

Internal review in view of the interim assessment

24 months after the granting of the ‘HR award’

Name Organisation under review: UNIVERSITAT DE BARCELONA (UB)

Organisation’s contact details:

Dr Xavier Barril, Delegate of the Rector for Research Staff Policy

Among Dr Barril’s competencies, he is responsible for the Implementation and monitoring of the HR Excellence Accreditation in Research.

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

- Action Plan 2015-2017: http://www.ub.edu/web/ub/en/recerca_innovacio/hr_excellence/index.html?

- Action Plan 2017-2019: To be published in the same link:

http://www.ub.edu/web/ub/en/recerca_innovacio/hr_excellence/index.html?

Please, for your convenience, see the attached document “Action Plan 2017-2019”.

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

As requested, we have completed the OTM-R Checklist document, which will be published soon

at the same link: http://www.ub.edu/web/ub/en/recerca_innovacio/hr_excellence/index.html?

In the meantime, please, see it also as attached file.

From the checking done, we have identified several strong points and some weaknesses. We are working on the development of a written OTM-R Institutional Policy, which will include the requirements covered in the Checklist, most of them as can be seen, are already in place completely or substantially. Our objective, in this respect, is to make the official OTM-R Institutional Policy formally approved by the UB Governing Bodies by the beginning of 2019.

SUBMISSION DATE TO THE EUROPEAN COMMISSION: November 24, 2017

1. ORGANISATIONAL INFORMATION

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

| STAFF & STUDENTS | FTE |
|---|------------|
| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research (data as of Dec. 31, 2016) | 9,737.50 |
| Of whom are international (i.e. foreign nationality) | 1,797.50* |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) | 791* |
| Of whom are women | 5,069 |
| Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. | 1,525 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level | 222 |

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

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| <i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i> | 4,774 |
| <i>Total number of students (if relevant)</i> | 58,973 |
| <i>Total number of staff (including management, administrative, teaching and research staff)</i> | 6,127.50 |
| RESEARCH FUNDING (figures for most recent fiscal year) | € |
| <i>Total annual organisational budget</i> | 371,692,000 |
| <i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i> | 227,929,055 |
| <i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i> | 80,291,000 |
| <i>Annual funding from private, non-government sources, designated for research</i> | 8,697,000 |
| ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words) | |
| <p>The University of Barcelona (UB) is a research-intensive institution that promotes and gives institutional support to multidisciplinary research developed by active teams with international recognition. The broad and comprehensive nature of the UB allows us to cover all the major branches of knowledge, including the Experimental and Health Sciences, Social Sciences, Humanities, Engineering and Fine Arts. International impact, cooperation in education, a commitment to innovation in research and a responsibility to knowledge transfer are the main hallmarks of our institution. The UB is the top-ranked university in Spain; it places highly in world rankings and is positioned at an outstanding level in Europe. The UB is the only Spanish institution ranked amongst the top 200 universities in the world according to the Academic Ranking of World Universities 2015 (ARWU). It is one of the best 50 universities for scientific productivity in the world, and the only Spanish university to be found in this select group, according to URAP 2015-2016 (University Ranking by Academic Performance). The University of Barcelona is the only Spanish university that is a member of the League of European Research Universities (LERU), which comprises the 23 best research-intensive universities in Europe.</p> | |

2. NARRATIVE (max. 2 pages)

Please consult the narrative on the strengths and weaknesses under the 4 thematic areas (I. Ethical and professional aspects; II. Recruitment; III. Working conditions and social security; IV. Training) of the Charter and Code as provided in the initial submission of your organisation's HR Strategy.

- *Have any of the priorities for the short- and medium term changed?*
- *Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?*
- *Are any strategic decisions under way that may influence the action plan?*

Please provide a brief commentary – not only looking back, but also looking forward.

In the Action Plan we submitted in April 2015 to obtain the HR Excellence in Research accreditation, the UB had identified 11 Actions to be implemented in order to offset the deficiencies or weak aspects detected in the gap analysis. These actions were distributed as follows: 4 of them intended to improve deficiencies within the thematic area of Ethical and professional aspects; 3 Actions in the area of Recruitment aspects; 3 more Actions concerning the Working conditions and social security thematic Area and 1 Action in Training.

