

# HRS4R

Human Resources  
Strategy for  
Researchers

Template 2:

# Action Plan

## TEMPLATE 2: HR STRATEGY - ACTION PLAN

**Name Organisation under review:**

**Universitat Oberta de Catalunya (Open University of Catalonia, UOC)**

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

**<http://research.uoc.edu/portal/en/ri/activitat-rdi/hrs4r/index.html>**

**SUBMISSION DATE:** March 22, 2018

### 1. ORGANISATIONAL INFORMATION

<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	419
Of whom are international (i.e. foreign nationality)	46
Of whom are externally funded (i.e. for whom the organisation is host organisation)	73
Of whom are women	193
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	244
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	31
Of whom are stage R1 = in most organisations corresponding with doctoral level	81
Total number of students (if relevant)	328
Total number of staff (including management, administrative, teaching and research staff)	1141
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	101.293.495 € (**) 16.095.882 € (***)
Annual organisational direct government funding (designated for research)	25.114.191 € (**) 872.648 € (***)
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2.125.088,94 €
Annual funding from private, non-government sources, designated for research	1.147.196,43 €
* 2017; ** 2016 total including research; *** 2016 research	
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>Since its creation in 1994 as a state-of-the art technological university with a highly innovative learning model, <a href="#">the UOC</a> is one of the world's premier online universities. 200.000 people now form part of the UOCs university community.</p> <p>The UOC's core goal is to be the university of the knowledge society, promoting innovative education, personalised learning, technological leadership and R&amp;I work. Currently, its research, innovation and transfer activity is organised into 43 R&amp;I groups linked to a department or to one of the University's three research centres: the Internet Interdisciplinary Institute, the eLearn Centre and the eHealth Centre.</p>	

## 2. NARRATIVE (MAX. 2 PAGES)

Whilst [research at UOC](#) is growing and evolving the University already enjoys a strong reputation for research. New research activities driven by the research and academic personnel are highly encouraged and research staff is continuously increasing in number and quality. With [internationalization](#) at the core of UOCs current mission, [implementation of HRS4R](#) is timely and a priority. With this in mind, the [HRS4R process at UOC](#) has been carried out under an inclusive and active-participatory approach, involving the whole [research community](#) and with the following main objectives:

1. Continuous improvement guaranteeing that UOCs policies and practices are aligned with the European standards;
2. To attract high quality researchers and professionals and retain UOCs current research talent offering the best possible working conditions;
3. To better compete in European funding calls.

Since its creation [UOC](#) strongly believes that the quality and professionalism of its staff is its main value and, with this in mind, the University is continuously willing to implement its Human Resources practices and policies in order to maintain the best possible quality work and commitment of its staff with the institution. Now, thanks to the [HRS4R process](#), a 360° internal analysis with participation of the whole research community regardless its position or seniority has been carried out. This participatory process has been of tremendous help to better analyse, prioritize and identify areas of improvement. The results of the consultation made by means of up to six workshops and a survey plus the internal analysis of policies and regulations and the working group meetings show the following main strengths and weaknesses in the current policy and practices:

### General strengths

- . A comprehensive regulatory base is in place and it is appropriately applied, as well as specific plans and procedures related to most of the principles.
- . The organizational model for the development of the action plan is adequate and the action plan is very timely and aligned with the UOCs Strategic Plan.
- . In general terms our staff is satisfied with the current practices although there is room for improvement: the HRS4R is considered of high interest for the UOCs research community.

### General weaknesses

- . The recruitment policy, the current processes and procedures do not fully meet the C&C and OTM-R elements
- . Insufficient knowledge of some members of academic staff and R1 regarding the procedures and regulations in force at UOC, resulting probably from deficient information measures and the fact that information is scattered amongst several documents and intranet pages.
- . Research career path competences might be updated and more comprehensive taking into consideration the C&C and the European profiles descriptors. Need of a more detailed system aimed at determining an optimal proportion between teaching and research duties.

