaknesses (Initial Phase)

## Strengths and Weaknesses (Interim Assessment)

In line with the University's Strategic Plan, and the commitments acquired to the HR Excellence in Research Award, UC3M has made significant progress in the area of Ethical and professional aspects.

These actions are mostly complete except for Open Access Institutional Policy (<https://www.uc3m.es/library/how-publish/open-access-publishing>), that is in progress, and whose objective has been reformulated: a comprehensive **Open Science policy**, where the Open Access is a constituent element.

The action aims to embed an Open Science culture at institutional level.

For this purpose, it was created the Open Science Unit (UniOS) and the FOS Programme (Full Open Science), in order to departments, institutes or research groups can join the action.

Ethics dimension in research is an important aspect which must be taken into account in all research project phases and it is very important consider these aspects from the proposal stage until closure of project including all publications as well as data. In addition, UC3M is working on transferring general principles both national and European to its own regulative framework and on September 25th, 2014 the University Carlos III of Madrid created an Ethics Committee with the aim of assessing the implementation and application research projects/activities developed in the University.

In April 27th, 2017 the UC3M Governing Council approved the Operating Regulations for **UC3M Ethics Committee in Research**: ([https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical\\_Aspects](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects)) (see more information at Remarks section A)

In line with the Action Plan published in May 216, the Ethics Committee in Research published in September 2017 the "Protocol for requesting Report to Universidad Carlos III de Madrid Research Ethics' Committee". This document described the procedures of the Ethics Committee (forms, procedures for requesting an ethics evaluation, etc. In addition, on April 2017 the Ethics Committee also delivered the document "Operating Regulations for Universidad Carlos III de Madrid Ethics' Committee in Research". This regulation aims to establish the scope of its actions, as well as regulate its operation, composition and decision-making mechanisms.

Finally, the "**Code of Good Practice in Research and Transfer for the University**" was published on December 2017 ([https://orff.uc3m.es/bitstream/handle/10016/26071/buenas\\_practicas\\_investigacion\\_transferencia\\_2017.pdf?sequence=1&isAllowed=y](https://orff.uc3m.es/bitstream/handle/10016/26071/buenas_practicas_investigacion_transferencia_2017.pdf?sequence=1&isAllowed=y)). This document establishes recommendations and commitments in order to carry out research activities and it is the instrument for self-regulation which complementing existing legal norms promotes and guarantees good practice in research activity (see more information at Remarks section B)

The **II Gender Equality Plan** (<https://www.uc3m.es/ss/Satellite/Igualdad/en/TextoMixta/1371221498327/>) consolidates what has been achieved in recent years in relation to the Good Practices carried out in our institution in this field (language in equality, images in equality, protocols against sexual harassment, etc.) and aims to go one step further, to undertake many pending tasks, such as breaking the gender digital gap, reducing segregation or eliminate sexist stereotypes (see more information at Remarks section C)

## Remarks (max 500 words)

**A. UC3M Ethics Committee in Research**

Projects supervised by the Ethics Board cover all scientific areas, for both national and international calls, as well as all types of projects, from public financing to private.

Specific research aspects supervised by this Committee will cover among others, the following topics:

- Human and animal research.
- Personal data protection.
- Protection of Fundamental Rights of People.
- Cooperation with development countries.
- Defense and security issues.

In addition, this Committee will ensure good practice in all aspects of the project related to:

- The scientific publications.
- The use of pre-existing Intellectual property rights.
- The intellectual property rights generated during the research activity.
- The exploitation of generated results.

The Ethics Board is composed by staff from the University expert in different scientific field and may issue reports, recommendations and suggestions regarding proposal, projects and individual activities and research lines of the university' staff.

([https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical\\_Aspects](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects))

## **B. Code of Good Practice in Research and Transfer for the University**

This code constitutes a set of principles and norms related to the practice of research activity and is a guide to guarantee ethics in research activity carried out in the university.

Ethical dimension is a key point to be considered in all aspects of university life not only now but also in the future. In this sense, presently, the Universidad Carlos III de Madrid is developing an Ethical Code in line with the ever more frequent ethical codes in Universities. This code is already written entirety, and pending approval by the governing bodies of the University.

This commitment ensures the responsible and ethical behavior of all university community members and the well-being and personal and professional development of individuals, providing them with training and professional careers.