Some of these Actions have been completed in time, as outlined in the next section. Other actions have experienced delays of varying degree. We must point out that during 2014-2015 there was an internal working group which took care of the application procedure, drafting the action plan, implement EURAXESS recommendations and initiate the implementation of the plan. However, these initial efforts were not sustained during the whole period. Particularly, between most of 2016 and the first months of 2017, coinciding with the end of mandate of the governing body, the election process, and the election of a new rector, there was insufficient continuity to the actions. Notwithstanding this gap, the implementation of the HR Action Plan was identified as a key commitment by the newly elected rectorate's team. One of the current priorities is to embed the HRS4R into the organization in a way that monitoring and steering its implementation becomes largely independent of the natural and foreseen change of governing bodies through an election process. This commitment is reflected in the creation of a dedicated position to lead the HRS4R program (Delegate of the Rector for Research Staff Policy) and the formation of a new working group with high-profile staff (heads of technical units) and independent researchers. This organizational transformation, occurred in 2017, has also coincided with a revision of the status of the project and re-assessment of some objectives, declared in the Actions table.

Thematic area 1 (ethical and professional aspects) is the least affected by the delays, with an average level of fulfilment of 80%. Some actions were identified early and fell within the scope of a single administrative unit, which facilitated its implementation. The creation of a short introductory course was coordinated by the Delegate of the Rector for Research Staff Policy, and could be fulfilled in 2017. Continuous monitoring of the ratios of attendance and acceptance of the course will allow us to adapt its form and contents. Outstanding activities affect the integration plan, mobility activities and training opportunities, which will be carried over to the next period and completed before the external evaluation.

Thematic area 2 (recruitment) has reached an average completion rate of 50%. Clear improvements have been achieved during this year (see, for instance Point 2 of Action 5). All outstanding actions are considered top priority and will be completed in 2018.

Thematic area 3 (working conditions) has reached an average completion rate of 50%, but with very heterogeneous distribution. Some actions are 100% completed, as they were identified early and fell within the scope of a single administrative unit, which facilitated its implementation. Action 9 is largely achieved, and will be completed in 2018. However, implementation of Point 1 Action 8 and Action 10 has not started. The former is limited by the technical complexity of creating a searchable catalogue of equipment purchased and registered by independent units. The Working Group will coordinate with the recently created Vice-Rectorate for Digital Transformation in order to find a solution for this objective. The creation of an Office for Mentoring has been reconsidered and given a very low priority. On the one hand side, the economic context at the UB makes it difficult to justify the expense associated with staffing a dedicated office. More importantly, the creation of more – and more relevant – training opportunities, tailored at various career stages, has been considered a more pressing need. In any case, we will monitor the demand for Mentoring and may increase the priority or drop the action altogether during the next period.

Finally, thematic area 3 (training) has only been started. During 2015-2017, we did not have at the UB the appropriate context to elaborate, approve and set up a revised offer of continuous development courses. A new curriculum, tailored to the needs of specific sub-populations of researchers, is being considered and will be put in place during 2018.

In summary, while the development of the HRS4R at the UB was hampered right at its onset by a long transition period, it receives solid support from the governing bodies, is gaining momentum and is becoming embedded within the organisation. The HRS4R is well aligned with the vision of the rectorate and is perceived as a useful mechanism to raise the standards of the University. Accordingly, we foresee that the new tri-Annual Plan (2017-2019) will progress smoothly to guarantee the development of the HRS4R at the UB.

3. ACTIONS TABLE

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered, omitted or added, please provide a commentary for each action.

