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### TEMPLATE 3: INTERNAL REVIEW

Name organisation under review:	Universidad de Burgos
Organisation's contact details	C/ D. Juan de Austria nº1 -OTRI-OTC, Burgos, Burgos, 09001
Web-link to published version of organisation's HR Strategy and Action Plan	<a href="https://www.ubu.es/human-resources-strategy-researchers-hrs4r">https://www.ubu.es/human-resources-strategy-researchers-hrs4r</a>
Web-link to organisational recruitment policy (OTM-R principles): <sup>45</sup>	<a href="https://www.ubu.es/human-resources-strategy-researchers-hrs4r/seleccion-y-contratacion">https://www.ubu.es/human-resources-strategy-researchers-hrs4r/seleccion-y-contratacion</a>
Submission date to the European Commission	23th November 2020

## 1. ORGANISATIONAL INFORMATION

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

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	525
Of whom are international (i.e. foreign nationality)	18
Of whom are externally funded (i.e. for whom the organisation is host organisation)	103
Of whom are women	253
Of whom are stage R3 or R4 <sup>1</sup> = 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	209
Of whom are stage R1 = in most organisations corresponding with doctoral level	72
Total number of students (if relevant)	7,575
Total number of staff (including management, administrative, teaching and research staff)	1,339
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	61,660,097
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	1,962,215
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	4,451,998
Annual funding from private, non-government sources, designated for research	1,452,414
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
The University of Burgos (UBU) is a public university established in 1994. It comprises 7 official centers: 6 faculties –Sciences, Health Sciences, Economic and Business, Law, Education, Humanities and Communication– and a Higher Polytechnic School, offering 25 degrees, 5 dual degrees, 19 master's degrees and 11 doctoral programs. The UBU has 8 centers devoted to R&D: the Doctoral School, the Technological Science Park, the International Center in Critical Raw Materials for Advanced Industrial Technologies (ICCRAM), the R&D Center and the Hydraulics Laboratory, the Center for Research in Industrial Technologies, the Center for Food Biotechnology, the Virtual Teaching Center and the Center for Modern Languages.	

## 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE

### 1. Ethical and professional aspects

The Code for Good Practices in Research of the University of Burgos has been drawn up. This document not only compiles existing regulations and practices but also incorporates new content focused on the objectives of the Charter & Code principles. The values and guidance of the document are aimed at the entire scientific community of the institution, including R1, complementing the regulations on the subject implemented by the Doctorate School. As a specific action, measures addressed to prevent plagiarism in research activities have been completed; the TURNITIN tool is available and adapted for this purpose; the action includes an ad-hoc user guide aimed at facilitating access to the tool to all

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

categories of researchers, including doctoral students and researchers hired in the framework of competitive call for R&D projects. These two documents (the de code for good practice in research and the TURNITIN guide) were presented at an online event in July 2020.

During the last two years workshops on professional aspects of interest addressed to researchers have been organized, approaching skills such as open data management, research papers writing, protection and exploitation of IPR and techniques for quality improvement in research publications.

Another weakness addressed has been the support to disabled researchers, by launching in 2019 a new offer of services from the Diversity Unit, including specific grants, awareness activities and digital accessibility, among others.

To overcome the lack of internal assessment of the researcher's performance, an action for the evaluation of scientific productivity has been implemented. The instrument initially proposed for this purpose has been replaced by DIALNET, a tool developed by the University of La Rioja that provides a wider range of applications. This tool has made it possible to implement an internal financing program for research groups, allowing an evaluation based on scientific productivity criteria for the allocation of grants.

After reviewing the principles of this thematic area of the Charter & Code, the need to reinforce existing policies to comply with principles 6, 8 and 9 has been detected. To do so, the renewed action plan includes a new action: the creation of the Research Portal, a new site that displays the results of the scientific activity of the UBU researchers, focused on complementing and reinforcing the open access policies of the University Library, improving transparency in the use of public R&D funding and bringing university research closer to society.

During this period, progress work has been done to improve the procedures for welcoming researchers. Firstly, a Researchers Welcome Guide has been elaborated, containing relevant information to facilitate the integration of the new hired research personnel in their new work environment. Furthermore, a welcome protocol for researchers is going to be implemented, consisting of a kick-off event of the academic year for doctoral students and a personalized welcome for the rest of the researcher profiles.

## *2. Recruitment and selection*

The implementation of some actions included in this thematic section has been delayed, due to the effects of the COVID crisis, in two ways: firstly, at the institutional level, because of the need to readjust the work agendas of the people involved; secondly, on account of the slippage in the entry into force of the expected developments in the national legislation concerning recruitment of researchers and research career.

Regarding the OTM-R protocol, for the last two years efforts have focused on reviewing the internal procedures for hiring researchers in all their phases, having implemented some improvements and defining criteria for new regulatory developments. At the moment, there is a first draft of the OTM-R

protocol, approved by the Research Commission of the UBU, on which the final document will be built. The objective is to adapt the internal rules to the changes in the national legislation (the Organic Law of Universities, the so-called "Science Law" and the Statute for Teaching and Research Staff) once approved.

Among the improvements implemented are the creation of a website exclusively devoted to the advertisement of research job offers, (linked to the official website of the HrExcellece award), measures to increase the publication of job positions in Euraxess, addenda in English attached to job posts with a summary of the offer, and the improvement of the information provided to candidates about the results of the recruitment processes.

Furthermore, with the aim of increasing transparency in the selection processes, the profiles of all the members of the selection committees in the calls for research posts are published in the institutional website. A code assigned by the Ministry of Education appears next to each member's name, with a link to their official profile.

A gap detected, which will be addressed in the next period, consists of the need to create a database of participants in selection committees. Actions to increase diversity in the composition of the selection committees will also be approached, as well as the review and improvement of internal management forms and official announcement templates of job offers, which are already in process.

### *3. Working conditions*

All the services addressed to researchers in relation to the principles of this thematic area are included in the Researcher's Guide, as well as other aspects associated with professional performance. This instrument seeks to cover one of the gaps detected in the researchers' knowledge of the regulations and internal resources in terms of working conditions, co-authorship and exploitation of research results and development of the research career, among others. More specific information about the research career is outlined in an ad-hoc guide; its content should be updated in the coming years in order to incorporate the regulatory changes pending of approval at the national level, which will introduce relevant developments in the design of the scientific career in Spain.

An internal instruction, agreed between the Vice-rector for Research and Knowledge Transfer and the Vice-rector for Teaching and Research Staff, allows the participation of fixed-term contract researchers in national R&D public calls for proposals. This instruction establishes as an eligibility requirement the contractual stability of all the members of the participating research team, and also guarantees the conversion of temporary contracts into permanent ones for this purpose. This measure, in force since 2019, has contributed to ensure the professional performance of 62 postdoctoral researchers by reducing the instability of their employment contracts.