## **C. II Gender Equality Plan**

With regard to Gender Issues, these are present in strategic decisions at the university. In the Universidad Carlos III de Madrid different measures have been promoted to achieve the main goal of real equality of opportunities for all. This commitment made possible the creation of the Vice-rectorate for Students, Social Responsibility and Equality and the Equality Unit. This unit is responsible for developing, implementing, monitoring and evaluating the Equality Plan of the university which is part of the Strategic Plan of the University and establish the objectives in terms of promoting equal treatment and opportunities, as well as the strategies or measures to achieve them. Currently the II Gender Equality Plan at the University is in force.

It consists of fifty-two measures applicable to the university community and divided into four axes of intervention:

- Axis 1: Sensitise, communicate and train on equality issues.
- Axis 2: Access, promotion, career and working conditions.
- Axis 3: Conciliation and co-responsibility.

- Asis 4: Teaching and Research.

Recruitment and selection\* 

## Strengths and Weaknesses (Initial Phase)

## Strengths and Weaknesses (Interim Assessment)

UC3M has been ongoing to develop an attractive, open and viable environment in which general conditions enable high quality researchers to be hired and retained, thus encouraging performance and productivity.

The thematic area of recruitment and selection in UC3M has focused in five actions, we can be summed up in three main ideas (<https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment>):

- **Regulations** for providing selection and hiring procedures that are open, transparent and internationally comparable
- **New tools** (employment website, electronic recruitment system, etc), are being introduced into the selection processes at UC3M. This enables the candidates may be informed, prior to their selection, of the recruitment processes, selection criteria, the number of places on offer and prospects for their career development. In addition, candidates will be informed of the weaknesses and strengths of their application.
- Development of **Hosting Protocols** for international Faculty and for international visiting researchers

These measures, have to be reinforced by an action in progress, to be completed at the end of 2020: the regulation on the use of English in the University.

As indicated in the OTM-R Report (July, 2015), all the information must be published both in the national language and in English. This regulation will specify what type of documentation will be translated into both languages, as well as the use of English style.

## Remarks (max 500 words)

Working conditions\* 

## Strengths and Weaknesses (Initial Phase)

## Strengths and Weaknesses (Interim Assessment)

One of the remarkable aspects in this field, is the UC3M research website whose aims is to provide access to scientific and research information. The goal is to respond in a way that is rapid, dynamic and up-to-date in terms of research material and for those carrying out research in the University.

The ultimate objective is to visualize, via the web, the practice of science in order to link, share and discover the information it generates.

In this sense on november 2016 an specific research website was launched: the **UC3M Research Portal** (<https://researchportal.uc3m.es/> ). This portal intends to reinforce the promotion of advanced research in accordance with stringent international criteria.

The university provides with a tool to explore the R+D+i structure, quickly locate experts in a scientific research field and facilitate access to their research outputs.

The UC3M Research portal brings together in a single platform all the information on the research activity carried out at the university. In addition, together with a more friendly access to research data, the tool offers different results of scientific information to make easier identification of experts in specific topics or research groups.

The UC3M Research portal is designed as a tool to facilitate contact among researchers and to promote new ways of collaboration in the university. In addition the Research portal will improve visibility of the university (at national and international level) and it is in line with the strategic objective of consolidating open data transparency policy. This strategic gives answer to the general commitment of promoting the development of researcher's professional career, consolidating transparency and using ICTs as transversal tools for the development of the Plan's strategies and the digital transformation of the University.

Of particular note in this area, is the action in progress: the development of a **Career Plan for Faculty**. This is the keystone at the changing career landscape for researchers. ([https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170455/Work\\_conditions](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170455/Work_conditions))

UC3M endeavours to provide researchers with viable systems of professional development at all stages of their careers, independently of their contractual situation and their chosen field of R+D. It aims to guarantee that researchers are treated as professionals and as integral parts of the institution in which they work.

The UC3M should make an important progress on this, before the end of 2021.

The University, working in common with other institutions (ODISEA working group), is designing a Career Plan, using specific tools.

The Career Plan will be based on the four profiles as established in the EFRC (European Framework for Research Careers). Entrance points will be defined for each profile, as well as the necessary requisites to reach the next profile, according to national regulation.

## Remarks (max 500 words)

Training and development\* 

## Strengths and Weaknesses (Initial Phase)

## Strengths and Weaknesses (Interim Assessment)

Just one action is standing out in this area: **UC3M Training Plan for Faculty**, within the four career stages (<https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170658/Training> )

The Governing Board approved the Framework Plan for Faculty Training 2018-2023. This Plan is structured in three strategic axes: didactic axis, research axis and transversal axis. It introduces, as innovation, the development of a training profile for full-time Faculty of the Universidad Carlos III de Madrid.