| Title action <i>(Thematic Area I, II, III or IV)</i> | Timing | Responsible Unit | Indicator(s) / Target (*) | %Comp. Revised Priority | Current status <i>(indicator = specific actions/sub-action)</i> |
|--|---|---|---|--------------------------------|---|
| Action Nr 1. Contractual and legal obligations (TA. I) | Delayed from the original plan March – April 2015 To Q4 2016 | The Vice-Rectorate of Science Policy Vice-Rectorate for Academic Policy & Quality Academic Staff Unit (PDI-Laboral and Funcionari) Student Services and Programs Unit (Beques UB) OSSMA | 1.- Define the content and prepare an introductory welcoming letter pointing out the corresponding relevant legislation and the existing institutional rules, their references and the links to find the complete texts. This information could be handed (as a leaflet) to the researchers on signing their first contract at the UB. The letter will include also the corresponding references to issues related to Aspects nr 6, 7 and 8. 2.-The documents should be available in the website for internal use (in CAT/ESP/ENG) | 100% Priority 1 | Completed The proposed documents were prepared by the Academic Staff Unit (in 2015) to be handed over to new employees. The information therein is available at the UB Intranet (https://intranet.ub.edu/dyn/cms/02_treball_UB/05_llocs_de_treball/4_nou_pdi/index_en.html) The documentation includes the Statement of "COMMITMENT related to HEALTH AND SAFETY at work at the UB". The new staff members sign this statement as annex to their working contract. There is a monitoring protocol in place (with reminder communication, if necessary) to guarantee that new staff does all the activities of the Integration Plan, (http://www.ub.edu/ossma/pla-acollida/) as it is established in the above-mentioned document of commitment. |
| | Delayed from the original plan March – April 2015 To Q4 2017 | | 3.- Alternatively, a short course (half a day) could be given by qualified personnel, outlining the main obligations of any UB research employee. | 90% Priority 1 | Completed – continuous activity After the revision of the status of the initial actions planned, we decided a complementary action was need. Therefore, we have created a Welcome course to be offered to the new research staff. The scope of this new course is much larger than was considered in the initial action plan. It provides and overview of the institution, information about the UB's research capacities and emphasizes the importance that the UB places on research transparency & accountability. This course will run three times a year, coinciding with the institution recruitment peaks: January, May & October. <u>We will monitor the progress using several indicators (ratio of attendance, evaluation of the course) to adapt its form and contents.</u> |

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| Action Nr 2. Accountability (TA. I) | Delayed from the original plan March – April 2015 To Q4 2015 | The Vice-Rectorate in charge of Research, together with the concerned Faculties and the Management Office (OGR). | 1.- The documentation that new researchers receive when they sign their contracts must include the relevant legislative and institutional references to make them more aware of the accountability duties they have to observe. This include rules about the working time dedicated to the institution (UB), the accountability of their research budgets, and the expected return of their research to society in form of scientific divulgation, patents, research transference, knowledge transmission, etc. Upon reception, researchers should sign as having received this information. 2.-The informative documents should be available in the web for internal use | 100% Priority 1 | Completed The proposed documents were prepared by the Academic Staff Unit (in 2016) to be handed over to new employees. The information therein is available at the UB Intranet (https://intranet.ub.edu/dyn/cms/02_treball_UB/05_llocs_de_treball/4_nou_pdi/index_en.html) |
| | Delayed from the original plan March – April 2015 To Q4 2015 | | 3.- A short introductory course (half a day) given by qualified personnel should outline the compliance of UB researchers to transparency and accountability. | 90% Priority 1 | Completed – continuous activity These topics have been included as a subject in the agenda of the above-mentioned “Welcome Course”. <u>The course will be re-evaluated on an annual basis.</u> |
| Action Nr 3. Good practice in Research (TA. I) | Delayed from the original plan May 2015 To Q3 2015 | The Vice-Rectorate in charge of Academic Policy and Quality, the Vice-Rectorate responsible for Administration and Organization affairs, and the OSSMA (Health, Safety and Environmental Issues Office) | -1.- Distribution among researchers (or reminder, depending on the case) of: ** the Code of Good Research Practices at the University of Barcelona (1st edition 2010): http://diposit.ub.edu/dspace/bitstream/2445/28542/1/codibonespractiques_cat.pdf ** the reminder of the useful links at the OSSMA webpage: http://www.ub.edu/ossma | 80% Priority 1 | Completed – continuous activity The new researcher at the moment of the signature of the contract receives: - The Code for Good Research Practices at the UB - Relevant Information about the prevention of working risks. - Training in Risk Prevention at Work. - The European Code has to be implemented at the UB and developed through an institutional regulation. This will be a task part of the commitments of the recently appointed Ethical Commission (http://www.ub.edu/web/ub/en/menu_eines/noticies/2017/10/052.html?) |