A number of activities have been drawn to foster researcher's mobility. The OTRI-OTC (Knowledge Transfer Office of the University) has been reinforced with a new unit focused on international projects (Unit for International projects EUBU). Staffed with 3 persons, it conducts actions specially devoted to promote and manage international mobility programs (Marie Skłodowska-Curie Actions). Moreover, inter-sectorial mobility with companies has been strengthened. The Doctorate School set up a new

model of collaboration agreement for R1 in industry in order to facilitate interaction between the academic and the productive spheres.

With the aim of achieving gender balance in the different areas of activity at the University of Burgos, in November 2018 the II Equal Opportunities Plan was approved. Given the need to implement measures that reinforce the presence and weight of women in the field of research, a new action is proposed that includes activities such as promoting research activity of women in underrepresented areas, the improvement of the information gathering processes about the role of women in research at the UBU, and the embedding of gender perspective in research.

#### *4. Training and development*

During the second year of the action plan, several university structures have been involved in implementing measures to overcome the gap detected in terms of guidance services for researchers in professional development and research career. The Employment Unit, expanding its scope of activity, has launched in 2020 a personalized professional advice service for researchers, as well as coaching activities for the development of personnel and professional skills. This unit will also carry out, in coordination with the IFIE (the Educational Innovation and Training Institute), a specific plan with training actions on job search tools and selection processes, personal, social and professional skills, and skills for entrepreneurship development.

Moreover, based on the experience and practices of the Doctoral School for R1-level researchers, a program of supervision, orientation and mentoring of post-doctoral researchers has been launched.

With the aim of contributing to the continuous professional development of researchers, a number of training actions have been carried out as part of the annual training plan of the UBU. This workshops and courses, coordinated and implemented by the IFIE, have addressed technical issues related to intellectual property rights such as how to identify, protect, manage and exploit IP assets, licensing, and spin-off companies management, as well as other training activities on professional and ethical aspects (as referred in thematic section 1).

#### *5. Have any of the priorities for the short- and medium term changed?*

Although the priorities of the Action Plan remain unchanged, a number of activities have been delayed due to the situation created by the COVID-19 pandemic. Furthermore, some events and meetings had to be hold online.

As a result of the delays in the implementation of some actions (i.e. presentation of the Code of Good Practices in Research, and the anti-plagiarism protocol) some evaluation activities linked to them, such as researcher surveys, had to be rescheduled.

*6. Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?*

The Ministry of Science and Innovation and the Ministry of Universities are currently working on defining legislative modifications that, if approved, would affect key aspects of the research career in public research organizations in Spain, including universities. The legislative reforms in process are:

- The new Statute for Teaching and Research Staff, that boosts a progressive and predictable academic career, eliminates precariousness, and ensures mobility, both internal and international.
- Reform of the so-called "Science Law" (Law 14/2011, of 1 June, of Science, Technology and Innovation) to promote the access and consolidation of research staff in the Spanish public science system, introducing tenure track models.
- Reform of the Organic Law 4/2007 of Universities, introducing modifications in researchers' recruitment and other aspects of the research career.

The entry into force of these legislative projects would, therefore, have a remarkable impact on the institutional research human resources policy and would require adapting many aspects addressed in the HRS4R.

*7. Are any strategic decisions under way that may influence the action plan?*

After the first two years of the implementation phase, the Steering Committee decided to incorporate some changes in the operational and supervision structure of the project, with the aim of adapting the internal resources to the planned tasks, streamlining the supervision procedures and ensuring the embedding of HRS4R in the institution. These changes, shown in Figure 1, are:

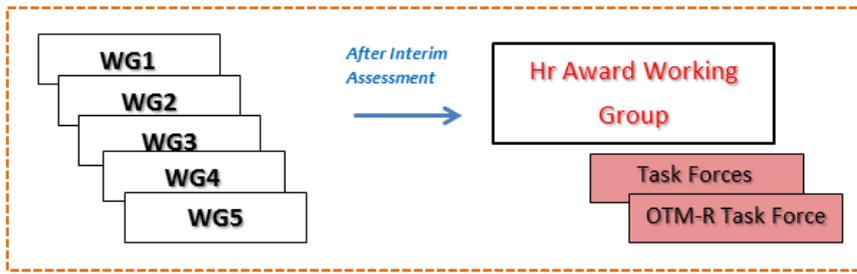
1-The **Steering Committee** will continue with the monitoring role at institutional level. At the same time, the operational supervision of the project -which in the first phase of the Plan was carried out by the Strategic Actions Committee- will be transferred to the Steering Committee.

2-The **Hr Award Working Group** has been created; it will be in charge of implementing the actions of the plan and, at the same time, incorporating new actions that reinforce compliance with the Charter & Code principles. It will be led by the Vice-rector for Research and Knowledge Transfer, who will be the liaison with the Steering Committee, and its members will be representatives of the services and units involved in the Action Plan.

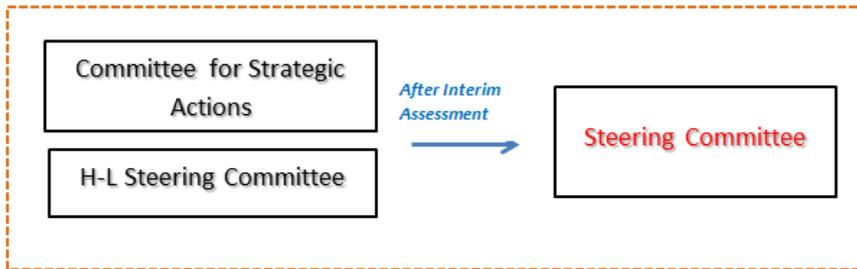
3- Within this main group, **specific task forces** will be created to approach specific actions that need a special boost. One of these task forces will be devoted to OTM-R.

