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THE HUMAN RESOURCES STRATEGY
FOR RESEARCHERS HRS4R – UC3M

ACTION PLAN

May 12th, 2016



ACTION PLAN FOR THE IMPLEMENTATION OF HUMAN RESOURCES POLICIES IN ACCORD WITH THE EUROPEAN CHARTER FOR RESEARCHERS AND THE CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS – UNIVERSIDAD CARLOS III DE MADRID

ACTION PLAN

The *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 the UC3M was awarded with one of the first five Campus of International Excellence, called “*Campus Carlos III*”, by the Spanish Ministry of Education, as a result of UC3M’s standards of excellence and internationalization.

On December 17th, 2015 the UC3M endorsed “*The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers*”, through the Commitment Letter signed by the Rector.

The Human Resources Strategy for Researchers Project will help the UC3M to make the professional career of the Researchers more attractive, to adapt policies and practices on Human Resources to the European Research Area, and to improve University Excellence in Research.

In addition, the impact of the best practices in Human Resources processes for Researchers, such as selection and training, will enable UC3M to improve working conditions, attracting new talent as well as retaining existing talent. It will also provide growth in UC3M capabilities, to be comparable with leading research institutions.

The Action Plan has been designed involving the entire University Community, through meetings, focus groups, presentations, a questionnaire, a new website, among other, and considering recommendations of the *OTM-R Report (Open, Transparent and Merit-based Recruitment of Researchers)*, published in July, 2015). **This plan will affect all faculty members with research duties, including research-only faculty, while not affecting those holding a teaching-only position.**

The UC3M Executive Board approved the Action Plan on May 11th, 2016. It includes seventeen improvement measures to be implemented in the following three years.

The following Action Plan covers the period 2016-2018 and is organized into four areas: (1) *Ethical and Professional Issues*, (2) *Recruitment*, (3) *Working Conditions* and (4) *Training and Career Development*. Each action is defined together with the Unit or individual responsible for it, a timeframe for the completion of the action, and one or more indicators.

The development and progress of this Action Plan will be overseen by a Monitoring Group headed by:

- Vice-President for Faculty, who shall preside, or his/her delegate
- Vice-President for Scientific Policy, or his/her delegate
- Head of Human Resources & Organization Service
- Head of Research Service
- Two individuals from the Human Resources & Organization Service, one of whom shall be the Secretary of the group
- One person from the Research Service

This Monitoring Group will carry out the Self-Assessment on the development of the Action Plan and adjust the plan as necessary.

Area 1: Ethical and professional issues

C&C	Action	Ref	Responsible Party	Units in charge ¹	Time Frame ²	Indicators
1,2,3,7,8,23,31	Code of Good Practices in Research	E1	Vice-President for Scientific Policy	Research Service , General Secretariat, Human Resources Service & Organisation	Q2 2018	Approval & dissemination
1,2	Protocol for requesting Report to UC3M Research Ethics Committee	E2	Vice-President for Scientific Policy	Research Service	Q4 2016	Approval & dissemination
1,2,3	Operating Regulations for UC3M Ethics Committee in Research	E3	Vice-President for Scientific Policy	Research Service , General Secretariat, Human Resources Service & Organisation	Q1 2018	Approval & dissemination
4, 5, 18	Hosting Protocol for Visiting Researchers	E4	Vice-President for International Relations and Cooperation	International Relations Service , Research Service, Human Resources Service & Organisation	Q1 2017	Approval & dissemination. Satisfaction questionnaire
4, 5, 18	Hosting Protocol for Faculty	E5	Vice-President for Faculty	Human Resources Service & Organisation , Research Service, International Relations Service	Q4 2017	Approval & dissemination
8, 31	Open Access Institutional Policy	E6	Vice-President for Strategy and Digital Education	Library , Research Service	Q1 2017	Approval & dissemination
11	Laying the foundations for incentives for Faculty members for 2018 and 2020	E7	Vice-President for Faculty	Human Resources Service & Organisation , Support for teaching and degree administration Center Postgraduate Studies & Doctoral School, Research Service, Library	Q4 2016	Development, publication, dissemination & implementation
10, 24, 27	UC3M II Gender Equality Plan	E8	Vice-President for Students, Social Responsibility and Equality	Equality Unit	Q4 2016	Approval & dissemination

¹ Units in charge: List of involved units and if there is more than one, the responsible party is in bold.

² Time Frame: refers to approval and dissemination of Action proposed. The action implementation will be carried out as of then.

Area 2: Recruitment

C&C	Action	Ref	Responsible party	Units in charge	Time frame	Indicators
12, 14, 15, 16, 17, 18, 34	Updating of UC3M Recruitment Regulation for non-tenured Faculty	R1	Vice-President for Faculty	Human Resources Service & Organisation	Q1 2017	Approval & dissemination Diversity of contractual profiles
21	UC3M Recruitment Guidelines on Post-doctoral Researchers, for UC3M Departments, adapted to Spanish regulation (certifications)	R2	Vice-President for Faculty	Human Resources Service & Organisation	Q1 2017	Approval & dissemination Number of recruitments
12	Training the Selection Committee members, committing to compliance with the principles contained in the European Code of Conduct. (C&C)	R3	Vice-President for Faculty	Human Resources Service & Organisation UTEID ³	Q1 2017	Number of trained employees
13, 15	Developing new Employee Portal	R4	Vice-President for Faculty	Human Resources Service & Organisation , Institutional Communication Service	Q2 2017	Development, publication & dissemination Number of website visitors
19	UC3M Regulation on the use of English for all processes	R5	Vice-President for International Relations and Cooperation	International Relations Service	Q4 2016	Approval & dissemination

³ UTEID. Unit of Educational Technology & Innovation.