The main objective of this Training Framework Plan is to make a significant contribution to improving the development of the professional career of teaching and research staff (PDI) at the Carlos III University of Madrid in line with the strategic axes established within the Strategic Plan UC3M 2016-2022.

It also aims to become, in the end, an additional differentiating element that contribute to the attraction and incorporation of the best teaching and research talent within the actions of the PDI.

Among the objectives established in the Strategic Plan UC3M 2016-2022, the present Framework Plan of Training aims to contribute substantially to the achievement of the following:

- Make learning processes more flexible and transform the teaching experience
- Prioritize excellent, international and interdisciplinary research
- Increase visibility and impact
- Develop alliances in a global environment

## Remarks (max 500 words)

## Have any of the priorities for the short- and medium term changed? (max 500 words)

The action regarding Open Access Institutional Policy has started with the drafting of an Open Science/Open Access protocol.

But beyond the simple publication of a mandate or recommendation on Open Access, a more ambitious project will be made: a comprehensive Open Science policy, in accordance with the Open Science strategy of YERUN (<https://www.yerun.eu/strategic-action-area/open-science> ), where the Open Access is a constituent element.

The action plan takes into account the recommendations of the Open Science Policy Platform (OSPP-REC) regarding to embed an Open Science culture in the UC3M HR strategy: Ensure the HR Strategy for Researchers (HRS4R) practices and FP9 evaluation reflect the principles required to effectively embed a culture of Open Science at the institutional level.

On September 24th, 2018 The Open Science Unit (UniOS) and the FOS Programme (Full Open Science) are presented to the Research Committee, in order to all departments, institutes or research groups can join the action.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

The UC3M has developed, during the last years, high quality research and wants to keep on betting for a research of excellence at international level, that improves our position with respect to European universities. Our university expects their research teams share different disciplines that allow to be more competitive in international projects, attract prestigious researchers and encourage researchers mobility. All of this means, reinforcing support for research staff, throughout the national and international project life cycle.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

Last March, elections for Rector, were held at the university. Since there was only one candidate, the same Rector was elected. His work and his newly appointed management team will follow the same strategic lines.

Many members of UC3M's current management team make up the Steering Committee of the HR Excellence project and their involvement in this initiative is high.

### 3. Actions

Please consult the [list of all actions](#) you have submitted as part of your HR strategy. Please add to the overview [the current status of these actions as well as the status of the indicators](#). If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

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

#### **Proposed ACTIONS**

---

**Proposed  
ACTIONS**

<b>Action 1</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
Code of Good Practices in Research	1. Research freedom 2. Ethical principles 3. Professional responsibility 7. Good practice in research 8. Dissemination, exploitation of results 23. Research environment 31. Intellectual Property Rights	Q4 2017	Vice-President for Scientific Policy Research Service General Secretariat Human Resources Service & Organisation	CODE OF GOOD PRACTICES IN RESEARCH approved by Governing Council on December 14th, 2017 Submitted to Research Committee on December 12th, 2017 Training action for Faculty: "Sources of funding for research activities" June 2018
	<b>Current Status</b>	<b>Remarks</b>		
	COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects</a>		

## Proposed ACTIONS

### Action 2

Protocol for requesting Report to UC3M Research Ethics Committee

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom	Q3 2017	Vice-President for Scientific Policy Research Service	PROTOCOL FOR REQUESTING REPORT TO UC3M RESEARCH ETHICS COMMITTEE approved by Ethics Committee on September 15th, 2017 - Number of files processed: 6
2. Ethical principles			
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects</a>		

### Action 3

Operating Regulations for UC3M Ethics Committee in Research

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom	Q2 2017	Vice-President for Scientific Policy Research Service General Secretariat Human Resources Service & Organisation	OPERATING REGULATIONS FOR UC3M ETHICS COMMITTEE IN RESEARCH, approved by Governing Council on April 27th, 2017 - Dissemination to the University Community: email sent by Library Service on May 17th, 2017 - Training action for Faculty: "Sources of funding for research activities" June 2018
2. Ethical principles			
3. Professional responsibility			
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects</a>		

**Proposed  
ACTIONS**
**Action 4**

 Hosting  
Protocol for  
Visiting  
Researchers

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
4. Professional attitude	Q4 2018	Vice-President for International Relations and Cooperation International Relations Service Research Service Human Resources Service & Organisation	HOSTING PROTOCOL FOR VISITING RESEARCHERS approved by Faculty Committee on October 17th, 2018 - Number of queries answered: 15 researchers / 200 emails / 15 calls - Number of invitation letters issued: 7 - Number of registered visitors: 15
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects</a>		

