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THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS HRS4R – UC3M

PROJECT DESCRIPTION

May 12th, 2016



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1. BACKGROUND

Universidad Carlos III de Madrid

ww.uc3m.es

Based on the Recommendation of 11 March 2005, the European Commission established the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, and recommended its implementation in the Member States.

These two documents are aimed at researchers as well as host institutions, and are key elements in the European Union policy to make research an attractive career. This is an essential strategy feature that stimulates economic and employment growth in Europe.

The "HR Strategy for Researchers" supports research institutions in the implementation of "The European Charter & Code for Researchers" in their policies and practices. These actions will make them more attractive to Excellence Researchers. The "HR Excellence in Research" award will identify institutions as providers and supporters of a stimulating and favourable working environment.

The Human Resources Strategy for Researchers – HRS4R has 5 steps:

- 1. HR Policy Institution Internal Analysis in relation to The European Charter & Code for Researchers (C&C) principles, involving key institutional stakeholders including researchers.
- 2. Publication of the HR Strategy for Researchers and Action Plan as a result of the internal gap analysis
- 3. European Commission (EC) approval and Excellence Logo concession
- 4. Strategy Implementation and Self-assessment (at least every two years)
- 5. External Evaluation (at least every four years).

2. UNIVERSIDAD CARLOS III DE MADRID STRATEGY

Universidad Carlos III de Madrid (UC3M) was established by an Act of the Spanish Parliament on May 5th, 1989, within the framework of the University Reform Act of 1983. From the outset it was intended to be a relatively small, innovative, public university, providing teaching of the highest quality and focused primarily on research.

In 2009 UC3M was awarded Campus **of International Excellence** ("Campus Carlos III") by the Spanish Ministry of Education as a result of UC3M's standards of excellence and internationalization:

- UC3M was the first Spanish public university to adapt all its undergraduate degree programs to the European Higher Education Area (EHEA) and to introduce dual degree programs.
- UC3M has always had a pioneering role in the introduction of bilingual (English/Spanish) degrees in public universities.
- UC3M has one of the highest numbers of tenured faculty members with six-year research periods in Spain.



On October 29th UC3M began its involvement with the **HRS4R Project** by attending the *"Info-Day - The Human Resources Strategy for Researchers or How to comply with article 32 of the H2020 Grant agreement"* which took place at the European Commission in Brussels.

In order to gather more information and experience, numerous appointments of HRS4R logo project managers were made at Spanish universities and research institutions. Rosa Bazán from *Instituto IMDEA Materiales* and Xavier Ariño from *Universidad Autonoma de Barcelona (UAB)* showed and advised UC3M on how to start up the project.

These two actions were carried out over the following months: the endorsement of *The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers*, signed by the Rector at UC3M on **December 17th, 2015**, and subscription to the *Declaration of Commitment by the members of the EURAXESS Services Network*, on **January 13th, 2016**.

The HRS4R Project then began its development, promoted by the Human Resources Service at UC3M under the leadership of Vice-Presidents for Faculty and for Scientific Policy.

It was officially presented to the UC3M Executive Board by the Vice-President for Faculty, Ignacio Aedo on **January 20th**, **2016**. Additionally, the Head of HR & Organization Service, Carmen Martin-Romo, presented the Project to the UC3M Faculty Commission (Heads of Department) on **January 25th**, **2016**.

Following the European Commission Recommendation, and in order to develop the "Gap Analysis", an internal **Working Committee for the HRS4R logo Project** was set up.

This management body works throughout the process with the aim of defining proposal documents, including the actions to be carried out (Action Plan).

At the same time, the UC3M Strategic Plan is being defined for the next 5 years. The Strategic Plan team and the Steering Group of the HRS4R project are working together.

3. ESTABLISHMENT OF WORKING COMMITTEE

The Permanent Working Committee/Steering Group is made up of:

- Vice-President for Faculty, Ignacio Aedo Cuevas
- Deputy Vice-President for Faculty, Belen Levenfeld Laredo
- Vice-President for Scientific Policy, Francisco Javier Prieto Fernandez
- Deputy Vice-President for Scientific Policy, M^a Jose Santos Moron
- Vice-President for International Relations and Cooperation, Matilde Sanchez Fernandez
- Deputy Vice-President for Strategy and Digital Education, Jose Antonio Garcia Souto
- Vice-General Counsel, Jose Vida Fernandez



- Head of Library, Teresa Malo de Molina Martin-Montalvo
- Head of Human Resources & Organization Service, Carmen Martin-Romo Romero
- Head of Research Service, Regina Garcia Beato
- Management Technician of the Research Service, Rafael Oliveros Alba
- Deputy Head of Human Resources & Organization Service, Elena Martinez Aparicio
- Coordinator of the HRS4R Logo Project in Human Resources & Organization Service, Susana Contreras Aladro
- Management Technician of the Human Resources & Organization Service, Marta Carracedo Sanchez

This Committee was set up as a joint initiative from the Vice-President for Faculty in a meeting carried out on **February 24th**, **2016**. The work methodology was designed with the aim of ensuring the "HR award" submission by the cut-off date, May 15th 2016.

Their work has been carried out through regular meetings, including on-line meetings. A new **Intranet** space based on Google drive was also put in place for this purpose. This space has allowed the Committee to share documentation, optimizing coordination.

On March 9th, 2016, a second Committee meeting was held, where the actions carried out by UC3M related to compliance principles of *The European Charter and Code for Researchers,* was analyzed. The outcome of the meeting was to provide suggestions for possible short and long term new actions.

4. FOCUS GROUPS

Following an analysis of *The European Charter and Code for Researchers* principles and the University internal regulation, the work methodology led to establishing different Focus Groups.

The Focus Groups were organized into four main work areas:

- Recruitment
- Working conditions and social security
- Ethical and professional issues
- Training and career development

These groups have different categories and professional Teaching & Research profiles, as well as skilled Administration and Services staff from University management and strategic process. The aim was to involve the University community in the Project.

Representation of researchers was taken into account: Senior, Junior and Pre-doctoral, from all scientific areas of the University, in full compliance with gender-equality principles.