**Figure 1: Changes in the operational structure**

**IMPLEMENTATION**



**MONITORING**



### 3. ACTIONS

Proposed ACTIONS	GAP Principle(s)	Timing)	Responsible Unit	Indicator(s) / Target(s)	Current status	Remarks
<p><b>1.- Training on IPR addressed to researchers.</b> Training actions will be focused on two objectives. Firstly, to address technical issues related to intellectual property rights such as how to identify, protect, manage and exploit IP assets, including licensing and spin-off companies. Secondly, to inform about in house regulations and available support services on the subject.</p> <p>The Workshops will be organized within the annual training plan of the IFIE in collaboration with other units of the UBU. Speakers will be both external experts and professionals coming from the internal support units.</p>	3, 8, 31, 38	Continuous	OTRI (Knowledge Transfer Office)	<p>Target:</p> <ul style="list-style-type: none"> <li>-Workshops approved by governing bodies and included in the Annual training Plan.</li> <li>-2 Workshops organized/year.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number and type (R1 to R4) of attenders (90)</li> <li>-Satisfaction survey to evaluate the quality of the organization, contents, speakers, professional performance improvement... for each workshop</li> </ul>	Completed	<p>4 Workshops organized, all of them included in the Annual training Plan of the UBU (note the Average Satisfaction Rating for each event, according to a 1-5 Likert scale):</p> <ul style="list-style-type: none"> <li>- Workshop on IPR in Research (Nov 26, 2018) ASR: 4.58</li> <li>- Workshop on Innovation and Transfer of Research Results in Health Sciences (Dec 3, 2019) ASR: 3.00</li> <li>- Tech-breakfast: "The potential of a patent for my research" (Nov 7, 2019) ASR: 4.83</li> <li>- Workshop on Patent Search (Feb 20, 2020) ASR: 4.23</li> </ul> <p>115 attenders in total, of which 55 researchers: 18 R1, 15 R2, 18 R3 and 4 R4</p>
<p><b>2.- Anti-plagiarism tool.</b> Over the last few years, the UBU has been using the TURNTIN software to control plagiarism in academic works. This technology will be applied for the same purpose in the field of research. During the action plan, the main tasks will be focused on the development of the protocols to be used and their implementation.</p> <p>In addition to it, it will also be adapted to the needs of the Publications Service of the UBU, responsible for publishing and managing</p>	3	Q2 to Q4	Vice-Rector for Academic Policies	<p>Target:</p> <ul style="list-style-type: none"> <li>-Tool approved by governing bodies</li> <li>- Development of protocols for tool implementation.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number of users (60 users/year) and evolution of this indicator.</li> </ul>	Completed	<p>Available to researchers in Q7.</p> <ul style="list-style-type: none"> <li>-Tool approved by governing bodies (June 2020).</li> <li>- Protocol of use available since July 2020.</li> </ul> <p><a href="https://www.ubu.es/servicio-de-gestion-de-la-investigacion/personal-investigador/manual-de-acceso-y-utilizacion-de-la-herramienta-antiplagio-turnitin">https://www.ubu.es/servicio-de-gestion-de-la-investigacion/personal-investigador/manual-de-acceso-y-utilizacion-de-la-herramienta-antiplagio-turnitin</a></p> <p>Indicators:</p>

the production of the research and cultural creation works at UBU.						77 users of the tool, of which 16 R1 (Period 2019-2020).
<p><b>3.- Code of Good Practices in Research.</b></p> <p>The code should be understood as a collective self-regulation instrument that will reinforce and complement the commitments and recommendations included in the internal regulations, both the ones already in form at the UBU and those to be defined and incorporated during the HRS4R action plan.</p> <p>It would gather questions such as: honesty, conflicts of interest, research protocols, team leadership, supervision of personnel in training, use of facilities, safekeeping of information and protection of results, authorship, safety and environment, experimentation with humans and animals...</p> <p>The code will be submitted for the approval of the governing council.</p>	2, 3, 4, 7, 8	Q3 to Q7	Doctorate School	<p>Target:</p> <ul style="list-style-type: none"> <li>-Code of Good Practices on Research published</li> <li>-Code of Good practices available and widely disseminated among the research community.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Survey to measure the usefulness and scope of the guide among the research community: number and type of users, content assessment...</li> </ul>	Completed	<p>Code of Good Practices on Research approved by the Governing Board of the University of Burgos on 18 November 2019 and published in the Official Gazette of Castilla y Leon on 20 November 2019.</p> <p><a href="http://bocyl.icyl.es/boletines/2019/11/27/pdf/BOCYL-D-27112019-15.pdf">http://bocyl.icyl.es/boletines/2019/11/27/pdf/BOCYL-D-27112019-15.pdf</a></p> <p>Document available for the research community since July 2020:</p> <p><a href="https://www.ubu.es/sites/default/files/portal_page/files/codigo_de_buenas_practicas_ingles_y_espanol.pdf">https://www.ubu.es/sites/default/files/portal_page/files/codigo_de_buenas_practicas_ingles_y_espanol.pdf</a></p>
<p><b>4.- Awareness-raising workshops on good practices in research.</b></p> <p>Once the Code of Good Practices in Research has been approved, presentation sessions and awareness-raising workshops will be organized on the subject.</p>	2, 3, 4, 7, 8, 38	Continuous	Vice-Rector for Research and Knowledge Transfer	<p>Target:</p> <ul style="list-style-type: none"> <li>-Workshops approved by governing bodies and included in the Annual training Plan.</li> <li>-2 Workshops organized/year.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number and type (R1 to R4) of attenders (80)</li> <li>-Satisfaction survey to evaluate the quality of</li> </ul>	Completed	<p>Presentation of the Code of Good Practices in Research on 9 July 2020 (online event).</p> <p>The following events on good research practices, aimed at all categories of research staff were organized (note the Average Satisfaction Rating for each event, according to a 1-5 Likert scale) :</p> <ul style="list-style-type: none"> <li>- Workshop "Open Data Management in Research Projects"</li> </ul> <p>(Feb 13, 2019)</p>

				the organization, contents, speakers, professional performance improvement... for each workshop		<p>ASR:4.50</p> <p>- Authors Workshop: "How to Publish Research Papers" (May 7, 2019)</p> <p>ASR: 4.08</p> <p>- Workshop "The Quality of Researcher Publications" (Nov 13, 2019)</p> <p>ASR: 4.36</p> <p>75 attenders in total, of which 44 researchers: 3 R1, 29 R2, 11 R3 and 1 R4.</p>
<p><b>5.- Researcher's Guide.</b> It will be a tool specifically designed to help researchers to manage the available services and resources at the UBU, such as the university library, the knowledge transfer office, the human resources service, the research management service, complaining and appeals instruments, training offers, among others.</p> <p>The guide will be available on the university website.</p>	4, 5, 8, 12, 13, 14 15, 23, 24, 25, 26, 30, 31, 32	Q1 to Q4	Research Management Service	<p>Target:</p> <p>-Guide published</p> <p>-Guide widely disseminated among the research community.</p> <p>Indicators:</p> <p>-Satisfaction Survey to measure the usefulness and scope of the guide in the research community: number and type of users, content assessment...</p> <p>-Number of downloads from the website and evolution.</p>	Completed	<p>Document approved by the Research Commission of the UBU in November 2020.</p> <p>Guide Published and disseminated in November 2020.</p> <p><a href="https://www.ubu.es/sites/default/files/portal_page/files/guia_del_investigador.pdf">https://www.ubu.es/sites/default/files/portal_page/files/guia_del_investigador.pdf</a></p>
<p><b>6.- Welcome protocol for new researchers.</b> This protocol would complement the Researcher Guide. It will provide new employees with the necessary information to facilitate a proper and quick integration into the university work environment.</p>	4	Q2 to Q6	International Relations Service	<p>Target:</p> <p>-Welcome protocol defined and implemented.</p> <p>Indicators:</p> <p>-Number of users: new researchers to whom the service is provided (10/year).</p>	In progress	<p>Welcome protocol in progress.</p> <p>Complementing this action, a Guide for welcoming new researchers has been elaborated. (action nr 24).</p>