**Proposed  
ACTIONS**
**Action 5**

 Hosting  
Protocol for  
Faculty

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
4. Professional attitude	Q4 2018	Vice- President for Faculty Human Resources Service & Organisation International Relations Service Research Service	HOSTING PROTOCOL FOR FACULTY approved by Faculty Committee on January 19th, 2019
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment</a>		

## Proposed ACTIONS

### Action 6

Open Access Institutional Policy Re-formulated  
Action: Open Science policy

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
8. Dissemination, exploitation of results	Q3 2018	Vice-President for Strategy and Digital Education Library Research Service	ACTION PLAN SUBMITTED: reported to Research Committee on September 24th, 2018 - Creation of UC3M Working Group on Open Science UniOS: November 20th, 2018 - Number of research groups will join Full Open Science: maximum 10 - Number of citizen participation initiatives in research projects: 2 - Number of training actions on Open Science (R1-R4): 1 - Number of Open Access datasets published by UC3M teams: 176
31. Intellectual Property Rights			
<b>Current Status</b>	<b>Remarks</b>		
IN PROGRESS	<a href="https://www.uc3m.es/library/how-publish/open-access-publishing">https://www.uc3m.es/library/how-publish/open-access-publishing</a>		

### Action 7

Laying the foundations for incentives for Faculty members for 2018 and 2020

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
------------------	--	------------------	--------------------------

**Proposed  
ACTIONS**

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
11. Evaluation/ appraisal systems	Q2 2017	Vice-President for Faculty Human Resources Service & Organisation Support for teaching and degree administration Center Postgraduate Studies & Doctoral School Research Service Library	REGULATION OF INCOME SUPPLEMENT FOR FACULTY approved by Governing Council on June 14th, 2017 - Number of recognized supplements: Research 351 (29.13%), Publications 389 (32.28%) and Teaching 360 (21.83%) - Number of publications assessed: Articles in journals 3,406, Chapters in books 512 and Monographs 166
<b>Current Status</b>	<b>Remarks</b>		
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/RHPdi/en/Detalle/Ficha_C/1371251454806/1371245521965/Complemento_Retributivo_UC3M">https://www.uc3m.es/ss/Satellite/RHPdi/en/Detalle/Ficha_C/1371251454806/1371245521965/Complemento_Retributivo_UC3M</a>		

**Proposed  
ACTIONS**

<b>Action 8</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
UC3M II Gender Equality Plan	<b>GAP Principle(s)</b>			
	10. Non discrimination		Vice- President for Students, Social Responsibility and Equality Equality Unit	UC3M II GENDER EQUALITY PLAN approved by Governing Council on November 30th, 2017 - Training sessions on equal treatment and opportunities for women and men, and Gender Violence: 4 - Increase in Gender Research (Pilar Azcarate Call May 22nd, 2017): 25%. - Information campaigns to prevent and eliminate sexual harassment and harassment based on sex: Gender Violence Days (November 20th-24th, 2018); Courses-workshops against sexual harassment and harassment based on sex (3); - Protocol for prevention and action against sexual harassment and harassment based on sex: approved in May 2018 - Training sessions by the LGTBI area of the Regional Government on Law 3/2016 (3)
	24. Working conditions	Q4 2017		
	27. Gender balance			
<b>Current Status</b>	<b>Remarks</b>			
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170165/Ethical_Aspects</a>			

  

<b>Action 9</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
Updating of UC3M Recruitment Regulation for non-tenured Faculty	<b>GAP Principle(s)</b>			
	12. Recruitment		Vice- President for Faculty Human Resources Service & Organisation	RECRUITMENT REGULATION FOR NON-TENURED FACULTY approved on Governing Council on March 19th, 2018 - Presentation in Faculty Committee on September 28th, 2018 and subsequent presentations in different meetings with members of Selection Committees. Implemented since the second term of academic year 2018/2019 - Selection Committees sessions (the week of December 17th, 2018) - Requested evaluation criteria to the Departments - Contracts Renewal, according to the criteria of assessment surveys for Faculty
	14. Selection (Code)			
	16. Judging merit (Code)	Q1 2018		
18. Recognition of mobility experience (Code)				
<b>Current Status</b>	<b>Remarks</b>			
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/RHPdi/es/Detalle/Ficha_C/1371249629998/1371245521965/PDI_CONTRATADO_NO_PERMANENTE">https://www.uc3m.es/ss/Satellite/RHPdi/es/Detalle/Ficha_C/1371249629998/1371245521965/PDI_CONTRATADO_NO_PERMANENTE</a> <a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment</a>			