Moreover, different members of the University Workers' Committee have been involved.



Author: UC3M Date: May 12th, 2016



Three working sessions were carried out through **Metaplan methodology**, in cooperation with over 60 people, in the first week of April (from April 4th to 8th, 2016)

Metaplan methodology has been applied to ease group methods and communication models. Here opinions are developed, common understanding is built and objectives, recommendations and action plans are formulated to focus on any problem that may arise and its possible solutions. This is a way to analyze the University community's "felt needs".

"Moderators" (a kind of facilitators) administer the groups and ensure that good communication, cooperation and high levels of understanding are achieved.

Metaplan is a moderation method of group work based on structured brainstorming sessions. The aims are ensuring that good communication, cooperation and high levels of understanding are achieved. This way the group can successfully and efficiently get to the bottom of the matter.

Three focus groups were established:

- Focus Group on Training & Working Conditions and Social Security
- Focus Group on Ethical and Professional Aspects
- Focus Group on Recruitment

The meetings structure was based on the following ideas ("Metaplan boards"):

- What is UC3M doing correctly and therefore should keep doing?
- What should UC3M be doing that it is not doing?

Participants were asked to conduct an analysis from the University's future perspective, without taking into account their personal situation.

Focus group sessions came up with very interesting ideas: actual needs and proposals in various fields.

Summarizing the proposals, priority aspects of improvement could be:

- Professional Career Plan for Academics
- Defining Good Practices in Research
- Training in all fields by addressing their real needs
- Transparency in the recruitment and selection processes
- Information through UC3M website and the "Employee Portal"
- Mechanisms of assessment and evaluation

The focus group results were analyzed at a Steering Group meeting on April 17th, 2016.

The findings of the focus groups were used to design a questionnaire addressed to all of the University community, aimed at gathering its "felt needs", on aspects identified as a priority and as necessary.

See meeting minutes in ANNEX I.





Focus Group Recruitment





5. QUESTIONNAIRE

Universidad Carlos III de Madrid

www.uc3m.es

On April 21st, 2016, a new meeting of the Steering Group was held in order to define the questionnaire. It was designed based on the proposals contained in the Focus Group minutes and in compliance with the 40 principles of The European Charter and Code for Researchers.

The questionnaire (included in ANNEX II), addressed to Tenured and Non-tenured Faculty (Postdoctoral and pre-doctoral researchers), was disseminated through different channels: email, Logo HRS4R website and internal dissemination mechanisms (social networks, the University home page and its newsletter).

Questions were organized into four areas: Recruitment, Training, Working Conditions and Social Security, and Ethical and Professional Aspects.

It consisted of 28 statements based on Likert Scale 1 to 4 (totally agree / totally disagree), yes/no values, and four blank spaces to transmit individual aspects on the four areas.

The online questionnaire was open on April 22nd, 2016 and was available until April 29th, 2016. The participation was motivated through several emails announcing the questionnaire and requesting involvement, in general to all academics, to the heads of the departments and to collectives of researchers.

A total of 334 Researchers answered the questionnaire, out of 1,374 potential participants, with a participation rate of 24.31%.



Please see questionnaire, results & graphics in ANNEX II and III, and IV



Based on the priorities emerging from the questionnaire results, the discussions from the Focus Groups and in accordance with the recommendations set out in the *OTM-R Report (July, 2015),* the **UC3M Action Plan** was defined and approved by Executive Board held on May 11th, 2016. It includes seventeen improvement measures to be implemented in the following three years (2016-2018).

6. COMMUNICATION PLAN OF THE HRS4R LOGO PROJECT

A Communication Plan for HRS4R Logo Project has been developed in collaboration with the Institutional Communication Service and the Library:

- A new public **website**, with information about the Project and framework development, was created:
- <u>http://www.uc3m.es/ss/Satellite/UC3MInstitucional/en/TextoMixta/1371219051045/</u> HRS4R: <u>Human_Resources_Strategy_for_Researchers</u>



 Internal Project advertising: Network Information Screens located in public spaces on University campuses, and weekly Newsletter for the University community





• External dissemination of University involvement in the logo Project through: **Social Networks**, **Corporate Website**, Communication **Media**, **Facebook** and **Twitter**.





NOTE: In order to improve the Project identification by the UC3M University Community, the image of the logo "HR Excellence in Research" has been punctually used.



7. MONITORING PROJECT

Following the European Commission Recommendation, a **Monitoring Group** for the project development, has been set up. This group is made up of some members of the Steering Group.

The objective of the Monitoring Group is to conduct a continuous follow up of the project and periodically report the Steering Group, who has the mandate of the University Leadership to develop the project within the established time.

The Monitoring Group will carry out ordinary meetings once every two months, and extraordinary meetings at the request of a member. This group shall ensure the implementation of the proposal actions, collect evidences of the indicators on the fulfillment of the actions, etc. Moreover, this group will report the Steering Group once every six months.

The Monitoring Group is made up of:

- Vice-President for Faculty, who shall preside, or the person delegated for that purpose
- Vice-President for Scientific Policy, or the person delegated for that purpose
- Head of Human Resources & Organization Service
- Head of Research Service
- Two people in the Human Resources & Organization Service, one of them shall be the Secretary of the group
- One people of the Research Service

8. CONCLUSIONS

One of the main positive outcomes of the internal analysis is that most of the principles described in the *Charter & Code* are already in practice at the UC3M.

However, there are some improvement areas which the Action Plan is based on:

- Recruitment: The UC3M will ensure the transparency of recruitment criteria by improving its recruitment procedures, in accordance with the recommendations set out in the *OTM-R Report (July, 2015)*
- Career Plan: The UC3M will provide a Career Plan. The Career Plan will be built on the basis of the four profiles established by EFRC (European Framework for Research Careers)
- Training Plan: The UC3M is aware that its researchers and academics need to develop their professional skills and competences to increase their opportunities. In this context, the Plan will supply their technic knowledges and bolster the development of transverse skills also necessaries to reach the excellence in research.
- Good Practices: The UC3M Code of Good Practices in Research is a guarantee of quality.



THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS HRS4R – UC3M

ANNEXES

9. ANNEX I: FOCUS GROUPS "METAPLAN BOARDS" PROFESIONAL DEVELOPMENT AND TRAINING

Date: 0	4/04/2016	Time: 16:0	0 Place: 15.0.06	Duration: 2 hours
PARTIC	CIPANTS:			
	Elena Mar Carmen M Susana C	lartín-Romo Romero, Head ontreras Aladro, Coordinato	ry. FACILITATOR I of Human Resources & Organization Ser of Human Resources & Organization Serv r of the HRS4R logo Project, Human Reso esources & Organization Service	ice
GUEST	Fernando Antonio D Jesús Gor Carlos Ma Fernando Pablo Zap	nzalo Muñoz. nuel Valdes. Broncano.	Cristina Brandle Cerqueira. María Teresa Alameda. Ana Reyes Pacios. Michele Curnis. Pablo Simón Cosano. Beatriz de las Heras.	Jorge Feliu Rey. Begoña Marugán. Carmen Martin-Solis. Juan Sánchez Monreal Laura Maravall Buckwalter Masa Scepanovic
1330E3	5 DISCUS		NAL DEVELOPMENT AND TRAININ	IG ASPECTS
			doing correctly, and therefore sho	
1.	a. b. c. d. e.	UC3M promotes/supports in It grants sabatic years for re There are good mobility gra	for lecturers and PhD students is working iternational mobility searchers nts as part of research mobility programme	
2.	a. b. c. d. e. f. g.	The support service availab The library support system UC3M supports patents' reg UC3M can proudly say that It also offers an excellent in Library staff is always availa	s excellent when it comes to credentials jistration its library management system is very effi- ter-library loan uble to help researchers	al services (OTRI and research management) cient and its staff is courteous lecture rooms, establishing relationship with the
3.	a. b.	Although these measures a	ivation system ing measures to encourage researchers	of professional development through motivation. of to encourage research hours
4.	a. b. c.		eaching innovation systems ining: wide range of courses with different	timetable
5.		ated to Supervisor (1 vote) Researchers have excellen	relationships with their supervisors	
6	Research	ers' introduction to partic	nation organizations	







Author: UC3M Date: May 12th, 2016

PROFESIONAL DEVELOPMENT AND TRAINING

Date: 04	/04/2016	Time: 16:00	Place: 15.0.06	Duration: 3 Hours
PARTIC	IPANTS:			
	Elena Martínez Aj Carmen Martín-Re Susana Contreras	omo Romero, Head of Hur Aladro, Coordinator of the	CILITATOR uman Resources & Organization S nan Resources & Organization Se e HRS4R logo Project in Human R res & Organization Service	rvice
GUESTS			0	
	Fernando Díaz de Antonio Descalzo Jesús Gonzalo M Carlos Manuel Va Fernando Bronca Pablo Zapatero	uñoz Ides	Cristina Brandle Cerqueira María Teresa Alameda Ana Reyes Pacios Michele Curnis Pablo Simón Cosano Beatriz de las Heras	Jorge Feliu Rey Begoña Marugán Carmen Martin-Solis Juan Sánchez Monreal Laura Maravall Buckwalter Masa Scepanovic
00020		-		
			DEVELOPMENT AND TRAIN	
		What sho	uld UC3M be doing that is no	ot doing?
	 b. Teachir c. UC3M s d. Disserta e. Lack of f. There a g. There i practice h. It's almost 	should be promoting teach ations can be a problem fo recognition in teaching pra- re high numbers of no ma s too much initiative in T a.	of recognition in comparison to re- ing practice in research activity r lecturers as they end up with mol actice ster lectures, besides the high nun	re work than they can manage. nber of students per lecture. ere should be more thought behind good teaching
2.		Services – Library (12 vo hould be more investment	tes) in research and teaching resource	es (Library)
3.	 a. There s b. Training c. There s d. Special e. There a is requi f. UC3M s g. Internat 	g should be available base hould be more courses for ized training: there should ire not enough training pro- red to improve call attenda should reinforce incentives ional mobility and continued	nce for researchers taking post-doctor ous training should work closely to	nd demands arch and training needs ation and public funds' access. A revised action pla ral training programmes
4.	a. There is b. There is and obj c. All serv	sn´t a clear path of continu ectives ices available at UC3M sh	and continuous development neithe	er- lack of resources and employment. s are not very well established, with ambiguous aim
5.	 Issues related to Mentors (7 votes) There should be mentor programmes to ease European projects' participation and improve enterprises relationships UC3M should take professional advice to attract more funding and projects 			
6.	a. UC3M a	ncentives (5 votes) aims to reduce the number hould be a specialized inc	r of teaching hours to increase the entive system	number of research hours
7.	a. Co-auth b. UC3M s	orship gets penalised	ch and Co-authorship (3 votes)	ry nature. UC3M has a wide variety of disciplines an



Multidisciplinary research should be promoted by recognizing co-authorship development. c.

- Issues related to Administration (2 votes)
- 8. UC3M should be firmer against the measurements imposed by public administrations a.
- Issues related to Mobility 9.
 - a. There should be more economic support for lecturers
 - b. Mobility: UC3M doesn't approach to external guests
 - There should be financial assistance for gap years c.
- 10. Issues related to Supervisor (1 vote)
 - a. Who is the supervisor?
 - Supervisors should supervise young researchers more closely b.
- 11. Issues related to intellectual property rights (1 vote)
- Intellectual property rights: UC3M should have an entity to advise and manage research's third party support and usage a. 12. There isn't enough proposals for professors categories and study plans
- 13. Issues related to Orientation/Guidance (1 vote)
 - UC3M ought to promote researchers' professional career development a.
 - Pre-doc training has become harder, with more bureaucracy, non-financed indirect credits, etc b.