## Ethical and Professional Aspects

### Strengths

- . Positive perception of UOCs staff regarding their research freedom and current regulations and practices aligned with the C&C.
- . Appropriate instruments exist to ensure the quality of the research and avoid ethical problems in the behaviour of research personnel. The current mechanisms guarantee the fulfilment of the ethical and scientific good practice principles.
- . Clear contractual and legal obligations.
- . Transparent accountability.
- . Adequate instruments to ensure professional responsibility in place.
- . Equality Plan in place and Accessibility Program, too.
- . Information and mechanisms for dissemination are adequate.

### Weaknesses

- . Some lack of knowledge of the ethical and good professional practice C&C principles by all the researchers.
- . Not all the researchers are familiar with the regulations because of multiple sources and information points.

- . No systematic follow up of the originality of the publications and research proposals made by UOC researchers.
- . Lack of protocol for dissemination through social networks and need of further public engagement dissemination.
- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.

## Recruitment and Selection

### Strengths

- . Standardised and integrated selection and hiring policy and procedure.
- . Experienced Human Resources and People Development Office and necessary resources for its operation, including a specific space on the website for the dissemination of job announcements.
- . No kind of discrimination (gender, age, ethnic, sexual etc.) on the selection processes.
- . Mobility experience is recognized as a plus.

### Weaknesses

- . The recruitment policy, processes and procedures do not fully meet the C&C and OTM-R elements.
- . Not all the offers are published in English on UOCs website.
- . Not enough information for researchers about OTM-R.

## Working Conditions and Social Security

### Strengths

- . Flexible working conditions and stimulating research environment.
- . Promotion of participation in projects, research networks and other centres or collaborative initiatives.
- . Established complaints procedure exists.
- . People review process and professional development initiatives available.
- . Appropriate IPR regulations and services.
- . Possibilities for participation in decision making processes (Strategic Plan).
- . Appropriate mechanisms and procedures to deal with complaints/appeals.

### Weaknesses

- . Difficulty to establish permanent contracts for all researchers due to different legal regulations.
- . Need to improve UOCs attractiveness with regard to remuneration and professional stability.
- . Lack of mobility policy, especially for sabbatical stays abroad.
- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.
- . Need of better talent acquisition and development policies specific for research.
- . Information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available (need of a R&I Catalogue of Information and Services).
- . Need of physical spaces and initiatives to facilitate the interaction between academics and researchers. Need of more research spaces because of the continuous growth in the number of researchers.
- . Perception of lack of clear correlation between levels of responsibility and levels of payment.
- . Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.

## Training and Development

### Strengths

- . UOC promotion of training and continuous career development available.
- . Promotion of role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators to the highest standards.
- . Appropriate mechanisms and procedures for relations with supervisors.

### Weaknesses

- . Lack of specific training plan and training catalogue for researchers.
- . Possibility of improving the knowledge of the training opportunities of the staff for professional development.

### 3. ACTIONS

**List of actions** (please see details below)

Action	Timing			Responsible Unit	Indicator(s) / Target(s)
	18	19	20		
Review and update the research career path competencies and skills			Q1	. Vice-rectorate for Strategic Planning and Research . Human Resources and People Development Office	. Research Career Path review approved by governing bodies . Publication
Review and update the research career path competencies and skills (communication plan)			Q2	. Communication Office . Human Resources and People Development Office	. Approval by governing bodies . Communication plan finalized . Communication actions (workshops and information provided)
Mobility Policy		Q2		. Vice-rectorate for Strategic Planning and Research . Human Resources and People Development Office	. Approval by governing bodies . Mobility policy publication
OTM-R working group	Q3			. Knowledge Transfer and Research Support Office	. Periodic working group meeting reports
UOC Recruitment Policy			Q1	. Human Resources and People Development Office	. Approval by governing bodies . Publication
UOC Recruitment Policy (English) and use of advertising tools to attract international talent		Q1		. General Management of Finances and Resources . Human Resources and People Development Office	. Publication . All the offers published in English and use of additional international advertising tools when needed
OTM-R training		Q4		. Communication Office	. Approval by governing bodies . Communication plan finalized . Communication and training actions
Talent Acquisition and Development Plan			Q1	. Human Resources and People Development Office	. Approval by governing bodies . Publication
Welcome Service		Q1		. Human Resources and People Development Office	. Approval by governing bodies . Publication . Satisfaction survey results
Welcome Package		Q1		. Human Resources and People Development Office	. Approval by governing bodies . Publication . Visits to the dedicated webpage
Dissemination Plan of the UOC Welcome Package targeted to R1-R2/R3-R4		Q1		. Communication Office	. Approval by governing bodies . Communication plan finalized . Communication and training actions
R&I Catalogue of Information and Services		Q2		. Knowledge Transfer and Research Support Office	. Approval by governing bodies . Publication . Visits to the dedicated webpage
Dissemination Plan of the R&I Catalogue of Information and Services		Q2		. Communication Office	. Approval by governing bodies . Communication plan finalized . Communication and training actions