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| | Delayed from the original plan May 2015 To Q2 2018 | | -2.- To work ahead on the full definition, completion and implementation of the UB Welcoming/Integration Plan for new staff-researchers (<i>Pla d'Acollida</i>) | 70% Priority 1 | Partial / Ongoing The Integration Plan has been implemented, providing information and counselling on labour regulations regarding health and safety: http://www.ub.edu/ossma/pla-acollida <u>Upon revision, it was detected that the information is only available in Catalan and Spanish. Creating an English version has been defined as a priority.</u> |
| Action Nr 4. Dissemination, exploitation of results (TA. I) | Delayed from the original March - April 2015 To Q4 2017 | The Vice-Rectorates in charge of Research, Transfer, Innovation and Science Policies, the Vice-Rectorates in charge of Academic Policy and Quality and the Vice-Rectorate responsible for Communication and the FBG. | 1.- Any new research and academic staff should follow a short course introducing them to the: - access and use of the research news webpage to communicate relevant research results - access to the Fundació Bosch i Gimpera (FBG) for guidance in establishing contracts with companies, writing and submitting patents, founding spin-offs - information about the UB program to subsidize partially or totally the publication in Open Access journals. | 90% Priority 1 | Completed – continuous activity These topics have been included as a subject in the agenda of the above-mentioned “Welcome Course”. <u>The course will be re-evaluated on an annual basis.</u> |
| | Delayed from the original March - April 2015 To Q1 2018 | | - the UB should encourage its staff (by partial payment or facilitating its mobility) to complement its training with adequate masters, or attending to internal or external specific short courses to address all these issues. | 60% Priority 2 | Partial / Ongoing Upon revision of the actions, it was deemed that sufficient mobility programmes are in place. In consequence, <u>we have re-formulated this action to increase awareness of existing opportunities through the Office for Mobility and International Programmes (OMPI):</u> http://www.ub.edu/uri/welcome_en.htm <u>During 2017,</u> the UB has increased the grants for mobility (by 25%) in the case of Teaching & research Staff, in order to develop research tasks in another institution. The amount granted is also higher than in previous calls: https://intranet.ub.edu/dyn/cms/menu_eines/noticies/2017/pdi/10/19_1.html (this is an internal link because this mobility call is intended only for UB staff). |

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| | Delayed from Academic year 2015/2016 (starting in September 2015) To Q1 2018 | | 2.- These training activities may be part of the Institutional Training Plan (ITP) which is being designed under the guidance of the Vice-Rectorate of Academic Policy. | 20% Priority 1 | Partial / Ongoing – continuous activity This activity has been merged with Action No. 11. The UB has its own institute for Professional Development education: <i>Institut de Desenvolupament Professional - Institut de Ciències de l'Educació (ICE)</i> . It already provides valuable training activities. Upon revision of the actions, it was decided that all training activities will run under the auspices of the ICE. At the same time, <u>we are re-evaluating the existing ICE courses and designing a new curriculum. We will monitor student enrolment and satisfaction on an annual basis, in order to match training opportunities with the needs of researchers.</u> |
| Action Nr 5. Recruitment (TA. II) | Delayed from the original April 2015 – June 2015 To Q4 2018. | The Vice-Rectorates in charge of Research and Science Policy and the Vice-Rectorate responsible for Teaching Staff should work together. In this recruitment process the Union Representatives' Committee participation (Junta PDI or Comitè d'Empresa PDI Laboral) must also be taken into account. -The Vice-Rectorate for Teaching Staff - The Academic Staff Unit - Student Services and Programs Unit (Beques UB) | 1.-To update, complete and add the English version of the information at the Research webpage of the UB at its site of “Work and grants”: http://www.ub.edu/web/ub/en/recerca_innovacio/ofertes_treball/treball_beques.html | 75% Priority 1 | Partial / Ongoing The new Rector and Executive Council have made it a top priority to place information and communication technologies as a central element of the UB. The newly created Vice-Rectorate for Digital Transformation is carrying out an ambitious plan that includes a complete overhaul of the web page. We have designed a new job portal, where all relevant information about recruitment, job opportunities, the UB as an employer and moving to Barcelona will be easily accessible. For efficiency, and in order to avoid duplicities, <u>the work portal will be launched together with the rest of the UB web page.</u> |
| | | | 2.- To publish at the EURAXESS portal all those UB Offers intended for researcher staff: Check at https://www.euraxess.es/jobs/search and, select for Country (Spain) to see job offers of the University of Barcelona. For example, among job offers available at the moment (as of Nov. 20, 2017), these 4 are to apply for Research positions at the University of Barcelona: https://www.euraxess.es/jobs/260067 https://www.euraxess.es/jobs/259825 https://www.euraxess.es/jobs/257339 https://www.euraxess.es/jobs/253307 | 30 % Priority 1 | Partial / Ongoing Translation to English has been a problem. However, during 2017, all TRS appointments/vacancies (62 in total) within one of the most preminent programmes to access the University (i.e. the Serra Hunter Programme, from the Catalan Government), have been published in the Electronic Portal of the UB, where they are now available in English and in Catalan. See for ex: https://seu.ub.edu/ofertaPublicaCategoriaPublic/listPublicacionsAmbCategoria?categoria.id=35224 https://seu.ub.edu/ofertaPublicaCategoriaPublic/listPublicacionsAmbCategoria?categoria.id=35151 |