				-Satisfaction survey to evaluate the quality of the services provided.		
<b>7.- Service to researchers on diversity issues.</b> The Diversity Unit, created in 2002, provides support to students and other personnel with disabilities, having developed a service charter, which includes the management of their accessibility needs and awareness activities.	10	Continuous	Diversity Unit	<p>Target:</p> <p>- Extend the scope of the Diversity Unit to provide services to researchers on a regular basis.</p> <p>Indicators:</p> <p>-Number of researchers to whom the service is provided.</p> <p>-Satisfaction survey to evaluate the quality of the services provided.</p>	Completed	<p>New offer of services to disable researchers, available since 2019. <a href="https://www.ubu.es/unidad-de-atencion-la-diversidad/atencion-pdipas-con-discapacidad/atencion-investigadores-con-discapacidad">https://www.ubu.es/unidad-de-atencion-la-diversidad/atencion-pdipas-con-discapacidad/atencion-investigadores-con-discapacidad</a></p> <p>Indicators:</p> <p>The Unit provided professional assistance to 9 researchers (8 R1 and 1 R2) in the period.</p>
<b>8.- II Equal Opportunities Plan.</b> Strengthening and updating of the measures currently in force within the framework of the I Equal Opportunities Plan, whose objective is to achieve equal treatment and opportunities between women and men and to eliminate discrimination based on sex.	10, 27	Q1	Equal Opportunities Unit	<p>Target:</p> <p>-Plan approved by governing bodies and implemented.</p> <p>Indicators:</p> <p>-Number and type of queries made by researchers.</p> <p>-Gender indicators evolution in R&amp;D field: number of female researchers, women in responsibility posts...</p>	Completed	<p>Plan approved by the Governing Board of the University of Burgos on 24 October 2018.</p> <p><a href="https://www.ubu.es/sites/default/files/portal_page/files/ii_plan_de_igualdad_2018_def_cg24102_018.pdf">https://www.ubu.es/sites/default/files/portal_page/files/ii_plan_de_igualdad_2018_def_cg24102_018.pdf</a></p>
<b>9.- Programme for registration and evaluation of the scientific productivity of researchers.</b> Since December 2017, the UBU has been assigned to ORCID, a unique, international and independent identification system for research personnel, the first step for the registration and subsequent evaluation of the scientific activity of researchers of the UBU.	11	Q1 to Q4	Vice-Rector for Research and Knowledge Transfer	<p>Target:</p> <p>-Full implementation of the tool.</p> <p>Indicators:</p> <p>-Number and type (R1 to R4) of researchers registered and evaluated (400/2 years) and evolution.</p>	In progress	<p>Implemented in the Q1-Q7 period</p> <p>Tool Implemented and available: <a href="https://investigacion.ubu.es/">https://investigacion.ubu.es/</a></p> <p>The profiles of researchers are in process of being updated and registered in the database.</p>

<p>This evaluation will be managed through the OGMIOS tool, a technology developed by the University of Málaga, which collects, classifies and updates the most relevant indicators of scientific production.</p>						
<p><b>10.- Productivity-based Research Financing Programme.</b> In order to stimulate and assess the professional performance of researchers, the UBU will implement a program to allocate internal economic funds based on scientific productivity. The action will be addressed both to individual researchers and to the 67 recognized research groups at the UBU.</p>	11	Q2 to Q4	Vice-Rector for Research and Knowledge Transfer	<p>Target:</p> <ul style="list-style-type: none"> <li>-Full implementation of the programme.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number of Researchers and research groups funded in the framework of this programme (30/2 years).</li> <li>-Impact survey in order to assess how this programme contributes to improve the participation of the UBU researchers in public calls, international projects, new researchers hired...</li> </ul>	Completed	<p>Programme implemented in a yearly basis (2019 and 2020)</p> <p><a href="https://www.ubu.es/te-interesa/convocatoria-de-ayudas-grupos-de-investigacion-reconocidos-gir-ano-2020">https://www.ubu.es/te-interesa/convocatoria-de-ayudas-grupos-de-investigacion-reconocidos-gir-ano-2020</a></p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Research groups funded: 57 (2019) and 63 (2020)</li> <li>-Researchers (members of these groups): 460 (2019) and 502 (2020)</li> </ul>
<p><b>11.- Guidance services on professional development.</b> The University Employment Unit already provides guidance on professional development to students and graduates, including individualized coaching services. One of the main targets of this action will be researchers with a fixed-term contract.</p>	25, 30, 38, 39	Continuous	Employment Unit	<p>Target:</p> <ul style="list-style-type: none"> <li>- Extend the scope of the University Employment Unit to provide services to researchers on a regular basis.</li> <li>-Review, adaptation, and approval of current protocols.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number of researchers to whom the service is provided (15/year) and evolution.</li> </ul>	Completed	<p>New service offer of the University Employment Unit with specific services for researchers, including individualized professional guidance, coaching for competence development and training actions. Approved in October 2020.</p> <p><a href="https://www.ubu.es/servicio-de-empleo-universitario-unidad-de-empleo/orientacion-coaching-y-formacion/formacion">https://www.ubu.es/servicio-de-empleo-universitario-unidad-de-empleo/orientacion-coaching-y-formacion/formacion</a></p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Service provided to 4 R1 since Jun-2020, when the new offer is available.</li> </ul>