## Proposed ACTIONS

Action 10	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
UC3M Recruitment Guidelines on Post-doctoral Researchers, for UC3M Departments, adapted to Spanish regulation (certifications)	21. Postdoctoral appointments (Code)	Q4 2016	Vice-President for Faculty Human Resources Service & Organisation	REGULATION FOR RECRUITMENT OF UC3M SPECIFIC ASSISTANTS PROFESSORS approved on Governing Council on November 24th, 2018
<b>Current Status</b>	<b>Remarks</b>			
COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment</a> <a href="https://e-archivo.uc3m.es/handle/10016/23919">https://e-archivo.uc3m.es/handle/10016/23919</a>			
Action 11	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Training the Selection Committee members, committing to compliance with the principles contained in the C&C	12. Recruitment	Q4 2018	Vice-President for Faculty Human Resources Service & Organisation	ACTION INCLUDED IN UC3M FRAMEWORK PLAN FOR FOR FACULTY TRAINING published on November 29th, 2017 - Launch of the Video "Recruitment of Researchers in the European Area" December 14th, 2018
<b>Current Status</b>	<b>Remarks</b>			
IN PROGRESS	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170339/Recruitment</a> <a href="https://www.youtube.com/watch?v=i-VQVLVg5Vl#action=share">https://www.youtube.com/watch?v=i-VQVLVg5Vl#action=share</a>			

**Proposed  
ACTIONS**

<b>Action 12</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
Developing new Employee Portal	<b>GAP Principle(s)</b>			
	13. Recruitment (Code)	Q4 2018	Vice-President for Faculty Human Resources Service & Organisation Institutional Communication Service Library	INCLUDED IN THE PROJECT TO IMPROVE THE SITES OF UC3M HR SERVICE: - Launch of Faculty Intranet on May 23th, 2018 - Launch of the Corporate Portal of the HR service on October 30th, 2018 - Launch of the Employee and Talent Attraction Portal of UC3M in May 2019
	15. Transparency (Code)			
<b>Current Status</b>	<b>Remarks</b>			
IN PROGRESS	<a href="http://staging.uc3m.es:6060/cs/Satellite/RH/en/PortadaMiniSite/1371247228243/Human_Resources_and_Organisation">http://staging.uc3m.es:6060/cs/Satellite/RH/en/PortadaMiniSite/1371247228243/Human_Resources_and_Organisation</a> <a href="https://www.uc3m.es/ss/Satellite/RHPdi/es/PortadaMiniSite/1371243927595/">https://www.uc3m.es/ss/Satellite/RHPdi/es/PortadaMiniSite/1371243927595/</a>			
<b>Action 13</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
UC3M Regulation on the use of English for all processes	<b>GAP Principle(s)</b>			
	19. Recognition of qualifications (Code)	Q4 2020	Vice- President for International Relations and Cooperation International Relations Service	PROPOSED ACTIONS (2019 - 2022) 1- Launch of a University Services Survey: in July 2019 2- Report of the General Secretariat: Use of English in the Spanish Public University 3- Definition of the Regulation of the Use of English in UC3M documentation: in December 2020
<b>Current Status</b>	<b>Remarks</b>			
EXTENDED				

**Proposed  
ACTIONS**

<b>Action 14</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
UC3M Career Plan for Faculty	<b>GAP Principle(s)</b>			
	22. Recognition of the profession	Q4 2020	"Vice- President for Faculty Human Resources Service & Organisation"	"Action subject to the stable framework of the Permanent Faculty. The number of permanent Faculty positions advertised in the ""public employment offers"" of 2017 and 2018, have respectively been, 48 and 56. In addition to 39 positions at the ""stabilisation public employment offer"""
	<b>Current Status</b>	<b>Remarks</b>		
	EXTENDED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170455/Work_conditions">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170455/Work_conditions</a>		
<b>Action 15</b>		<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
UC3M Researcher Portal: Co- authorship Map	<b>GAP Principle(s)</b>			
	32. Co-authorship	Q4 2016	Vice- President for Scientific Policy Research Service Library	LAUNCH OF RESEARCH PORTAL approved at the Research Committee on November 8th, 2016 - Notification email to the Faculty on November 28th, 2016 - Correction of incidents detected on March 31st, 2017 - Number of visits: more than 1 million consultations in 2017 and more than 2 million until Sept 2018 - Number of incidents reported: the Research portal is updated periodically, removing the Faculty that is no longer at UC3M and correcting the errors detected by the research community
	<b>Current Status</b>	<b>Remarks</b>		
	COMPLETED	<a href="https://researchportal.uc3m.es/">https://researchportal.uc3m.es/</a> ORIGIN OF VISITS: North America; USA; Mexico; Canada; Costa Rica; Panama; Puerto Rico; Dominican Republic; Cuba		