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| | | | | | http://www.ub.edu/comint/pdi/notis/2017/20171004_agregatsSH_en.html Other types of Calls are currently publicly available only in Catalan at the UB Electronic Portal. The UB will publish in this Electronic Portal, and also in Euraxess (or in a similar website), those UB permanent positions intended for Academic Staff as they become available. |
| | | | 3.- To make the adequate Evaluation Committees or Tribunals in order to select the best candidates, based on their CV as well as on the added value to the Scientific Strategic Plan, and thus to promote excellence at all levels in the UB. | 70% Priority 1 | Partial / Ongoing Most of the Job offers available at the UB are subjected to strict conditions and criteria established by the Calls under which they are offered (public employment, competitive calls, etc.). These criteria are fixed by the financing agencies and the UB abides by them strictly. <u>We are reviewing employment processes to make them more agile, thus ensuring that all internal positions (even if temporary) are not deterred from following an open evaluation process by slow or cumbersome operations.</u> |
| Action Nr 6. Selection Code (TA. II) | Delayed from the original June 2015 To Q1 2019 | A shared responsibility of several Vice-Rectorates, namely: the Vice-Rectorates for Research affairs and Science Policy and the Vice-Rectorate responsible for Teaching Staff. | To create a Code of good practices and recommendations for the implementation of transparency, fairness and non-discrimination in the evaluation process. This Code should be distributed to all the members of the Committees. Actions to be undertaken to achieve that UB researchers and candidates have a better knowledge on the evaluation process and the criteria adopted by the selection committees and the panels should include: - the Calls for pre-doctoral, post-doctoral or tenure staff positions should provide a clear list of the candidate requirements - the Calls should specify how the merits of the candidates will be evaluated, the competences and qualifications required if there is an exam, and the | 40 % Priority 1 | Partial / Ongoing Most of the Job offers available at the UB are subjected to strict conditions and criteria established by the Calls under which they are offered (public employment, competitive calls, etc.). These criteria are fixed by the financing agencies and the UB abides by them strictly, but is not at liberty to modify them. OTM –R procedures are already in place as such for Lecturer and Professor positions filled at the UB under the ‘Serra Hunter’ programme (AGAUR; Catalan Government). We are reviewing employment processes to make them more agile, thus ensuring that all internal positions (even if temporary) are not deterred from following an open evaluation process by slow or cumbersome operations. As requested, we have completed the OTM-R Checklist document. From the checking done, we have identified several strong points and some weaknesses. <u>We are</u> |