PROFESSIONAL DEVELOPMENT AND TRAINING





Author: UC3M Date: May 12th, 2016

WORKING CONDITIONS

Date: 04/04/2016		6 Time: 16:	:00 Place	: 15.0.06	Duration: 3 hours
PARTIC		:			
	Elena M Carmen Susana	Malo de Molina, Head of Libi lartínez Aparicio, Deputy Hea Martín-Romo Romero, Hea Contreras Aladro, Coordinat arracedo Sánchez, Human F	ad of Human Resou d of Human Resour tor of the HRS4R log	ces & Organization Servic go Project.	
INVITA	Fernand Antonio Jesús G Carlos M Fernand Pablo Za		María Te Ana Rey Michele Pablo Si	Brandle Cerqueira. eresa Alameda. es Pacios. Curnis. món Cosano. le las Heras.	Jorge Feliu Rey. Begoña Marugán. Carmen Martin-Solis. Juan Sánchez Monreal Laura Maravall Buckwalter Masa Scepanovic
ISSUES	S DISCU	SSED IN THE MEETING			
			WORKIN	G CONDITIONS	
		What is UC3	VI doing correctly	/, and therefore shou	ld keep doing?
1.	Issues r	elated to Services Manager	ment (15 votes)		
	 a. Human Resources endeavors to provide a highly professional service to all employees b. There is a good relationship and efficient communication between PDI and PAS c. Service Management d. UC3M has a good IT department to solve any problems that might arise 				
2.	Issues r	elated to University Work E	Environment (10 vo	tes)	
	a. b.	There is an excellent work Work environment	environment in all	departments	
3.	Issues r	elated to Infrastructures (7	votes)		
	a. b. c.	Good infrastructures/office Facilities and sport course Facilities and work enviror	s		
4.	Issues r	elated to Gender balance (2	2 votes)		
	a. b. c.	Gender equality Gender equilibrium Support for equal opportu	nities		
5.	Issues r	elated to Stability and perm	nanence of employ	ment (2 votes)	
	a.	UC3M aims to keep tempo	orary teaching staff		
6.	Issues r	elated to Incentives (2 vote	s)		
	a.	UC3M should improve its	financial incentive p	rogrammes in research a	ctivity
7.	Issues r	elated to Budgets (2 votes)			
	a.	Employment will depend c	on the budget assigr	ned to each department	
8.	Issues r	elated to Working Conditio	ns (0 votes)		
	a. b.	Timetables, bank holidays Working conditions	, etc. Conciliation.		







HRS4R THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Author: UC3M Date: May 12th, 2016

WORKING CONDITIONS

Date: 04	4/04/2016	5 Time: 16:	00 Place: 15.0.06	Duration: 3 hours	
ASISTE	INTES:				
	Elena Ma Carmen I Susana C	Martín-Romo Romero, Head Contreras Aladro, Coordinat	rary. FACILITATOR ad of Human Resources & Organization Se d of Human Resources & Organization Sen or of the HRS4R logo Project Resources & Organization Service		
INVITAI	Fernando Antonio I Jesús Go Carlos M Fernando Pablo Za	onzalo Muñoz anuel Valdés o Broncano patero	Cristina Brandle Cerqueira María Teresa Alameda Ana Reyes Pacios Michele Curnis Pablo Simón Cosano Beatriz de las Heras	Jorge Feliu Rey Begoña Marugán Carmen Martin-Solis Juan Sánchez Monreal Laura Maravall Buckwalter Masa Scepanovic	
SSUES	S DISCUS	SED IN THE MEETING			
			WORKING CONDITIONS		
		Wha	at should UC3M be doing that is not	doing?	
	 a. UC3M should have a guideline for Human Resources policies. b. There should be a formal agreement between lecturer and his/her professional career development at university. c. Teaching is not well defined at any Spanish university. There should be clearer objectives for researchers. d. UC3M should promote its casual staff to permanent staff. e. UC3M should value and look after its casual Teaching & Research staff f. It's necessary to stabilize ANECA accredited lecturers, who meet their department criteria, in order to provassociate professors to full professor when public vacancies are available. g. Casual staff should be recognized h. The professional career is not well defined/ clearly established i. There isn't enough career clarity k. Professors have other jobs apart from teaching, such as committee participation, department work, etc l. There is a increased worry in the uncertainty behind recruitment m. There is too much uncertainty as we are highly dependent upon false associates 				
2.	 2. Issues related to Stability and permanence of employment (19 votes) a. There isn't any employment stability b. UC3M should use employment stability as a guideline c. Working conditions are clear but don't guarantee renewal. d. Casual staff's instability: employment criteria don't take into account excellence and only consider the department disposable income. e. It's very unfortunate the current unstable situation that young people live in. f. There is a lack of stability: annual contracts, recognition, etc. 				
3.	 Issues related to Budgets (13 votes) University budget distribution doesn't reflect Teaching & Research efforts Lecturers' seniority should not be added to the budget of each department There should be more homogeneity amongst departments and staff management 				
4.	 Issues related to Incentives (8 votes) a. Incentives should be improved in order to get real results b. Teaching, research and technological transfer should all be linked together salary wise c. Salary is highly linked to allowances rather than guality 				
5.	lssues re a. b. c. d.	Salaries are very low in co	s are poor: low salary, lack of training, etc mparison with quality and demand levels ries are not very competitive in contrast to E	European universities' salaries	





6. Issues related to Teaching (1 vote) a. Recognition of teaching in TFM y TFG 7. Other issues Lack of teaching recognition Some staff don't accomplish work responsibilities and don't get penalized neither a. b. Equality: there should be support available for parents (not only mothers). Health screenings from gender perspective. c. There is an important instability in the system that penalizes women's promotion (Old – Boy Network) Lack of office and laboratory's space: there should be a room for lunch d. e. f. Dental insurance WORKING CONDITIONS Respecto a Condiciones Laborales ¿Qué crees que se debe hacer y no se está haciendo?