**Proposed  
ACTIONS**
**Action 16**

 International  
Health  
Insurance for  
Faculty

<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
24. Working conditions	Q4 2020	General Management Human Resources Service & Organisation	Pending of approval. Study of budget proposals.
29. Value of mobility			

**Current Status**      **Remarks**

EXTENDED

## Proposed ACTIONS

Action 17	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
UC3M Training Plan for Faculty, within the four career stages	38. Continuing Professional Development	Q4 2017	Vice-President for Faculty Human Resources Service & Organisation Research Service Library Language Activity & Resource Centers	UC3M FRAMEWORK PLAN FOR FOR FACULTY TRAINING published on November 29th, 2017 - Expansion of the educational offer related to didactics by 37% - 20% of Faculty participation in at least one training offer - Level of satisfaction with the training actions of 7.3
	39. Access to research training and continuous development			
	<b>Current Status</b>	<b>Remarks</b>		
	COMPLETED	<a href="https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170658/Training">https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234170658/Training</a>		

### Unselected principles:

5. Contractual and legal obligations   6. Accountability   9. Public engagement   17. Variations in the chronological order of CVs (Code)   20. Seniority (Code)
25. Stability and permanence of employment   26. Funding and salaries   28. Career development   30. Access to career advice   33. Teaching   34. Complains/ appeals
35. Participation in decision-making bodies   36. Relation with supervisors   37. Supervision and managerial duties   40. Supervision

**The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.**

Please provide the link to the dedicated webpage(s) on your organisation's web site \*:

URL \*:

[https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/PortadaMiniSite/1371233858582/HR\\_Excellence\\_in\\_research](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/PortadaMiniSite/1371233858582/HR_Excellence_in_research)

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Initial Phase)

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

As UC3M received the HR certification prior to the publication of the OTM-R toolkit and HRS4R recommendations by the European Commission (2015), we currently do not have an online OTM-R policy document, but requirements are completed through our HR policy.

This is evidenced in the following points:

1. The current regulation, in all of the recruitment processes for non-tenured faculty, has been updated at the beginning of 2018 and performing in the following months, according to the document's main principles *OTM-R Report* under the national framework.
2. The Selection Committee members are been trained, committing to compliance with the principles contained in the European C&C. These Committees commitment to apply objectively the defined scales, constantly endeavouring to make a selection according to the principles of merit and ability in a multidimensional curriculum.
3. Post-doctoral positions has been standardized through recruitment in compliance with the current regulation, including definition of criteria to permit incorporation of both existing personnel and from outside of the University, both national and international.
4. In addition, the existing e-recruitment strategy in the University will be enhanced, in line with the OTM-R Report. From 2014, UC3M is already using an electronic recruitment system (Convoc@), that ensures more international and open recruitment. A new Employee Portal is going to be launched in May 2019. It will share all relevant aspects for any individual who has an interest in being contracted by the University and will offer a link for subscribers, to be reported about open-positions.
5. Furthermore, UC3M new language policy is in progress. The regulation on the use of English in the University will be defined at the end of 2020. All job openings will require to be published, both Spanish and English, in international recruitment channels.

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

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL:

[https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/PortadaMiniSite/1371233858582/HR\\_Excellence\\_in\\_research](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/PortadaMiniSite/1371233858582/HR_Excellence_in_research)

#### 4. Implementation

General overview of the implementation process: (max. 1000 words)

The UC3M implementation process has been developed during the years 2017 and 2018, based on the 17 proposed actions detailed at Action Plan 2016.

Making a reflective analysis on the initial and current status of each of the actions, we can summarize all relevant organizational milestones, since the Logo awarding, in the following key points.

1.- The C&C principles have been embedded in the UC3M Research environment through the development of new regulation in two main areas: Good Practices in Research and Research Ethics.

It is also evidenced by a research policy of openness and transparency, through the design of the UC3M Research Portal - Co-authorship Map (<https://researchportal.uc3m.es/>) and the starting up of the Open Access Institutional Policy, strategic point to be developed in the following years.