Implementation of a tracking system for the originality of UOC publications and research projects			Q1	. Library Office	. Approval by governing bodies . Publication . Reports
Protocol for the dissemination of R&I through social networks and specific dissemination actions for general public			Q4	. Communication Office	. Approval by governing bodies . Publication . Reports
Training plan for researchers			Q2	. Human Resources and People Development Office . Knowledge Transfer and Research Support Office	. Approval by governing bodies . Publication . Reports
Provision of specific physical spaces and initiatives to facilitate research alliances and plan for the implementation of research spaces			Q4	. Vice-rectorate for Strategic Planning and Research . General Management of Finances and Resources	. Approval by governing bodies . Publication . Reports

## Actions detail

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
1	1. Research career path competencies and skills	Review and update the research career path competencies and skills	11, 12, 14, 15, 17, 18, 21, 22, 25, 26, 28, 29, 30, 31, 33, 38

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Need to review and update the research career path competencies and skills taking into consideration the European research profiles descriptors. Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.	All (R1-R4)			Q1	Review and update the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers. An analysis of UOC research profiles descriptors will be done to better align them with the European profiles. The development of a more detailed system aimed at determining an optimal proportion between teaching and research duties will be analyzed taking into account research achievements and prospects. Research management staff will also be taken into account.

Responsible(s)	Participant(s)
. Vice-rectorate for Strategic Planning and Research . Human Resources and People Development Office	. General Management of Finances and Resources . Knowledge Transfer and Research Support Office . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Drafts	. Research Career Path review approved by governing bodies . Publication

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
2	1. Research career path competencies and skills	Review and update the research career path competencies and skills (communication plan)	11, 12, 14, 15, 17, 18, 21, 22, 25, 26, 28, 29, 30, 31, 33, 38

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Need to review and update the research career path competencies taking into consideration the European research profiles descriptors. Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.	All (R1-R4)			Q2	Communication plan for the review and update of the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Communication Office</li> <li>. Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. General Management of Finances and Resources</li> <li>. Knowledge Transfer and Research Support Office</li> <li>. Research Communication Committee</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Communication plan finalized</li> <li>. Communication actions (workshops and information provided)</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
3	2. Mobility and research sabbatical stays abroad	Mobility Policy	18, 29

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Mobility as part of the assessment of the research career and lack of specific policy regarding stays abroad	All (R1-R4)			Q2	A mobility policy will be created with specific fixed regarding mobility and research sabbatical stays abroad. Special attention will be given to intersectorial, inter- and transdisciplinary nobilities. Virtual mobility and mobility between the public and private sector will also be considered taking into consideration UOCs nature (virtual university).

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>. Knowledge Transfer and Research Support Office</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Mobility policy publication</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
4	3. OTM-R improvement	OTM-R working group	12, 13, 14, 15, 16, 17, 18, 21

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Lack of interuniversity OTM-R working group for revision and continuous update of selection and recruitment processes under OTM-R principles	All (R1-R4)	Q3			Creation of an OTM-R working group in charge of revision and definition of selection and recruitment processes under OTM-R principles

Responsible(s)	Participant(s)
. Knowledge Transfer and Research Support Office	. Vice-rectorate for Strategic Planning and Research . General Management of Finances and Resources . Human Resources and People Development Office . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings	. Periodic working group meeting reports