Date: 0	6/04/2016	Time: 16:00	Place: 3.3.B.01	Duration: 2 hours	
PARTIC	CIPANTS:				
	Carmen Martín-Ro Susana Contreras	Aladro, Coordinator of the	nan Resources & Organization Service		
GUEST	S: Alfonso Durán He Luis García Gonz Ana García Arma Florina Almenares Guillermo Robles Ramón Zaera Pol COVERED IN T	alo da s Muñoz o	María Arrate Muñoz. Marcela del Río. Daniela Di Filippo. Arturo Ribagorda Garnacho. Clara Sainz de Baranda. Ángel González Ahijado.	Ana Acebrón Rafael Oliveros Pablo Fajardo Beatriz Velasco Nuñez Marco Raiola	
IOOOLC		-			
			CAL PRINCIPLES IN RESEARCH		
			g correctly, and therefore should	keep doing?	
1.	 Issues related to Research Support, OTRI Administration (38 votes) OTRI (Liaison Office) effectively supports contractual, financial and legal obligations. The support given by services like OTRI (Liaison Office) and Economic Financial Management Service justifyin National and European projects. Improving the necessary information available to manage research activity. The follow-up carried out by the Economic Financial Managemente Service to manage the project's expenses essential for the development of research activities and use of resources. OTRI (Liaison Office) offers great information regarding project's calls, funding, event organization, etc. The excellent support given by projects 'administrators in answering any legal and organizational questions regardin projects and calls. 				
2.	a. Guaran b. Resear c. Respec	Research Freedom (25 vo teed Research Freedom ch Freedom without limitat t for Research Freedom g free election of theme/su	ions		
3.	a. Employ There a high. b. There s endoga c. Employ disabilit	are some departments with hould be open research v my. ers and/or funders of resea y, etc.	earchers will not discriminate against re n excellent productivity records and ext racancies without previously having the archers will not discriminate against reso	esearchers in any way on the basis of gender. ernal funding where the ratio women-men are researcher's profile to avoid, where possible, earchers in any way on the basis of nationality, andards for researchers by public employment	
4.	a. The ins b. UC3M f c. Dissem d. E-files r e. Genera exceptio	nas TFG, TFM and doctora ination and exploitation of epositories are available for Ily speaking researchers of	ository contributes to dissemination of re al dissertations available online. results. Library support is essential here or free and open consultation.		
5.	a. Perform	Evaluation (8 votes) nance evaluation as a resu re, Evaluation and Researd	It of research and teaching ch Freedom.		



6. Issues related to Ethical Committee (4 votes)

- a. Ethical Principles. There is an Ethical Committee at UC3M to assess and evaluate research projects.
- b. The Ethical Committee should expand its knowledge and update it.
- UC3M follows ethical principles in Biomedical research (e.g. tested in animals) together with the Ethical Committee of associated organizations (e.g. Instituto de investigación Sanitaria Gregorio Marañon)
- 7. Issues related to Professional Attitude
 - a. Generally there is an excellent environment and cooperation between different groups





Author: UC3M Date: May 12th, 2016

Date: 0	6/04/2	2016	Time: 16:00	Place: 3.3.B.01	Duration: 2 hours
PARTIC		NTS:			
	Carn Susa	nen Martín-Romo ana Contreras Ala	Head of Research Servi Romero, Head of Huma adro, Coordinator of the F chez, Human Resources	n Resources & Organization Service IRS4R logo Project	
GUEST	Alfor Luis Ana Flori Guill Ram	nso Durán Heras García Gonzalo García Armada na Almenares ermo Robles Mui ón Zaera Polo		María Arrate Muñoz. Marcela del Río. Daniela Di Filippo. Arturo Ribagorda Garnacho. Clara Sainz de Baranda. Ángel González Ahijado.	Ana Acebrón Rafael Oliveros Pablo Fajardo Beatriz Velasco Nuñez Marco Raiola
ISSUES	S DIS	SCUSSED IN T	HE MEETING		
			ETHIC	AL PRINCIPLES IN RESEARCH	1
			What shou	Id UC3M be doing that is not d	oing?
1.	 Issues related to Good Practice in Research (27 votes) There isn't Good Practice Code in Research The way that non contractual temporary external researchers are welcomed to UC3M with regards to IPR, insurance, of desk and chair, email address, infrastructure access, etc, should be improved Common practice used to recover computer/ IT accident. E.g. security copies, software repositories. Ethical Aspects: personal data. Raise Awareness for data protection although some training in Security Policy has b approved by Governing Council It questions whether staff employed for research projects carry out research activity and if the answer is affirmative, their riand responsibilities. It is necessary to improve security in laboratories. In order to do that it's important to define responsibilities and train new stag. Some researchers use UC3M to set up their own economic activities. Sometimes it's possible to duplicate previous research. Hence the necessity to create a Manual of Good Practices 				software repositories. bugh some training in Security Policy has been activity and if the answer is affirmative, their rights tant to define responsibilities and train new staff.
2.	Issue	es related to Eva	luation/Appraisal Syste	m (25 votes)	
	 a. Lack of self-evaluation mechanisms- from previous experience, self-evaluations were very positive within the departments b. The enterprise contracts (Art. 83) are not considered appropriately because they are not competitive enough. c. The faculty's performance evaluation is not carried out by an independent committee d. UC3M should be encouraging researchers to conduct leading and innovative research e. It is important to evaluate research as useful publication. f. UC3M should provide and encourage publications in scientific magazines g. The recognition of enterprise research is rather low h. Dissemination and exploitation: lack of government and UC3M recognition. i. UC3M can't see how assessment controls would increase scientific competition and productivity j. It is vital to develop public commitment and internal evaluation mechanisms for research. k. There should be a system to promote the research career without limiting access- permanent agreement for teaching (Accreditation) l. Lack of evaluation and appraisal mechanisms of research results- there has been some progress but there is still some w be done, including a clear definition of objectives. m. There should be recognition and evaluation systems for research projects. External unknown committees are necess 				ey are not competitive enough. mmittee esearch n and productivity r research. ccess- permanent agreement for teaching merits been some progress but there is still some work to nitial stages
3.	Issue	es related to Info	rmation transparence a	nd demand (16 votes)	
	c. d.	Dissemination and Legal responsibition The current IPR	nd exploitation- there isn' lities- There isn't enough regulations make it difficu	ss to all information available in resea t enough training for young and budd knowledge and training about inteller ult to incorporate researchers at exist to establish legal contractual respo	ing researchers ctual property rights



- f. It is necessary to establish IPR based on generated, known and accepted results within research staff. Property, dissemination, exploitation, external IPR use are also important parts of IPR.
- g. There should be some regular training regarding intellectual property rights (IPR).