2.- UC3M is fostering talent attraction and retention and two main documents have been prepared and approved for hosting Visiting Researchers and Faculty. These documents contain the guidance lines to offer an attractive, qualified and efficient assistant for incoming talent.

The new Employee Portal (launch date May 2019) joined to the new UC3M language policy in progress (incorporation of use of English for all processes), will result in all job offers be published, both Spanish and English, in international recruitment channels.

3.- The principles of the Charter & Code are incorporated in the HR Service daily work, evidenced by the adaptation of the new recruitment regulation to European policies, but also through the setting up of an ambitious Training Plan for Faculty and Researchers, at all stages of their careers. These actions will be topped by a Career Plan for Faculty in the following years.

Apart from the initial Steering Committee, a Monitoring Group was set up and has been involved in the review process. This group was made up of seven people, including the Vice-presidents for Faculty and Political Science and expert project staff of the HR and Research Services.

Several meetings have been carried out to monitor the status of the actions

([https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234323061/The\\_HR\\_Excellence\\_in\\_Research\\_en\\_UC3M\\_project](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234323061/The_HR_Excellence_in_Research_en_UC3M_project) )

These meetings have organized the work during the months of the internal review, through different actions.

Specific sheets designed for this purpose were prepared to collect information of the action progress, indicators, remarks, etc. The relevant information of the sheets has been transposed to the reviewed Action Plan.

At the level of dissemination of the project to the research community, important actions have been carried out. Through the creation of a powerful website on HR Excellence, in collaboration with Communication and Library Services (<https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/PortadaMiniSite/1371233858582/> )

The website includes very complete information on the status of the actions, as well as “news and documentation of interest” sections. It also reinforces the dissemination of the recruitment processes, linking the University's employment website and the EURAXESS portal.

In the same line, and in order to make the C&C principles well known to the research community, several members of the Monitoring Committee have worked on the creation of six different videos, where the European Charter and Code are explained. These videos have been included in the catalogue of training actions for the Researchers.

(<https://www.youtube.com/watch?v=i-VQVLVg5VI#action=share>)

The project is also being disseminated abroad, in social networks, through the publication of monthly news through the LinkedIn site of the UC3M HR Service.

Moreover, stakeholders were consulted at the internal review period. In particular, members of UC3M research community, including the four stages of the research career (R1-R4).

Two activities (“Focus Group”) have been carried out. More than twenty-five researchers and members of the Monitoring group were involved.

They were informed/asked about the UC3M Action Plan 2016-2018: actions achieved, actions in progress and possible new actions (“Canvas methodology”).  
New ideas have been obtained on relevant topics such as communication in the institution, training, quality in teaching, professional development, mobility, etc.

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

**Note:** Click on each question of the checklist to open the editor.

How have you prepared the internal review?\*



Detailed description and duly justification (max. 500 words)

As we have mentioned before, the internal review has been prepared with a review of the 17 actions that make up the Action Plan 2016-2018.

Four key review activities have been carried out:

- Meetings of the Monitoring Group
- Gathering the progress of the actions on specific sheets
- Dissemination of the project, externally and internally

Two sessions with research community (“Focus group”), with more than 25 people involved on these.

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



Detailed description and duly justification (max. 500 words)

Many stakeholders were consulted at the internal review period. In particular, members of UC3M research community, including the four stages of the research career (R1-R4), emphasizing the presence of young researchers, R1-R2.

The consultation was carried out through the two “Focus Group” detailed before.

Moreover, two young researchers (R1-R2) are involved on the meetings of the Monitoring and Steering groups. They have collaborated in the information gathering.

A specific C&C training action has been carried out (on-line) for those researchers who are members of the contracting commissions. (C&C principles video)

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



Detailed description and duly justification (max. 500 words)

A monitoring committee has carried out a thorough process of monitoring and evaluation of each action, through evidence, indicators and checking if it was aligned with the University's Strategic Plan

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



Detailed description and duly justification (max. 500 words)

The UC3M HR policy is aligned with the UC3M Strategic Plan (2016-2022).

It is evidenced because the University fosters advanced research and quality teaching, hoping to be excellent in these activities, and with the aim of becoming one of the best European Universities.

To this end, the professional career and development of the research community are promoted, preserving the values of merit, capacity, efficiency, transparency, equity, equality and respect for the environment.

This is reflected in one of the 4 axes defined in the UC3M Strategic Plan: Research, whose purpose is "to generate research of excellence, interdisciplinary and international scope".

To reinforce this alignment, the Deputy Vice-President for Strategy and Digital Education, who is heading the UC3M Strategic Plan, is one of the members of the Steering Group of the HR Excellence project.