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
5	3. OTM-R improvement	UOC Recruitment Policy	12, 13, 14, 15, 16, 17, 18, 21

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
The recruitment policy, the current processes and procedures do not fully meet the C&C and OTM-R elements	All (R1-R4)			Q1	The UOC recruitment and selection policy will be updated and reviewed in order to meet the C&C and OTM-R elements as described in the Gap Analysis. Special attention will be paid to the gaps and needs identified during the HRS4R process at UOC for principles 12 (Recruitment), 13 (Recruitment (Code)), 14 (Selection (Code)), 15 (Transparency (Code)), 16 (Judging merit (Code)), 17 (Variations in the chronological order of CVs (Code)), 18 (Recognition of mobility experience (Code)), 21 (Postdoctoral appointments (Code)), and OTM-R checklist

Responsible(s)	Participant(s)
. Human Resources and People Development Office	. Vice-rectorate for Strategic Planning and Research . General Management of Finances and Resources . Knowledge Transfer and Research Support Office . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Drafts	. Approval by governing bodies . Publication

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
6	3. OTM-R improvement	UOC Recruitment Policy (English) and use of advertising tools to attract international talent	12, 13

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Not enough international recruitment	All (R1-R4)		Q1		As shown in the current Strategic Plan the internationalization principle is one of UOCs main interests and the Strategic Plan includes specific actions to attract talent and international mobility. The updated recruitment and selection policy will be published in English and further attention will be given to attract international talent including the publication in English of all the offers not only on Euraxess but also on the UOC website, and the use of additional international advertising tools.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. General Management of Finances and Resources</li> <li>. Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. Knowledge Transfer and Research Support Office</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> <li>. Offers published in English and use of adverts</li> </ul>	<ul style="list-style-type: none"> <li>. Publication</li> <li>. All the offers published in English and use of additional international advertising tools when needed</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
7	3. OTM-R improvement	OTM-R training	12, 13, 14, 15, 16, 17, 18, 21

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Not enough information for researchers about OTM-R	All (R1-R4)		Q4		Communication plan and training actions for researchers about application of OTM-R

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Communication Office</li> </ul>	<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. General Management of Finances and Resources</li> <li>. Human Resources and People Development Office</li> <li>. Knowledge Transfer and Research Support Office</li> <li>. Research Communication Committee</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Drafts</li> <li>. Number of training and communication actions</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Communication plan finalized</li> <li>. Communication and training actions</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
8	4. Talent acquisition and development	Talent Acquisition and Development Plan	25, 26, 28, 30, 38

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Talent acquisition and development initiatives specific for research	All (R1-R4)			Q1	A Talent Acquisition and Development Plan specific for research will be implemented. As already identified in the UOC 17-20 Strategic plan two specific working groups will be appointed: one on talent acquisition and recruitment and one on talent development. A subplan specific for research will be implemented in order to create a work environment characterized by trust, distributed leadership, institutional commitment and recognition of professional expectations and achievements, enabling the University to attract and retain talent.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Knowledge Transfer and Research Support Office</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Inclusion in the Strategic Plan</li> <li>Working group meetings</li> <li>Draft</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Publication</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
9	5. Create / Improve Welcome Process	Welcome Service	2, 3, 4, 7, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Not full alignment of the welcome process with the C&C, information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)			Q1	Implementing the current welcome service for new professors and researchers developing specific internal guidelines. Special attention will be given to foreign researchers.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Knowledge Transfer and Research Support Office</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Inclusion in the Strategic Plan</li> <li>Working group meetings</li> <li>Draft</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Publication</li> <li>Satisfaction survey results</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
10	5. Create / Improve Welcome Process	Welcome Package	2, 3, 4, 7, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Not full alignment of the welcome process with the C&C, information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q1		Implement the UOC Welcome Package and the follow-up for the incoming researchers. The Package will include specific and more updated and implemented information on principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 7 (Good practice in research) and 32 (Co-authorship) as detailed in the Gap Analysis.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Human Resources and People Development Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Knowledge Transfer and Research Support Office</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Inclusion in the Strategic Plan</li> <li>Working group meetings</li> <li>Draft</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Publication</li> <li>Visits to the dedicated webpage</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
11	5. Create / Improve Welcome Process	Dissemination Plan of the UOC Welcome Package targeted to R1-R2/R3-R4	2, 3, 4, 7, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Not full alignment of the welcome process with the C&C, information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q1		An specific dissemination plan of the UOC Welcome Package targeted to R1-R2/R3-R4 will be developed in conjunction with the Internal Communication Unit. The dissemination plan will pay specific attention to the gaps and needs identified, particularly for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 7 (Good practice in research) and 32 (Co-authorship).