4. Issues related to Efficiency (16 votes)

- a. An efficient use of funds would require flexibility to manage research related costs.
- b. Ideally, all the CVs would be centralized in a single application. UC3M requires them in UNIVERSITAS XXI
- c. There should be more dissemination of results to society and media.

5. Issues related to Recruitment (7 votes)

- a. Employees should have stable economic employment conditions which would enable them to focus on research
- b. There are not clear criteria for employment
- c. It is necessary to create am executive body who decides the number of associate and full professor vacancies in the public sector
- d. It is important to limit the number of lecturer vacancies
- 6. Issues related to Non-discrimination (0 votes)
 - a. The non-discrimination for pre- doc employment should be reinforced as it does not follow any patterns at the moment.
 - b. In some calls "Ayudas estancias investigación" full time staff has preferences over casual staff. Art. 15.6 RD Legislativo 2/2015 de 23 de octubre





RECRUITMENT

Date: 08/04/2016	Time: 12:00	Place: 3.3.B.01	Duration: 2 Hours		
PARTICIPANTS:					
Carmen Ma Susana Co	enfeld Laredo, Deputy Vice-Presic artín-Romo Romero, Head of Hur Intreras Aladro, Coordinator of the acedo Sánchez, Human Resourc	nan Resources & Organization Ser e HRS4R logo Project	vice FACILITATOR		
GUESTS:					
Manuel Mo Ana Mª Gó Juliana Pa Nicolás He Francisco I Inés Galvá Andrés Ba Carmen Ci	rrado. Iler Tenreiro	Carlos García Rubio. Isabel García Gutiérrez. Alberto García Martínez. Angel Arias Hernández. Sergio Velastin Nieves García Crespillo Ramón Mora Arcos Ana Belén Manso Moreno	Mónica Abella Oscar Flores Miguel Gutiérrez Fernández Pablo Martínez Olmos Gonzalo Vázquez Villar Verónica San Miguel Arranz Patricia Cuenca Gómez Daniel Pérez del Prado		
ISSUES DISCUSS	ED IN THE MEETING				
	RECRUIT	MENT AND TALENT ATTRAC	CTION		
	What is UC3M doing	g correctly, and therefore sho	ould keep doing?		
1. Issues rela	ted to Transparency (27 votes)				
b. 1 c. / d. 1 e. 1 f. 0 g. [h. F i. 1 j. F k. 1 l. E	 c. All the information is available online d. There are recruitment committees (external members) e. There is enough transparency in the recruitment process f. Calls are open to researchers from other institutes or universities g. Dissemination of recruitment process: criteria and committee h. Post-doc recruitment has specific duration established through legislation and internal rules i. The recruitment process follows openness, equality, merit and ability principles j. Recruitment should be carried out by specialized committees k. There are some guarantees in the recruitment process 				
2. Issues rela	ted to Internalization and Attrac	tion of Talents (26 votes)			
b. l c. l d. l e. l f. l g. C h. l i. l	 b. UC3M should keep having multicultural departments c. It offers degrees in English which attracts international talents d. UC3M has different programmes in place to attract international talents (e.g.CONEX) e. International offers for talents can be improved f. UC3M recognizes and values international experience g. Global dissemination in English language attract talents from anywhere in the world h. It welcomes lecturers from other international institutions i. UC3M should continue recruiting staff who has been fully trained abroad, especially at top universities 				
3. Issues rela	ted to Appraisal System (18 vot	es)			
b. T ji	The selection process should take	antitatively, focusing on outstandir	al interview e of experience of the candidates. Merits should be ng results within a diversified career path and not		
4. Issues rela	ted to Institutional Image (15 vo	otes)			
	nstitutional image JC3M prides itself of being a your	ng and open university			



5. Issues related to Management and Support (14 votes)

- a. UC3M gives personal attention to its candidates and selected researchers
- b. It wants to get rid of all the paperwork by processing everything online
- c. Researchers are looked after and welcomed at UC3M
- d. Project researchers: UC3M pays funds into projects once they ve been approved
- e. UC3M closely follows staffs employed as researchers- is it just CONEX or does it apply to all projects?
- f. The selection process is fast and accurate
- 6. Issues related to Financial System (10 votes)
 - a. There are incentives for different departments (financial model)
 - b. All departments have recruitment autonomy. Each department knows best its own needs and strategies in relation to university's objectives

7. Issues related to Flexibility (9 votes)

- a. Recruitment flexibility: visiting professors can be permanently employed
- b. Researchers have flexibility to evaluate candidates' CV
- c. Flexibility on job definition: visiting professor, lecturer, etc
- d. Recruitment flexibility: there is certain flexibility in the selection process (profile, time, etc) in order to employ candidates adequately

8. Issues related to Mobility (3 votes)

- a. All forms of mobility should be encouraged
- b. Any mobility experience should be considered as a valuable contribution to the professional development of a researcher.
- 9. Issues related to Salary Extras (0 votes)
 - a. There are salary extras/additional payments to attract talents to UC3M