				-Satisfaction survey to evaluate the quality of the services provided.		
<p><b>12.-Participation in public calls.</b></p> <p>To facilitate the continuity of R2 and R3 researchers, the current internal regulation will be modified to allow a greater number of researchers to apply for public calls for R&amp;D projects, which enable the hiring of research staff.</p>	21, 25	Continuous	Vice-Rector for Research and Knowledge Transfer	<p>Target:</p> <ul style="list-style-type: none"> <li>-Regulations updated and approved by governing bodies.</li> <li>-Reinforcement of support services for preparation of proposals.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Evolution of the number of researchers (R2 and R3) hired in the framework of R&amp;D projects funded.</li> </ul>	Completed	<p>Internal instruction to consolidate contracts of researchers participating in R&amp;D projects funded by public programs.</p> <p>In force since 2019.</p> <p>Indicator:</p> <p>69 R2 participating in projects funded by public calls whose contracts have been converted in open-ended contracts (43 in 2019, 26 in 2020)</p>
<p><b>13.-Regulations for the supervision and mentoring of postdoctoral researchers.</b></p> <p>The objective of the action is to support R2-level researchers in their research performance and the further development of their professional careers through supervision and mentoring.</p> <p>The specific protocols and practices already developed by the Doctorate School, addressed to PhD researchers, will be a reference to define the different aspects of this action. For instance, an ad-hoc commitment will be set up to regulate supervisors/mentors-postdoctoral researcher relationships.</p>	28, 37, 39, 40	Q5 to Q8	Doctorate School	<p>Target:</p> <ul style="list-style-type: none"> <li>-Regulation developed and approved by governing bodies.</li> </ul> <p>Indicators</p> <ul style="list-style-type: none"> <li>-Number of R2 researchers to be supervised and mentored and evolution (14/2 years).</li> </ul>	Completed	<p>Program of supervision, orientation and mentoring of post-doctoral researchers (R2).</p> <p><a href="https://www.ubu.es/servicio-de-gestion-de-la-investigacion/normativa-e-impresos-de-investigacion/supervision-orientacion-y-tutela-de-investigadores-post-doctorales">https://www.ubu.es/servicio-de-gestion-de-la-investigacion/normativa-e-impresos-de-investigacion/supervision-orientacion-y-tutela-de-investigadores-post-doctorales</a></p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-83 R2 mentored (42 in 2019 and 41 in 2020)</li> </ul>
<p><b>14.- Encouraging mobility of researchers.</b></p> <p>A strategy to encourage the participation of</p>	29	Continuous	Vice-Rector for Research and	<p>Target:</p> <ul style="list-style-type: none"> <li>-Reinforcement of support services for</li> </ul>	Completed	<p>Objectives of the action included in the Line 2 of the Strategic Plan for Research, Knowledge Transfer and Innovation 2019-2024.</p>

<p>researchers in calls for international mobility (mainly Marie Curie-Skłodowska) and in the initiative promoted by the Castilla y León administration of doctorates in industry will be launched.</p>			<p>Knowledge Transfer</p>	<p>preparation of proposals.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number of researchers involved in international mobility actions and evolution</li> <li>-Number of doctorates in industry and evolution.</li> </ul>		<p><a href="https://www.ubu.es/sites/default/files/portal_page/files/plan_est_rategico_-2019-2024-ubu.pdf">https://www.ubu.es/sites/default/files/portal_page/files/plan_est_rategico_-2019-2024-ubu.pdf</a></p> <p>OTRI (through the Unit for International projects EUBU) and Doctorate School directly involved.</p> <p><a href="https://www.ubu.es/otri-transferencia/convocatorias-y-ayudas-colaboracion-universidad-empresa/oficina-de-proyectos-internaciones-eubu">https://www.ubu.es/otri-transferencia/convocatorias-y-ayudas-colaboracion-universidad-empresa/oficina-de-proyectos-internaciones-eubu</a></p> <p><a href="https://www.ubu.es/escuela-de-doctorado/programas-de-doctorado/doctorado-industrial">https://www.ubu.es/escuela-de-doctorado/programas-de-doctorado/doctorado-industrial</a></p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-22 researchers involved in international mobility actions.18 in 2019 (11 R1, 1 R2, 4 R3 and 2 R4) and 4 in 2020 (3 R1 and 1 R2)</li> <li>-13 R1 in industry (doctorates).</li> </ul>
<p><b>15.- Research Career Guide.</b></p> <p>The guide will include general information on the map of the scientific career in Spain, grants, support units... as well as the UBU's own actions: advisory services, training for different stages, types of recruitment calls, etc.</p>	<p>28</p>	<p>Q1 to Q6</p>	<p>Vice-Rector for Teaching and Research Staff</p>	<p>Target:</p> <ul style="list-style-type: none"> <li>-Guide published</li> <li>-Guide widely disseminated among the research community.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Satisfaction Survey to measure the usefulness and scope of the guide in the research community: number and type of users, content assessment...</li> <li>-Number of downloads from the website and evolution.</li> </ul>	<p>Completed</p>	<p>Document approved by the Research Commission of the UBU in November 2020.</p> <p>Guide Published and disseminated in November 2020.</p> <p><a href="https://www.ubu.es/sites/default/files/portal_page/files/guia_de_la_carrera_investigadora.pdf">https://www.ubu.es/sites/default/files/portal_page/files/guia_de_la_carrera_investigadora.pdf</a></p> <p>To be updated in the next period (new national legislation in process).</p>

<p><b>24.- Welcome guide</b></p> <p>Tool for new researchers containing basic information on professional, logistical and labor aspects aimed at facilitating their quick adaptation to the UBU environment.</p>	4	Q6 to Q7	International Relations Service	<p>Target:</p> <ul style="list-style-type: none"> <li>-Guide published</li> <li>-Guide widely disseminated among the research community.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Satisfaction Survey to measure the usefulness and scope of the guide</li> <li>-Number of downloads from the website and evolution.</li> </ul>	New	<p>Guide approved by the Research Commission of the UBU in November 2020.</p> <p>Guide published (November 2020)</p> <p><a href="https://www.ubu.es/sites/default/files/portal_page/files/manual_de_acogida_del_personal_investigador.pdf">https://www.ubu.es/sites/default/files/portal_page/files/manual_de_acogida_del_personal_investigador.pdf</a></p>
<p><b>25.-Research Portal</b></p> <p>This new site displays the results of the scientific activity of the UBU researchers, focused on the following objectives:</p> <ul style="list-style-type: none"> <li>-To make the society aware on the research role of the institution and its researchers.</li> <li>-Contribute to transparency in the use of public funding for R&amp;D activities.</li> <li>-Strengthen institutional open science policies.</li> </ul>	6, 8, 9	Q4 to Q7	Vice-Rector for Teaching and Research Staff	<p>Target:</p> <ul style="list-style-type: none"> <li>-Web service implemented and available.</li> </ul> <p>Indicators:</p> <ul style="list-style-type: none"> <li>-Number of queries and evolution.</li> <li>-Satisfaction Survey to measure the usefulness of the site.</li> </ul>	New	<p>Portal available:</p> <p><a href="https://investigacion.ubu.es/">https://investigacion.ubu.es/</a></p> <p>DIALNET program allows for developing this new service, aimed at reinforcing the institutional policies of dissemination and outreach to society.</p> <p>The profiles of about the 40% of researchers are in process of being updated and registered in the database</p>
<p><b>26.- Gender equality in research.</b></p> <p>In the coming years, a number of specific measures will be carried out to promote gender equality in research, such as:</p> <ul style="list-style-type: none"> <li>- Improving information about the role of women in research.</li> </ul>	10, 27	Q9 to Q16	Equal Opportunities Unit	<p>Target:</p> <ul style="list-style-type: none"> <li>-Database on participation of women in research</li> <li>-Consolidation of Research awards</li> <li>-Guide on how to incorporate gender perspective in Research.</li> </ul> <p>Indicators:</p>	New	To be implemented