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Communication Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Human Resources and People Development Office</li> <li>Knowledge Transfer and Research Support Office</li> <li>Research Communication Committee</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Working group meetings</li> <li>Drafts</li> <li>Communication actions</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Communication plan finalized</li> <li>Communication and training actions</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
12	6. Information on R&I Services, rules and procedures aligned with the C&C	R&I Catalogue of Information and Services	2, 3, 4, 6, 7, 8, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q2		Creation of a web based UOC R&I Catalogue of Information and Services in order to provide open, clear and transparent information of the several services offered to the R&I staff. Special attention will be given to the gaps identified in the HRS4R process at UOC as lack of information was detected, specially for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 6 (Accountability), 7 (Good practice in research), 8 (Dissemination, exploitation of results), and 32 (Co-authorship).

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Knowledge Transfer and Research Support Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Human Resources and People Development Office</li> <li>Library Office</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Inclusion in the Strategic Plan</li> <li>Working group meetings</li> <li>Draft</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Publication</li> <li>Visits to the dedicated webpage</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
13	6. Information on R&I Services, rules and procedures aligned with the C&C	Dissemination Plan of the R&I Catalogue of Information and Services	2, 3, 4, 6, 7, 8, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q2		An specific dissemination plan of the UOC R&I Catalogue of Information and Services targeted to R1-R2/R3-R4 will be developed in conjunction with the Internal Communication Unit. The dissemination plan will pay specific attention to the gaps and needs identified, particularly for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 6 (Accountability), 7 (Good practice in research), 8 (Dissemination, exploitation of results), and 32 (Coauthorship).

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>Communication Office</li> </ul>	<ul style="list-style-type: none"> <li>Vice-rectorate for Strategic Planning and Research</li> <li>General Management of Finances and Resources</li> <li>Knowledge Transfer and Research Support Office</li> <li>Human Resources and People Development Office</li> <li>Library Office</li> <li>Research Communication Committee</li> <li>UOC HRS4R Implementation and Monitoring Committee</li> <li>UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>Working group meetings</li> <li>Drafts</li> <li>Communication actions</li> </ul>	<ul style="list-style-type: none"> <li>Approval by governing bodies</li> <li>Communication plan finalized</li> <li>Communication and training actions</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
14	7. Professionalism, good practice and dissemination	Implementation of a tracking system for the originality of UOC publications and research projects	2, 3, 4, 7, 8, 32

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Follow up of the originality of the publications and research proposals made by UOC researcher's.	All (R1-R4)			Q1	At the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researcher's. A protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.

Responsible(s)	Participant(s)
. Library Office	. Vice-rectorate for Strategic Planning and Research . General Management of Finances and Resources . Knowledge Transfer and Research Support Office . Technology Department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Software analysis . Protocol drafts	. Approval by governing bodies . Publication . Reports

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
15	8. Dissemination and public engagement	Protocol for the dissemination of R&I through social networks and specific dissemination actions for general public.	4, 7, 8, 9

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Lack of a protocol for the dissemination of R&I through social networks and need of further public engagement dissemination	All (R1-R4)			Q4	A specific Protocol for the dissemination of R&I through social networks will be developed in order to implement dissemination actions and public engagement. The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives was also highlighted as a space for improvement and specific dissemination actions of this nature will be targeted in the new UOC Communication Plan already being developed in the context of the UOC Strategic Plan

Responsible(s)	Participant(s)
. Communication Office	. Vice-rectorate for Strategic Planning and Research . General Management of Finances and Resources . Knowledge Transfer and Research Support Office . Research Communication Committee . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Social network analysis / mapping . Schedule of events . Drafts . Communication actions	. Approval by governing bodies . Publication . Reports