RECRUITMENT

Date: 08/04	4/2016	Time: 12:00	Place: 3.3.B.01	Duration: 2 Hours
Ca Su	elén Levenfeld La armen Martín-Ro Isana Contreras	Aladro, Coordinator of the	nan Resources & Organization Service	vice FACILITATOR
Ar Ju Nii Fr Ar Ca	anuel Moriche Gi la M ^a Gómez Am liana Pavan Dorr colás Hernández ancisco Rivera R és Galván León Idrés Barrado. armen Ciller Teni SCUSSED IN	nador nelles z Banadik Riquelme	Carlos García Rubio. Isabel García Gutiérrez. Alberto García Martínez. Angel Arias Hernández. Sergio Velastin Nieves García Crespillo Ramón Mora Arcos Ana Belén Manso Moreno	Mónica Abella Oscar Flores Miguel Gutiérrez Fernández Pablo Martínez Olmos Gonzalo Vázquez Villar Verónica San Miguel Arranz Patricia Cuenca Gómez Daniel Pérez del Prado
		RECRUIT	MENT AND TALENT ATTRAC	CTION
		What shou	IId UC3M be doing that is not	doing?
1. Iss	sues related to P	rofessional Career (30 v	otes)	-
	career de b. Career p c. There sh d. UC3M sl e. Accessir sues related to T a. Transpan b. Calls' dis c. The polit or enterp d. There sh e. The recr f. Internation g. Selection h. Recruitm i. Calls are j. Well-knot k. There isis l. Recruitm m. Same jol	evelopment plans. path: in other countries em- nould be a possibility to fu- hould improve the way it k- and the research career shown ransparency (24 votes) rency should be improved ssemination should be improved some advertising uitment process should be onal transparency: UC3M n committees should have nent should be more define a appointed to particular ca- won international research n't enough information with nent results should be pos b vacancies have differen	ployees are given terms and condit ther develop researchers' profession eeps track of its employees. build be broadened out. : giving away information doesn't more proved. evised in order to facilitate access for the selection's calls. e more transparent. doesn't explain international resear e clearer arrangements, by being let ed: there should be more specific c andidates most of the time.	nean being transparent. for experts to selection committees from overseas rchers the Spanish system (Tenure track) ss subjective. ontracts of employment. mittees (Tenure track evaluation in EEUU) responsibilities. ntify profiles.
3. Iss	sues related to P	ayments (20 votes)		
4. Iss	b. Additionac. Spanishd. Working	hers' salaries should be ir al payments are very low. salaries should be put on and economic conditions ecruitment Process and	the same level as European and ne should be improved.	o-European salaries.
4. 155	 a. Pre-doc b. The proc c. Recruitm than twic 	and post-doc contracts sh cess and conditions of pre nent services should be m ce a year.	nould meet the duration of research -doc and post-doc contracts should	I be improved. should be carried out as and when needed rather



- e. Meritocracy is not very clear: there isn't any communication amongst departments in the allocation of international researchers.
- f. There are some professor vacancies that do not require open access, allow salary differences and don't follow the merit system.
- g. The recruitment process is graded along the scale. However, unfortunately it doesn't benefit top candidates sometimes.

5. Issues related to Evaluation/Appraisal system (16 votes)

- a. Candidates' future projection is not valued sufficiently
- b. The way UC3M assess CVs doesn't follow the common criteria used in the EU
- c. The evaluation process should include a personal interview
- d. Evaluation and appraisal procedures should take due account of overall research creativity and research results, not just the publications
- e. The merit system should be adapted to H2020 system in order to improve and value technology transfer
- f. UC3M should value professional performance rather than the institution where he/she comes from
- g. The merit system should be improved the qualitative aspect

6. Issues related to Dissemination (6 votes)

- a. PORTAL WEB works in UC3M: search by criteria
- b. There isn't any evidence of "Carta" being general knowledge neither selection panels being trained specifically

7. Issues related to Mobility (0 votes)

- a. There should be more mobility support for post-doc researchers
- b. Mobility grants are partly granted
- 8. Issues related to **Discrimination (0 votes)**
 - a. The number of disabled job vacancies should be clearly established
- 9. Issues related to Funding (0 votes)
 - a. The funding model is unclear. It doesn't guarantee the provision of public services neither does incentive the future viability







10. ANNEX II: QUESTIONNAIRE LOGO HRS4R UC3M

LOGO QUESTIONNAIRE HRS4R

Please note you can access this questionnaire by introducing your login and password in Campus Global. Your personal details will not be recorded and your answers will remain anonymous.

INSTRUCTIONS TO FILL IN THE QUESTIONNAIRE

Indicate you strongly/totally disagree with the statement and 4 indicate you completely/totally agree with the statement. Do not know/ Do not answer (DK/DA).

1. TALENT ATTRACTION AND SELECTION

1.1 **Recruitment procedures** are open, efficient and transparent.



1.2 UC3M properly **disseminates information** about Teaching & Research staff recruitment before the selection process begins