<ul style="list-style-type: none"> <li>- Research awards with a gender perspective</li> <li>- Strengthening actions of the research activity of women in underrepresented areas.</li> <li>- Specific actions on how to incorporate the gender perspective in research.</li> </ul>				<ul style="list-style-type: none"> <li>- Gender indicators in R&amp;D: number of female researchers, women participating as principal investigator...</li> </ul>		
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<i>Proposed ACTIONS</i>	<i>OTM-R Principle(s)</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>	<i>Current status</i>	<i>Remarks</i>
<p><b>16.- OTM-R Protocol.</b> It will collect the whole set of internal rules regarding the advertisement, selection and hiring of the research staff at all levels within UBU, as well as the procedures and practices associated to them.</p>	12, 13, 14, 15, 16, 17, 18, 19, 20	Q1 to Q8	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u></p> <ul style="list-style-type: none"> <li>-Review and checking of C&amp;C principles concerning OTM-R.</li> <li>-Reinforcement of the OTM-R items that already satisfy the requirements of the Charter &amp; Code.</li> <li>-Implementation of measures for the items that are not aligned with C&amp;C principles.</li> <li>-Protocol approved by governing bodies.</li> <li>- Protocol widely disseminated (website mainly).</li> </ul> <p><u>Indicators:</u></p> <ul style="list-style-type: none"> <li>-Satisfaction Survey about the measures undertaken addressed to research community.</li> <li>-Number of downloads from the website and evolution.</li> </ul>	In progress	<p>The internal procedures for hiring researchers have been revised, in order to incorporate new improvements, apart from those detected in the initial gap analysis.</p> <p>In October 2020 the Research Commission of the UBU approved a first draft of the protocol.</p> <p>The COVID-19 crisis has affected to the progress in this action: delay in legislative developments concerning recruitment of researchers.</p>
<p><b>17.- Training on OTM-R.</b> The university will organize workshops for the staff involved in the tasks of the Action Plan: members of the Strategic Actions Committee, staff from other involved units, etc. On the following stage, the workshops will be open to the rest of the research community and the service staff.</p>	14, 38	Q2 and Q5	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u></p> <ul style="list-style-type: none"> <li>-Workshops approved by governing bodies and included in the Annual training Plan.</li> <li>-1 Workshop organized/year.</li> </ul> <p><u>Indicators:</u></p> <ul style="list-style-type: none"> <li>-Number and type (R1 to R4, and services staff) of attendees (200)</li> <li>-Satisfaction survey to evaluate the quality of the organization, contents, speakers,</li> </ul>	Completed	<p>2 Workshops organized, both included in the Annual training Plan of the UBU (note the Average Satisfaction Rating for each event, according to a 1-5 Likert scale):</p> <p>Workshop "HR Excellence in Research: Good practices in hiring researchers" (Feb 21, 2019) ASR: 4.10</p>

				professional performance improvement... for each workshop.		<p>Workshop-online "HRS4R - Human Resources Strategy for Researchers in the UBU" (Jul 9, 2020) ASR: 4.70</p> <p>88 attenders in total, of which 86 researchers: 8 R1, 35 R2, 26 R3 and 17 R4</p>
<p><b>18.-Central website for R&amp;D offers.</b> A section within the UBU website will be exclusively devoted to the advertisement of research job offers, whether they are framed within the official announcements in the institution or within R&amp;D projects.</p>	12, 13	Q2 to Q4	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u> -Web section implemented and available.</p> <p><u>Indicators:</u> -Number of job offers published. -Number of queries and evolution. -Satisfaction Survey to measure the usefulness of the site.</p>	Completed	<p>Web section available in 2020: <a href="https://www.ubu.es/human-resources-strategy-researchers-hrs4r/ofertas-de-empleo">https://www.ubu.es/human-resources-strategy-researchers-hrs4r/ofertas-de-empleo</a></p> <p><u>Indicators:</u> 77 job offers published and 32.387 queries in the period January-October 2020.</p>
<p><b>19.- Improve the advertisement of job offers.</b> The number of job offers advertised through external platforms (mainly EURAXESS) to UBU will increase. On the other hand, forms and sheets would be created for each announcement (whether official or belonging to a project) with the aim of advertising it. Those documents will complement the official announcement, so they will have to include detailed information about the different aspects collected in the Charter &amp; Code, such as the implications of the position in the candidate's professional trajectory, institutional policy of gender equality, rights over the generated IPR, etc.</p>	12, 13, 15	Q1 to Q6	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u> - International dissemination of positions associated to R&amp;D projects. -Design of complementary templates for international dissemination.</p> <p><u>Indicators:</u> -Number of Job adverts in national and international platforms and evolution (40% increased).</p>	In progress	<p>The publication in Euraxess of job positions linked to international R&amp;D projects in Euraxess will be mandatory; this requirement will be specifically included OTM-R protocol.</p> <p>Internal management forms and official announcement templates of job offers in process of review and improvement.</p> <p>A summarized version in English of the job post is attached to the official call. 41 calls incorporate addenda in English. It will be progressively extended to all job offers for researchers.</p> <p><u>Indicators:</u> 6 job adverts released in Euraxess (6 job adverts released in Euraxess (profiles of the posts: 3 for R1 and 3 for R2)</p>

<p><b>20.- Increase diversity in the composition of the selection committees.</b> Inasmuch as the national and regional regulation allows, certain measures will be analyzed, adapting them to every kind of announcement regarding criteria that affect the appointment of members of the selection committees, such as origin, sector and professional profiles.</p>	14	Q2 to Q8	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u> -Measures to increase the diversity of the selection committees approved and implemented.</p> <p><u>Indicators:</u> -Number of job offers adopting diversity measures and evolution. -Number of members coming from other institutions, companies, etc. (40% increased).</p>	In progress	A database on participants in selection committees will be developed.
<p><b>21.- Specialized training of the members of the Selection Committees.</b> Within the training provision of the Institute for Training and Educational Innovation there will be courses of interest for those members of the research community participating in selection processes. The educational contents will focus on topics such as interview techniques, assessment of qualifications, etc.</p>	14	Continuous	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u> -Courses approved by governing bodies and included in the Annual training Plan. -2 Workshop organized/year.</p> <p><u>Indicators:</u> -Number and profiles of attenders (60). -Satisfaction survey to evaluate the quality of the organization, contents, speakers, performance improvement... for each workshop</p>	In progress	An online course on preparation of job interviews, scheduled for November 20 <sup>th</sup> of 2020 has been postponed.
<p><b>22.- Information about the profile of the members of the selection committee.</b> A transparency measure will be implemented as the profiles of the members of the selection committees at the UBU website will be published in every announcement. The main gaps identified regarding this aspect have been detected in the openings related to projects.</p>	14	Q2 to Q8	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> <li>- Vice-Rector for Teaching and Research Staff.</li> <li>- Human Resources.</li> </ul>	<p><u>Target:</u> -Transparency measures concerning profiles of members of selection committees approved by governing bodies and implemented.</p> <p><u>Indicators:</u> -Number of profiles published on the UBU website (40) and evolution. -Number of recruitment processes improved by the measure.</p>	Completed	<p>Since 2020, the profiles of all the members of the selection committees are published in the calls for research posts. A code assigned by the Ministry of Education appears next to each member's name, with a link to their official profile.</p> <p><u>Indicators:</u> 77 recruitment processes improved</p>
<p><b>23.-Improve the information supplied to the candidates after the selection process.</b> Improvements will be made regarding the</p>	15	Q3 to Q8	<ul style="list-style-type: none"> <li>- Vice-Rector for Research and Knowledge Transfer.</li> </ul>	<p><u>Target:</u> -Publication of minutes of the selection processes.</p> <p><u>Indicators:</u></p>	Completed	Since 2020, all the minutes of the selection processes are published; these reports show the relevant information