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
16	9. Training and professional development	Training plan for researchers	30, 38, 39

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Convenience of having a specific training plan and training catalogue for researchers	All (R1-R4)			Q2	Design of a specific training plan and training catalogue for researchers in coordination with the review and update of the research career path competencies and skills (Action No. 1) and personalized for researchers R1, R2, R3, R4. The plan will include specific actions for the detection of training needs and the facilitation of training in specific methodologies defined by the type of research. Specific training areas detected during the HRS4R process include workshops about career options for researchers, training for thesis direction, training on financial and people management and training on dissemination and research results valorization.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Human Resources and People Development Office</li> <li>. Knowledge Transfer and Research Support Office</li> </ul>	<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. General Management of Finances and Resources</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Analysis of training needs report</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Publication</li> <li>. Reports</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
17	10. Research environment	Provision of specific physical spaces and initiatives to facilitate research alliances and plan for the implementation of research spaces.	23

TARGETED WEAKNESS	TR	18	19	20	DESCRIPTION
Need of specific physical spaces and initiatives to facilitate alliances with different agents and specifically to facilitate the interaction between the academic professors and the researchers working at the UOC research centres. Need of more research spaces because of the continuous growth in the number of researchers.	All (R1-R4)			Q4	A plan to provide with better specific physical spaces and initiatives to facilitate alliances with different agents will be developed. The plan will specifically consider the need of better interaction between the academic professors and the researchers working at the UOC research centers. An assessment of the current research spaces will also be carried on in order to meet the needs associated with the continuous growth in the number of researchers.

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Vice-rectorate for Strategic Planning and Research</li> <li>. General Management of Finances and Resources</li> </ul>	<ul style="list-style-type: none"> <li>. Human Resources and People Development Office</li> <li>. Knowledge Transfer and Research Support Office</li> <li>. General Services Office</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Analysis of training needs report</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Publication</li> <li>. Reports</li> </ul>

## Use the Open, Transparent and Merit-Based Recruitment Toolkit

UOC currently applies an OTM-R policy following the principles of openness, transparency, and merit (see OTM-R checklist). The general goal pursued by the UOC's selection policy is to guarantee the best possible match between the person and the job, and endow the institution, in a reasonable time, with professionals who are optimally matched to the specific need defined and the vacancy to be filled, proceeding in such a manner as to assure the process's quality and validity.

All selection processes are based on the criteria of equality, objectivity and confidentiality, on the assessment of professional skills and on the suitability of the candidate to the vacant post in parameters of skills, aptitudes, abilities and attitudes assessed objectively.

The processes are transparent and ensure equal opportunities, without taking into account reasons of gender, ideology, beliefs, ethnicity, religion or other forms of direct or indirect discrimination. Another goal of the selection policy is to preserve the personal data used in all stages of the process. The UOC wishes to be a leading institution in the field of diversity. This means that in certain selection processes, preference is given to the recruitment of people who may be exposed to a risk of social exclusion.

All our recruitment processes use a Web-based tool to avoid discriminating against candidates based on their geographical location and/or financial means. All employment offers are published on UOCs website and on EURAXESS in English with a minimum application period of 15 days. Although faculty, administrative staff and research staff are all considered members of the team of UOC employees, a distinction must be made in the selection processes for each profile given that, in addition to the fact that different agents are involved, there are differences in the respective selection stages. The policy includes specific guidelines for the recruitment of research staff. However, the policy does not specifically address the four broad career profiles for researchers (R1, R2, R3 and R4) and all the elements detailed in the toolkit. A working group will be established as detailed in the actions that will be developed in order to make sure that the current policy is reviewed and implemented considering the Toolkit.

Training on OTM-R is provided to all those who are involved in the recruitment process.