Area 3: Working Conditions

C&C	Action	Ref	Responsible party	Units in charge	Time frame	Indicators
22, 25, 28	UC3M Career Plan for Faculty	W1	Vice-President for Faculty	Human Resources Service & Organisation	Q1 2018	Development, publication & dissemination
32	UC3M Researcher Portal: Co-authorship Map	W2	Vice-President for Scientific Policy	Research Service, Library	Q1 2017	Development, publication & dissemination
24,29	International Health Insurance for Faculty	W3	General Management	Human Resources Service & Organisation	Q2 2017	Approval & dissemination

Area 4: Training and career development

C&C	Action	Ref	Responsible party	Units in charge	Time frame	Indicators
28. 36, 37, 38, 39, 40	UC3M Training Plan for Faculty, within the four career stages	T1	Vice-President for Faculty	Human Resources Service & Organisation , Research Service, Library, Language Activity & Resource Centers	Q4 2017	Development, publication & dissemination

Description of the actions

Action	Ref	Description
Code of Good Practices in Research	E1	The Code of Good Practices in Research will set up guidelines, recommendations, and commitments to carry out research activities in UC3M. It will be a self-regulatory instrument, supplementing the existing legal rules. It promotes and guarantees good practices in research.
Protocol for requesting Report to UC3M Research Ethics Committee	E2	In some research projects the funding entity requires ethical assessment and then issuance of a report. This protocol aims to establish conditions for steps to request the report. The procedures and documents necessary for submitting the request to Research Ethics Committee will be described herewith.
Operating Regulations for UC3M Ethics Committee in Research	E3	Regulation for UC3M Ethics Committee in Research aims to establish the scope of its actions, as well as regulate its operation, composition and decision-making mechanisms.
Hosting Protocol for Visiting Researchers	E4	This Hosting Protocol will define the rules of incorporation for Visiting Scholars/Professors, including facilitating incorporation among others, accommodation information, intellectual property, occupational safety and institutional and administrative information.
Hosting Protocol for Faculty	E5	It will define a Hosting Protocol, both for national and international faculty and researchers, thoroughly explaining and informing them about chief University issues in order to perform their teaching and research activity in an effective way.
Open Access Institutional Policy	E6	Open Access Institutional Policy will ensure achievement of scientific production in the University repository (e-Archivo) and thereby complying with the mandate of funding bodies (<i>Horizon 2020</i> and <i>Article 37 of the Law 14/2011, of Science, Technology and Innovation</i>).
Laying the foundations for incentives for Faculty members for 2018 and 2020	E7	It will establish the foundations for creating a stable system of incentives to be maintained until 2022.
UC3M II Gender Equality Plan	E8	UC3M will work on the II Gender Equality Plan defining these four focuses: <ol style="list-style-type: none"> 1. Awareness, communication and training on gender equality 2. Access, promotion and professional career 3. Work-life balance and co-responsibility 4. Teaching and Research
Updating of UC3M Recruitment Regulation for non-tenured Faculty	R1	The updating of current regulation, in all of the recruitment processes for non-tenured faculty will be performed according to the document's main principles: Open, Transparent and Merit-based Recruitment . This update will focus on implementing the recommendations set out in the <i>OTM-R Report (July, 2015)</i> under the national framework.

Action	Ref	Description
UC3M Recruitment Guidelines on Post-doctoral Researchers for UC3M Departments, adapted to Spanish regulation (certifications)	R2	The standardization of the post-doctoral professional through recruitment in compliance with the current regulation, including definition of criteria to permit incorporation of both existing personnel and from outside of the University, both national and international.
Training the Selection Committee members, committing to compliance with the principles contained in the European Code of Conduct. C&C)	R3	The Selection Committee members will have to know and understand C&C principles and commitment to apply objectively the defined scales, constantly endeavouring to make a selection according to the principles of merit and ability in a multidimensional curriculum.
Developing new Employee Portal	R4	The Employee Portal should share all relevant aspects for any individual who has an interest in being contracted by the University. Moreover, the existing <i>e-recruitment</i> strategy in the University will be enhanced, in line with the <i>OTM-R Report (July, 2015)</i> .
UC3M Regulation on the use of English for all processes	R5	As indicated in the <i>OTM-R Report (July, 2015)</i> , all the information must be published both in the national language and in English. This regulation will specify what type of documentation will be translated into both languages, as well as the use of English style.
UC3M Career Plan for Faculty	W1	The Career Plan will be built on the basis of the four profiles established by EFRC (European Framework for Research Careers). Entrance points will be defined for each profile, as well as the necessary requisites to reach the next profile, according to national regulation.
UC3M Researcher Portal: Co-authorship Map	W2	UC3M Research Portal aims to give access to scientific and research information, in order to respond rapidly, in dynamic and up-to-date manner about who and what has been the subject of University research. The final objective is viewing the science web in order to link, share and discover all the information generated by the University.
International Health Insurance for Faculty	W3	An international health coverage plan will be developed for faculty when travelling abroad.
UC3M Training Plan for Faculty, within the four career stages	T1	Training Plan for Faculty will identify and meet the needs within the different career stages. The Plan will supply their scientific knowledge and bolster the development of transverse skills which are likewise necessary for attaining excellence in research. Moreover, a mentor will be incorporated, at least, in the pre-doctoral stage and for international post-doctoral researchers.