<p>information given to the candidates after the selection process, whether they are chosen or not. The R&amp;D programs already published the minutes with their assessment, a practice that will be extended to the rest of the selection processes.</p>			<p>- Vice-Rector for Teaching and Research Staff. - Human Resources.</p>	<p>-Number of minutes published and evolution.(40% increased) -Number of recruitment processes improved by the measure.</p>		<p>on the evaluation criteria applied.  <i>Indicators:</i> 77 recruitment processes improved</p>
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The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

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

<https://www.ubu.es/human-resources-strategy-researchers-hrs4r>

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

### *Comments on the implementation of the OTM-R principles*

As stated, the implementation of the OTM-R principles has been highly conditioned by the aim of adapting them to a new national legislation, whose entry into force is being delayed by the COVID-19 crisis.

The OTM-R protocol will include all the internal regulations and the legislative developments to come. After the analysis carried out by working group nr 5, a discussion paper of this protocol has been drafted. Its main features are:

-It is structured in three sections, dedicated to the phases of the hiring process: advertising, selection and appointment.

-Each of the three sections is aimed at two large groups of researchers: teaching and research staff and personnel hired within the framework of public programs or institutional actions.

-For the first section, with the legislation in force at the moment, the capacity for action in aspects such as the composition of the selection committees, publication deadlines, evaluation criteria and communication of results is limited.

-An intensive work has to be done in order to incorporate in the protocol, as far as possible, the four career stages outlined and defined in the European Commission's communication "Towards a European Framework for Research Careers".

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 checklist<sup>45</sup>.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website. Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

<a href="https://www.ubu.es/human-resources-strategy-researchers-hrs4r/seleccion-y-contratacion">https://www.ubu.es/human-resources-strategy-researchers-hrs4r/seleccion-y-contratacion</a>
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N.B. Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the renewal phase at the latest.

## 4. IMPLEMENTATION

As a first step, the Steering Committee directly appointed the members of the 5 working groups defined in the Action Plan coming from the units and services of the UBU participants in the first phase of the HRS4R process. In January 2019, the Committee for Strategic Actions (CSA) launched an internal call to request candidates from the research community to complete the working groups, composed as follows:

### Working Group 1 (actions 1, 12, 14, 24)

Susana Cámara Decimavilla (Coordinator, OTRI-OTC); Javier Hoyuelos (Educational Innovation and Training Institute -IFIE); Cristina Zaldívar Basurto (Internacional Relations Service); Javier Ochoa Investigador (R1); Blanca Velasco Arroyo (R2); Bruno Baruque Zanón (R3); Carlos Larrinaga González (R4); Sandra María Osés Gómez (R3).

### Working Group 2 (Actions 2, 3, 4, 13, 15 )

José Luis Cuesta Gomez (Coordinator, R4); Raquel Ortega Mediavilla (Research Management Service) Beatriz Ibañez Salas (OTRI-OTC); José Maria Cámara Nebreda Vicerrector de Personal Docente e Investigador; Raquel Hernández Ruiz (R1); Diego Serrano Gómez (R2); Delfín Ortega Sánchez (R2); Sonia Serna Serna (R3); Ignacio Fernández de Mata (R3); Joaquín Pacheco Bonrostro (R4); Fernando Martín Rodríguez (University Library).

### Working Group 3 (Actions 5, 6, 7, 8, 11, 26)

Raquel Ortega Mediavilla (Coordinator, Research Management Service); Reyes Ortúñez Diéz (Internacional Relations Service); Ana Álvarez Fernández (R1); Israel Carreira Barral (R2); Carlos Enrique Pérez González (R3); Pilar Alonso Abad (R4); Sonia San Martín Gutiérrez (R4); Sonia Martel Martín (Research Management Service); Begoña Gómez Rivero (University Library); Samuel Pérez Gutierrez (Scientific Culture and Innovation Unit - Ucc+i); Carlos Casado (Occupational Risk Prevention Unit); M<sup>a</sup> José Barcenilla (Employment Unit); Azucena Ubierna Alarcia (Employment Unit) M<sup>a</sup> Isabel Menéndez (Equal Opportunities Unit); María Natividad de Juan Barriuso (Diversity Unit).

### Working Group 4 (Actions 9, 10, 24, 25)

José Miguel García Pérez (Coordinator, - Vice-Rector for Research and Knowledge Transfer); Fernando Martín (University Library); Olalla Sáiz Vázquez (R1); Martha Lucia Orozco Gómez (R2); Juan Bautista Delgado García (R3); Jesús Manuel Alegre Calderón (R4); Ángel Ballesteros Castañeda (R4); Alfredo Bol Arriba (R3); Rodrigo Barriuso Revilla (IT Service); María Isabel Landaluce Calvo (R2).

### Working Group 5 (Actions 17, 18, 19, 20, 21, 22, 23)

Esther González Muñoz (Coordinator, Research Management Service); M<sup>a</sup> Cruz Atanes Martínez (Human Resources); Beatriz Ibáñez Salas (OTRI-OTC); Javier Hoyuelos (Educational Innovation and Training Institute -IFIE); José Maria Cámara Nebreda (Vice-Rector for Teaching and Research Staff) Blanca Sol Pascual Portal (R1); Nicolás García Torea (R2); Pablo Aguilar Conde (R3); Alicia Izquierdo Yusta (R3); Eduardo Montero García (R4); José Luis González Castro (R4); José Ángel Contreras Hernando (General Management); Marga Ruiz Martín (Accounting Service).

The following changes in the execution of the action plan were made:

-Assignment of actions nr 7 (Service to researchers on diversity issues), nr 8 (II Equal Opportunities Plan) and nr 11 (Guidance services on professional development) to working group 3.

-3 new actions were defined and implemented: the Welcome guide (24), the Research Portal (25) and Gender equality in research (26).

The main operational elements of the implementation of the action plan are:

-**Coordination meetings** of the Committee for Strategic Actions (CSA); kick of meeting (January 12, 2019), 3 face-to-face meetings in 2019 and 3 online meetings in 2020 (due to the situation arising from the COVID-19 pandemic).