The following actions have been envisaged in order to improve the selection procedure and adapting it to the C&C and the OTM-R Toolkit (see identified weaknesses):

C&C PRINCIPLES	TARGETED WEAKNESS	TITLE	DESCRIPTION
12, 13, 14, 15, 16, 17, 18, 21	Lack of interuniversity OTM-R working group for revision and continuous update of selection and recruitment processes under OTM-R principles	OTM-R working group	Creation of an OTM-R working group in charge of revision and definition of selection and recruitment processes under OTM-R principles
12, 13, 14, 15, 16, 17, 18, 21	The recruitment policy, processes and procedures do not fully meet the C&C and OTM-R elements	UOC Recruitment Policy	The UOC recruitment and selection policy will be updated and reviewed in order to meet the C&C and OTM-R elements as described in the Gap Analysis. Special attention will be paid to the gaps and needs identified during the HRS4R process at UOC for principles 12 (Recruitment), 13 (Recruitment (Code)), 14 (Selection (Code)), 15 (Transparency (Code)), 16 (Judging merit (Code)), 17 (Variations in the chronological order of CVs (Code)), 18 (Recognition of mobility experience (Code)), 21 (Postdoctoral appointments (Code)), and OTM-R checklist

12, 13	Not enough international recruitment	UOC Recruitment Policy (English) and use of advertising tools to attract international talent	As shown in the current Strategic Plan the internationalization principle is one of UOCs main interests and the Strategic Plan includes specific actions to attract talent and international mobility. The updated recruitment and selection policy will be published in English and further attention will be given to attract international talent including the publication in English of all the offers not only on Euraxess but also on the UOC website, and the use of additional international advertising tools.
12, 13, 14, 15, 16, 17, 18, 21	Not enough information for researchers about OTM-R	OTM-R training	Communication plan and training actions for researchers about application of OTM-R
25, 26, 28, 30, 38	Talent acquisition and development initiatives specific for research	Talent Acquisition and Development Plan	A Talent Acquisition and Development Plan specific for research will be implemented. As already identified in the UOC 17-20 Strategic plan two specific working groups will be appointed: one on talent acquisition and recruitment and one on talent development. A subplan specific for research will be implemented in order to create a work environment characterized by trust, distributed leadership, institutional commitment and recognition of professional expectations and achievements, enabling the University to attract and retain talent.

#### 4. IMPLEMENTATION (MAX. 1 PAGE)

The already appointed [UOC HRS4R Implementation and Monitoring Committee](#) will internally monitor the development and compliance of the Action Plan. The [UOC HRS4R Advisory and Working Group](#) will be responsible for providing advice and support in the implementation of the process and the [Steering Committee](#) will lead the process.

These three committees proved to successfully work in conjunction for the development of the Gap Analysis and Action Plan and their role in the execution of the Action Plan will be essential to keep involving the whole research community, the governing bodies, all management departments and administrative and services staff in the implementation. Further details on the process are shown [here](#).

Communication efforts will be done at the kick off, in order to keep gaining awareness from all UOCs staff. A [specific webpage](#) will be maintained with all HRS4R related documentation and an specific dissemination plan for the HRS4R process at UOC is already in place.

The self-assessment and internal participatory workshops will be conducted every two years and will result on a progress report updating the Action Plan for the subsequent period. The external assessment of progress, if it is previously authorized by the European Commission, would be carried out by an external expert who would act as supervisor for the HRS4R implementation.

Timeline of the actions was thoroughly discussed with the responsible persons, who have actively participated in the Gap Analysis and Action Plan and provided more information about milestones and indicators of success.

The monitoring procedure will include the review of:

- Monitoring meetings with people in charge of the actions, at least once every four months.
- Assessment reports prepared by the UOC HRS4R Implementation and Monitoring Committee every six months and approved by the UOC Research and Innovation Committee. The UOC HRS4R Advisory and Working Group will take part and assess the progress.
- On September-October 2019, an internal audit will be held. The audit report will cover the completion of the Action Plan and will be published on the web site.
- The Steering Committee will be regularly updated about the progress, at least once every four months.

This action plan is fully aligned with the [UOC Strategic Plan](#) to the point that all the actions will be included as Strategic Plan actions.

Corrective actions will be taken if UOC does not comply with the established deadlines or new regulatory conditions or strategic decisions could affect the strategy.



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