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| | | | <p>prioritization criteria of the committee.</p> <p>- a posteriori, the names of the members of the Committee, and their final evaluation of the candidates, with an itemization of the evaluated points, should be provided for the sake of transparency.</p> | | <p><u>working on the development of a written OTM-R Institutional Policy, which will include the requirements covered in the Checklist, most of them as can be seen, are already in place completely or substantially. Our objective, in this respect, is to make the official OTM-R Institutional Policy formally approved by the UB Governing Bodies by the beginning of 2019.</u></p> |
| <p>Action Nr 7. Postdoctoral appointments (TA. II)</p> | <p>Delayed from the original November 2015 to Q4 2018</p> | <p>- The Vice-Rectorates for Research, for Teaching Staff and for International Policy</p> | <p>Additional actions required should concern:</p> <ul style="list-style-type: none"> - increasing the transparency on the merits and qualifications required for the postdoctoral positions offered - creating specific programs to retain postdoctoral researchers of proved excellence (i.e. "Talent retention programme"). - facilitating mobility and re-engagement of postdoctoral researchers of exceptional quality | <p>50%</p> <p>Priority 1</p> | <p>Partial / Ongoing</p> <p>The unfavourable economic situation has severely limited the ability of the UB to create postdoctoral positions. The "Talent retention programme", designed to fill the gap between successful completion of the tenure track (Ramon y Cajal) and obtaining tenured positions has become less essential.</p> <p>The most recent call for postdocs (26/10/2017), financed from UB funds, does not meet the criteria. The call is published only in Catalan and it is available through the Intranet UB Portal, upon authentication: https://intranet.ub.edu/dyn/cms/menu_eines/noticies/2017/10/005.html https://intranet.ub.edu/dyn/export/sites/ubintranet/galeri/es/pdfs/2_treball_UB/2_2_concursos/20171027/bases.pdf</p> <p>Most of the postdoctoral positions at the UB are funded from specific research projects (either domestic or international). Research projects indicate that hiring procedures must follow local rules. At present, the UB is preparing hiring protocols that ensure compliance with the HRS4R requirements.</p> <p><u>We will keep monitoring the situation of postdoctoral appointments and aim to increase the opportunities for mobility and re-engagement of postdoctoral researchers of exceptional quality.</u></p> |

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| Action Nr 8. Research environment (TA. III) | Delayed from the original March 2015 To Q1 2019 | <ul style="list-style-type: none"> - Vice-Rectorate in charge of Research issues - Vice-Rector for Teaching and Research Staff - Vice-Rectorate for Academic Policy - OPIR, FBG, OGR - OSSMA, ICE | 1.- Facilitate that the equipment co-financed with the UB support should be accordingly shared with researchers of other departments and groups. | 0% Priority 2 | Pending The new Rector and Executive Council have made it a top priority to place information and communication technologies as a central element of the UB. The newly created Vice-Rectorate for Digital Transformation is carrying out an ambitious plan. Amongst other things, it contemplates the <u>creation of an informatics platform to connect people across the organization, making it easier to share information, materials and, with the objective of fulfilling this action, also resources.</u> |
| | -September 2015-June 2016 | | 2.- Examine the possibility to create short courses for researchers to acquire adequate training in safety measures and procedures when working in the lab (this possibility must be checked with the OSSMA and the vice-rectorates for research and/or students, and the ICE, etc.): | 100% Priority 1 | Completed The OSSMA (The UB Office for Health, Safety and Environmental Issues) has developed already a web portal (http://www.ub.edu/ossma/pla-acollida/) to present the Welcome Plan through which where researchers can access to: <ul style="list-style-type: none"> - General Information on health and safety issues - Information about risk at the different working places - Rules of action in case of emergency - Initial assessment of risks at each working place - Individual health test in order to certify the correct aptitude for the activity to be carried out. UB workers and UB as institution must comply respectively their part in each of these actions. |
| | September 2015-June 2016 | | 3.- Provide research support with short courses for writing projects, planning adequate budget, submission to European Research projects (in collaboration with ICE, OGR and OPIR). | 100% Priority 1 | Completed Please, refer to Annex I: List of Courses scheduled for 2017 (as UB offer to provide long-life training for research and academic staff). |
| | September 2015-June 2016 | | 4.- Facilitate actions for local, national and international networking (in collaboration with FBG and OPIR). | 100% Priority 1 | Completed Please, refer to Annex I: List of Courses scheduled for 2017 (as UB offer to provide long-life training for research and academic staff). |
| Action Nr 9. Working conditions (TA. III) | March-April 2015 | The Vice-Rectorate responsible for Teaching Staff, the Vice-Rectorate in charge of Academic Policy and Quality and the Vice-Rectorate in charge of Administration | <ul style="list-style-type: none"> - facilitate the reduction of the work time due to maternity or paternity while keeping the post - allow a distribution of the teaching tasks compatible with family and children -- make publicly available the OSSMA documents related to the Procedures that protect particularly sensitive workers and women during pregnancy. These documents should be uploaded on the OSSMA website. | 70% Priority 1 | Partial / Ongoing This information was updated and made public through the transparency portal: http://www.ub.edu/web/ub/ca/sites/transparencia/la_univ_ersitat/normatives/normatives/pdi.html <u>However, the information is only available in Catalan and Spanish. Creating an English version has been defined as a priority.</u> |