How has your organisation ensured that the proposed actions would be also implemented?\*



Detailed description and duly justification (max. 500 words)

As we described before, the proposed actions have been incorporated in the University daily work

It is evidenced by the adaptation of the UC3M regulation to European policies, but also through the setting up of aforementioned measures as: modernization of contracting systems (e-recruitment), introduction of Good Practices in Research and in Researchers Hosting, creation of Research and Employment Portals, publication of a Training plan for Researchers, etc

How are you monitoring progress (timeline)?\*



Detailed description and duly justification (max. 500 words)

Several meetings have been carried out to monitor the status of the actions

([https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234323061/The\\_HR\\_Excellence\\_in\\_Research\\_en\\_UC3M\\_project](https://www.uc3m.es/ss/Satellite/LogoHRS4R/en/TextoMixta/1371234323061/The_HR_Excellence_in_Research_en_UC3M_project) )

Steering and Monitoring group are in charge of these.

How will you measure progress (indicators) in view of the next assessment?\*



Detailed description and duly justification (max. 500 words)

The UC3M will measure the progress of each action with both qualitative and quantitative indicators. These will be fundamental tools to guarantee objectivity and comparability, since they represent a common language and allow to assess different magnitudes.

Some examples of the indicators to be used are listed below, expressed in terms of management, results, impact, quality, etc. These are aligned and linked our HR Logo project with the University's Strategic Plan, once again.

So, according to the four blocks of principles of the C&C, UC3M proposes the following indicators, among others, from the current date to the year 2022.

**Ethical and professional aspects:**

- UC3M will embed an Open Science culture at institutional level. Maximum 10 research groups will join Full Open Science objective.
- At least 5 measures that promote gender equality in Faculty recruitment processes will be established.
- The complements based on merit and performance of 2020 will be executed at 100%.

**Recruitment and selection:**

- The Employment Portal will be launched during the month of May 2019.
- The e-recruitment of researchers R1 and R2 will be increased by 30% through the new employment portal of UC3M (at least 189 R1 and 218 R2)
- At least 80% of the regulations for non-tenured Faculty will be reviewed and adapted.
- Specific training on the principles of the C&C and OTM-R will be offered to the participants of the Selection Committees (at least 202 participants)
- The number of international doctors at UC3M will increase by 5% (at least 129 PhD)

**Working conditions:**

- The number of courses related to personal and professional career development shall be increased annually by at least 5%.
- Training and research stays shall be increased by 5% (at least 219 research stays)

**Training and development**

- At least 30% of the PDI staff must have participated in at least one training course per year (at least 409 participants)

How do you expect to prepare for the external review?\*



Detailed description and duly justification (max. 500 words)

The UC3M external review outcomes will be shown through a renewed and appropriate action plan, but also to a complete report that will include evidences of the actions carried out and how the OTM-R Policy has been implemented.

In the months ahead, the UC3M will further align their HR and Research policies with the C&C principles, showing an adequate ambition, and maintaining coherence between the proposed goals and the achievements made.

For this purpose, researchers, departments and management, will be involved in the full process, in order to show that the HR Excellence process will be substantially embedded in the institution.

Following the strategy HRS4R, we hope to acquire a quality improvement, that will be evidenced by specific indicators for each action. If necessary, the proposed actions will be corrected and new ones will also be created.

Progress will be monitored through the design of a "monitoring plan" .

The objective of the monitoring plan is primarily the regular review of the proposed actions. Therefore, it will contain a schedule of meetings of the Steering Committee and the Monitoring Group. The Monitoring Group will carry out ordinary meetings once every two months, and extraordinary meetings at the request of a member. The Steering Committee will meet once every four months to oversee the work of the Monitoring Group and to propose new actions, as appropriate.

At the same time, the monitoring plan, will also include all the foreseen activities, focused on the participation of the research community during this implementation period.

The results to carry out the follow-up, will be based on the information gathered in "sheets" that have been specifically created and designed in UC3M for the HR Excellence project. In the sheets, those responsible for each action, will report progress, propose indicators, note any relevant data, etc.

All the advances, the novelties and the news, in relation to this topic, will be published in the HR Excellence web page and diffused through internal and external means of communication, in order to give sufficient and necessary visibility to the application of the strategy HRS4R in UC3M.

On the other hand, and following the guidelines of the European strategy during this period, UC3M will prepare their own OTM-R document. The document will describe in detail, the way in which our institution works, in terms of openness and transparency in recruitment processes.

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