1 2 3 4 NS/NC

1.3 UC3M candidates are well informed about selection process and criteria

1 2 3 4 NS/NC

1.4 UC3M candidates are well informed about professional career development at UC3M

1 2 3 4 NS/NC

1.5 UC3M should develop a plan to attract international talent



1.6 It's essential to improve transparency in Teaching & Research staff selection at UC3M



1.7 UC3M selection process judges **qualitatively as well as quantitatively** results within a diversified career path

1 2 3 4 NS/NC

1.8 UC3M makes use of Selection Committees with same field members

	1	2	3	4	NS/NC
(\supset	\bigcirc	\bigcirc	\bigcirc	\bigcirc

1.9 UC3M should promote multidisciplinary Selection Committees within different fields

1 2 3 4 NS/NC

1.10 UC3M should promote international expert participation in Selection Committees

1 2 3 4 NS/NC

1.11 UC3M Selection Committee should have a gender balance



1.12 Should you have any important issues regarding 'Talent attraction and selection', please enter it below



2. WORKING CONDITIONS

2.1 I consider that UC3M helps me to develop my teaching or research activity



2.2 I consider that UC3M helps me on my professional development



2.3 I know well the criteria and conditions for academic career promotion

Y	E	S

NO

2.4 I have been informed of my teaching responsibilities: YES NO

I have been informed of my research responsibilities: YES NO

2.5 I have been informed of my teaching activity rights: YES NO

I have been informed of my research activity rights: YES NO

2.6 There is a system in place for irregularities on working conditions



2.7 I consider that Teaching & Research activity should regularly be reviewed





2.8 I consider that it's essential to have an **incentive system** linked to Teaching & Research results at UC3M



2.9 Should you have any important issues regarding 'Working Conditions', please enter it below.

3. ETHICAL AND PROFESSIONAL ASPECTS

3.1 I know that there is an Ethical Committee in research at UC3M

YES

NO

3.2 It's essential to have a Code of Good Practices at UC3M



3.3 I know well the intellectual property rights guideline in research findings

1	2	3	4	NS/NC
\bigcirc	\bigcirc	\bigcirc	\bigcirc	\bigcirc

3.4 It's essential the publication of research organizational structure at UC3M

1 2 3 4 NS/NC

3.5 It's imperative the dissemination of research results in society

1	2	3	4	NS/NC
\bigcirc	\bigcirc	\bigcirc	\bigcirc	\bigcirc

3.6 Knowledge transfer is essential for research results





3.7 Should you have any important issues regarding 'Ethical and Professional Aspects', please enter it below.

4 TRAINING AND PROFESSIONAL DEVELOPMENT

4.1 It's essential the establishment of **Training Programme** in order to continue the professional development of Teaching & Research staff at UC3M



4.2 I believe that our Training Programme should include activities for cross curricular skills and abilities

1 2 3 4 NS/NC

4.3 **Mobility** is a valuable contribution to the researcher professional development



4.4 It's essential to introduce and promote the mentor figure at

	1	2	3	4	DK/DA
Predoctoral stage					
Postdoctoral stage					

4.5 Should you have any important issues regarding 'Training and Professional Development', please enter it below.





11. ANNEX III: RESULTS OF THE QUESTIONNAIRE LOGO HRS4R UC3M

Questionnaire results focused on the following areas: Recruitment, Working conditions, Ethical and professional issues, Training and Career development. Following graphics show the average on these areas. Click on the link below for further information

http://www.uc3m.es/ss/Satellite/UC3MInstitucional/en/TextoMixta/1371219051045/HRS4R:_Human_ Resources_Strategy_for_Researchers

Area 1: Recruitment



Area 2: Working Conditions





Area 3: Ethical and profesional issues



Area 4: Training and career development





12. ANNEX IV – E-MAILS

E-mail sent to Academics and Researchers of Universidad Carlos III de Madrid

Subject: Human Resources Strategy for Researchers (HRS4R)

Querida profesora, querido profesor,

La Universidad está trabajando en un nuevo proyecto denominado "Human Resources Strategy for Researchers" (HRS4R) que consiste en conseguir un logo europeo de calidad otorgado por la Comisión Europea que reportará beneficios a la Universidad, tanto a nivel interno como de visibilidad.

Para la consecución del Logo HRS4R se está realizando un proceso de autoanálisis que es en el que nos encontramos en este momento.

Por esta razón, quisiéramos conocer tu opinión a través de un cuestionario sobre algunos aspectos que nos ayuden a identificar problemas y acciones a tomar en algunas de las áreas que hemos detectado que necesitamos desarrollar, aportando tu experiencia, tus ideas y por supuesto, tus opiniones.

Este cuestionario sólo se refiere al personal docente e investigador a tiempo completo.

Para poder acceder al cuestionario será necesario introducir el login y password de Campus global pero esa información no será almacenada junto a tus respuestas, garantizándose en todo caso el anonimato.

Puedes acceder a través de la siguiente página (Opción Participa en el menú de la izquierda):

http://www.uc3m.es/ss/Satellite/UC3MInstitucional/es/TextoMixta/1371219051045/Human_Resources_Strates

Espero que puedas participar, te llevará sólo unos minutos.

Recibe un cordial saludo

Nacho Aedo Vicerrector de Profesorado



E-mail sent to Head of Departments:

Querida directora, querido director,

Seguimos trabajando en el proyecto "Human Resources Strategy for Researchers" (HRS4R) que os presentamos en la Comisión de Profesorado celebrada en el mes de enero.

Durante la semana del 4 al 8 de abril hemos realizado 3 sesiones de trabajo, donde han participado 60 compañeros del PDI y que han servido para obtener muchas ideas y sugerencias de mejora.

El siguiente paso que consideramos adecuado para ampliar la información obtenida hasta el momento, y hacer partícipe a un mayor número de personas de la comunidad universitaria, es la realización de una encuesta.

Quiero informaros y adelantaros que desde hoy en la página principal de la UC3M podéis ver una fotocampaña que enlaza directamente con la web que da opción a la participación. No obstante el enlace directo es:

http://www.uc3m.es/ss/Satellite/UC3MInstitucional/es/TextoMixta/1371219051045/Human_Resources_Strategy__for_Researches

El próximo lunes haré extensivo un mensaje a todo el personal docente e investigador a tiempo completo para informarles y animarles a participar.

Aprovecho este momento para pediros que desde vuestra posición de directores difundáis y también animéis a todos los miembros del departamento a que participen en la realización de la encuesta.

Un saludo,

Nacho Aedo

Vicerrector de Profesorado



13. ANNEX V – PROJECT SCHEDULE

N	ovember 2015			December 2015						
01	02-08	09-15	16-22	23-29	30	01-06	07-13	14-20	21-27	
	Info-Day - The Huma	n Resources Strateg	y for Researchers. Bi	russels						
		Previous phase								
		Search for docu	mentation							
							More information			







	February 2016	1	1	1		March 2016	1	1	1		April 2016	1	
25-31	01-07	08-14	15-21	22-28	29	01-06	07-13	14-20	21-27	28-31	01-06	07-13	14-20
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wor	king Committee for th Intranet UC3M	ne HKS4K logo Proje											
- I		First analysis C8	&C										
		🕨 First Web	site Logo HRS4R										
		Intern	al meeting										
			2nd In	ternal meeting									
			Meet	ting Human Resour	ces Serv	vice - Research S	ervice						
		Stee	ring Committee Meet	-									
			Meeting i	n Madrid i+D 📄									
						teering Committe							
					3	rd Internal meet	ing (Human Resourc	es Service) 📄					
								Meeting with Vice-F	Rectorate for Faculty				
											group 1		
											Focus group 2		
											Focus grou	-	
										3rd Stee	ring Committee Me	eting - Results focus	s group 🕨