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| | | and Organization. - Academic Staff Unit + OSSMA | | | |
| Action Nr 10. Career development (TA. III) | Delayed from the original Academic year Sept. 2015 – June 2016 to <i>sine die</i> | The Vice-Rectorate for Academic Policy, in collaboration with the UB Doctoral School and the Research advisory service (SAR) at the ICE. If this action is re-formulated in the future, the Responsible Units/Offices will have to be revised) | 1.- To create a specific Office for Mentoring Researchers and Academic personnel, with competent officers. | 0% | Pending |
| | | | 2.- To create a Mentoring Action Plan, whereby a competent and qualified member of the University is able to provide advice, support and guidance to young researchers in their career development. | 0% | During the period 2015-2016 it was not possible to go ahead in these 2 proposals. The main drawback was the finance limitations, which precluded the creation and staffing of an Office for Mentoring. Upon revision of the objectives (carried out this year), this action has been down-prioritized because it does not constitute a pressing need. <u>Instead, we have given more emphasis on creating more training opportunities (Action 11). We will continue to monitoring the demand for Mentoring, particularly amongst specific sub-populations (e.g. young PIs).</u> |
| Action Nr 11. Access to research training and continuous development (TA. IV) | Delayed from the original April 2015 – June 2016 To Q2 2018 | The Vice-Rectorate in charge of Science Policy and the Vice-Rectorate responsible for Academic Policy and Quality should work together the Vice-Rectorate for Research affairs and the Vice-Rectorate in charge of Teaching Staff to implement effective training courses and create an Office for Mentoring Researchers through their career at the UB. | -Increase the dissemination among the TRS staff of those actions aiming at helping researchers to continue developing their skills and competences. - Implement a variety of training courses to improve the skills, competences, and employability of the UB staff | 20% | Partial / Ongoing – continuous activity The UB has its own institute for Professional Development education: <i>Institut de Desenvolupament Professional - Institut de Ciències de l'Educació</i> (ICE). It already provides valuable training activities, but is mainly focused to early stage researchers. Upon revision of the actions, it was decided that all training activities will run under the auspices of the ICE. <u>We are re-evaluating the existing ICE courses and designing a new curriculum that will consider also the needs of advanced and senior researchers</u> (R1, R2 & R3 categories). It will mostly focus on transversal skills, but, in coordination with the OPIR (Office for International Research Projects), it will also provide specific training for successful applications to international funding programs such as the European Research Council. <u>We will monitor student enrolment and satisfaction on an annual basis, in order to match training opportunities with the needs of researchers.</u> |

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| | | The Vice-Rectorate for Academic Policy as main promoter of the Institutional Training Plan (ITP). | | | |
|--|--|---|--|--|--|

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist⁴⁵, attach it to this self-evaluation form, and provide a commentary on how you will (continue to) address these principles in the years to come.

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

From the checking done (please, see the OTM-R Checklist document attached), we have identified several strong points and some weaknesses. We are working on the development of a written OTM-R Institutional Policy, which will include the requirements covered in the Checklist, most of them as can be seen, are already in place completely or substantially. Our objective, in this respect, is to make the official OTM-R Institutional Policy formally approved by the UB Governing Bodies by the beginning of 2019.

4. IMPLEMENTATION (max. 1 page)

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

- How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process?
- Do you have an implementation committee and/or steering group regularly overseeing progress?
- Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?
- How do you involve the research community, your main stakeholders, in the implementation process?
- How is your organisation ensuring that the proposed actions are also being implemented?
- How are you monitoring progress?
- How do you expect to prepare for the external review?

After the discontinuity experienced by the HRS4R project, the coordinators and sponsors deemed it necessary to focus on mapping the status of each action and, where possible, advancing the outstanding ones. This was done at the expense of a delay in the preparation of the internal review. For the same reason, we decided to adopt a light consultation process to define the revised priorities of the outstanding actions. As part of their daily responsibilities, the Vice-Rector for Research and the Vice-Rector for Teaching and Research Staff meet with individual researchers and heads of units (research institutes, faculties, departments, sections,...) whom have requested meetings to discuss specific issues. A mapping of these issues into the topics covered by the European Charter for Researchers provides a clear idea of the most pressing needs within the organization. An anonymized version of this analysis could be made available upon request. This information has been used to reassess the outstanding actions, which resulted mainly in the downgrading of action 10 (mentoring office).

Another priority was to establish the working group, which will help with the implementation of outstanding actions and will decide (upon a consultation process) on the new actions. The composition of the working group is as follows:

Sponsors:

Mercè Pallàs (f) – Vice-Rector for Teaching and Research Staff
Domènec Espriu (m) – Vice-Rector for Research

Working Group:

Coordination

Xavier Barril (m) - Delegate of the Rector for Research Staff Policy
Francesca Gallego (f) – Technician at the Vice-Rectorate for Research

Management Departments:

Silvia Nolla (f) – Deputy Director, Organisation & Human Resources Area at the UB
F. Javier Meneses (m) – Manager of Research Services at the UB
Ignacio Sánchez (m) – Head of the International Research Projects Office (OPIR) of the UB

Carme Melsió (f) – Responsible of the Organization and Quality Area at the UB Agency for Policy and Quality
Mercè Tejedor (f) – Head of Human Resources at the Bosch i Gimpera Foundation (FBG)

Researchers:

Pablo Martínez (m) – Early Stage Researcher; Faculty of Mathematics
Julia de Frutos (f) – Researcher; Research Institute of Economics (BEAT)
Conxita Avila (f) – Senior Researcher and former coordinator of the HRS4R; Faculty of Biology
Susana Narotzky (f) – Senior Researcher; Faculty of Geography and History.

It is worth noting that the role of the Human Resource department is not limited to overseeing the HRS4R as part of the working group, but mostly to align the organisational policies with the HRS4R, ensuring that changes translate into organization-wide standard procedures. Getting traction from transversal departments, particularly those involved in research, human resources and quality is essential to ensure that actions are implemented in an organization with the dimension, heterogeneity and complexity of the UB. This is reflected in the composition of the working group. Equally important during this early phase of the HRS4R is the commitment of the governing bodies to it into the organization. This is ensured by the alignment of the strategic direction of the new rectorate (see the Electoral Programme¹) with the European Charter for Researchers as for the respect for the principles of transparency, quality, integrity, equal opportunities, excellence and social responsibility of the institutional practices. The new rectorate has materialized this commitment with the creation of a dedicated position to lead the HRS4R program (Delegate of the Rector for Research Staff Policy) under the auspices of the Vice-Rector for Teaching and Research Staff and the Vice-Rector for Research. The final aim is to implement the HRS4R itself as a continuous process that identifies aspects where improvement is needed, designs solutions and implements those solutions into the organization. The next few years will be critical to stabilize and embed the HRS4R into the UB, in preparation for the external review.

⁽¹⁾ Electoral Programme of Rector Prof. Joan Elias (November 2016):

http://www.ub.edu/eleccionsrectorat2016/candidatures/documents/programa_joan_elias_2016.pdf

This document is only available in Catalan but a translation to English for the relevant information related to the UB human resources strategy can be provided upon request. The Rector's team is currently finalizing its Governing Plan for the whole mandate, which will be soon publicly available in the UB website.

The revised HR strategy and Action Plan (2017-2019) is available at the UB website upon completion of the internal assessment.

Annex I. *Compilation of some Training Activities organised at the University of Barcelona aimed at fostering the continuous training of its research staff (2017)*

-Training Programme at the ICE (Institute for Educational Sciences) for Young Researchers:
<http://www.ub.edu/ice/cursos/ub/jovesinves>

- Permanent Training at the ICE for Teaching and Research Staff.
<http://www.ub.edu/ice/cursos/ub/fp2016>
<http://www.ub.edu/ice/cursos/ub/fp2017>

- Training sessions on entrepreneurship for doctoral students and thesis supervisors.
http://www.ub.edu/web/ub/ca/menu_eines/noticies/2017/03/028.html

- Initiation Course to BioEntrepreneurship.
<http://www.fbg.ub.edu/clusbioemprendre/>

- Training program in management and research at the University of Barcelona
<http://www.ub.edu/ice/cursos/ub/fp2017/gestio>