-**Working meetings** of the 5 working groups created for the implementation of the Action Plan: 12 face-to-face meetings in 2019 and more than 20 working online sessions in 2020. An online tool was implemented to report the minutes of the meetings.

-**Review of the 40 principles** of the Charter and Code, using the toolkit proposed by the HRS4R procedure for the GAP analysis in each working group, both for the detection of potential gaps not previously identified and for the incorporation of new actions. As a result of this activity, three new actions were proposed.

-Preparation of a **Progress Report** by an External Supervisor to the institution, which includes:

- Information about the progress of the actions of each working group, provided through their coordinators.
- Pending tasks and adjustments to be done on the initial schedule.
- Incorporation and implementation of new actions.
- Information on indicators associated to each action.
- This progress report has been continuously updated during the period, and submitted for review and discussion to the CSA twice a year.

-**Scorecard of indicators**, tool that provides an integrated management of the indicator linked to the Action Plan.

All information related to HRS4R is available on an ad-hoc website (<https://www.ubu.es/human-resources-strategy-researchers-hrs4r>) containing:

- Official documentation on the Hr Excellence award and HRS4R.
- Documents and services concerning each thematic area of the Charter & Code.
- A special site for research job offers (action 18).
- News and events.

### *How have you prepared the internal review?*

The Internal Review has been prepared in parallel with the implementation of the actions foreseen in the Action Plan. The developments of the actions carried out by the 5 working groups, as well as their associated indicators, have been collected in progress reports.

In the final drafting of the Internal Report (Template 3), the status of the actions included in the Progress Report dated November 15 has been taken as a basis.

This final drafting has been undertaken by two members of the CSA in collaboration with the **External Supervisor**. On 16<sup>th</sup> November, the document is submitted to the Steering Committee for approval. Once the Internal Review is approved, the information has been uploaded to the Euraxess online tool.

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

As a result of the **internal call** launched, the participation of researchers in the 5 working groups is shown in **Chart 1**:

**Chart 1: Participación of researchers in HRS4R Working Groups**

WG	ACTIONS	TOTAL MEMBERS	RESEARCHERS			
			R1	R2	R3	R4
WG-1	1, 12, 14	8	1	1	2	1
WG-2	2, 3, 4, 13, 15	11	1	2	2	1
WG-3	5, 6, 7, 8, 11	14	1	1	1	2
WG-4	9, 10, 24	10	1	2	2	2
WG-5	OTM-R Actions	13	1	1	2	2

Moreover, for the following actions, **key feedback** was received from the research community during its implementation, channeled through online consultations, interviews and the participation of the researchers in work meetings:

- ✓ Action 2: Anti-plagiarism tool; elaboration of a protocol of action.
- ✓ Action 3: Code of Good Practices in Research: public call addressed to researchers asking for feedback about the draft. (Sep-Nov 2019).
- ✓ Action 9: Program for registration and evaluation of the scientific productivity of researchers. Full collaboration in information gathering process.
- ✓ Action 13: Program of supervision, orientation and mentoring of post-doctoral researchers. Feedback got through the Doctoral School.
- ✓ Action 15: Research Career Guide; direct consultations with selected departments and research groups.
- ✓ Action 24: Research Portal (new action); collaboration in information gathering process.
- ✓ Hr Excellence website: <https://www.ubu.es/human-resources-strategy-researchers-hrs4r>

In the following actions, the UBU researchers have evaluated the activities launched during the period:

- ✓ Action 1: Workshops on IPR and KT.

- ✓ Action 4: Awareness-raising workshops on good practices in research.
- ✓ Action 17: Workshops on OTM-R.

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

As stated in the Action Plan, the supervision of the progress of the planned actions was carried out by:

1-The **Committee for Strategic Actions (CSA)**, in charge of the operational oversight. This Committee has been composed of:

- José Miguel García (Vice-Rector for Research and Knowledge Transfer, Coordinator of WG4)
- Azucena Ubierna (Head of the Employment Unit)
- Beatriz Ibáñez (Manager at OTRI-OTC)
- Esther González (Head of the Unit for Research Staff, Coordinator of WG5)
- Javier Hoyuelos (R3, Director of the Educational Innovation and Training Institute -IFIE)
- Joaquín Pacheco (R4, Director of the Doctorate School)
- José Luis Cuesta (R4, Coordinator of WG2)
- Mari Cruz Atanes (Director of Human Resources)
- Raquel Ortega (Director of the Research Management Service, Coordinator of WG3)
- Susana Cámara (Head of the Knowledge Transfer Office (OTRI-OTC), Coordinator of WG1)

2- A **High-level Steering Committee**, in charge of the institutional follow-up of the HRS4R process, composed of:

- Manuel Pérez Mateos (Rector)
- Jose Miguel García (Vice-Rector for Research and Knowledge Transfer)
- José María Cámara (Vice-Rector for Teaching and Research Staff)
- Joaquín Pacheco (Director of the Doctorate School)
- Begoña Prieto (Vice-Rector for Academic Policies)

For the next phase of the implementation of the Action Plan, the overseeing role of the CSA will be taken by the Steering Committee, within the organizational changes described in previous sections, in order to improve the implementation and supervision of the pending tasks of the plan and the facilitation of the processes.

*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?*

HRS4R is fully aligned with the institution's R&D strategy. In March 2019, the Governing Council of the University of Burgos approved **the Strategic Plan for Research, Knowledge Transfer and Innovation 2019-2024**, a key tool to achieve its strategic objectives in the matter: contribute to social, economic and cultural development of the Burgos region and the Spanish society through the generation of knowledge and its transfer to social and economic agents.

[https://www.ubu.es/sites/default/files/portal\\_page/files/plan\\_estrategico\\_-2019-2024-ubu.pdf](https://www.ubu.es/sites/default/files/portal_page/files/plan_estrategico_-2019-2024-ubu.pdf)

One of the 4 pillars of the strategic plan is addressed to the human research resources policy, ensuring a structural approach to the adoption of the HRS4R based on three main objectives:

- 1-Consolidate a favorable environment for the fulfillment of the institutional research role.
- 2-Implement a recruitment process for researchers in accordance with the international OTM-R requirements.
- 3-Engage all members of the university community to comply with the principles of the Charter & Code, ensuring the renewal of the HR Excellence award.

The operation plan of the Strategic Plan for Research, Knowledge Transfer and Innovation includes, in a number of lines of action, the activities foreseen in the HRS4R Action Plan (see Chart 2).

**Chart 2: HRS4R Actions in the Strategic Research and Knowledge Transfer Plan 2019-2024**

WG	ACTIONS	TOTAL MEMBERS	RESEARCHERS			
			R1	R2	R3	R4
WG-1	1, 12, 14	8	1	1	2	1
WG-2	2, 3, 4, 13, 15	11	1	2	2	1
WG-3	5, 6, 7, 8, 11	14	1	1	1	2
WG-4	9, 10, 24	10	1	2	2	2
WG-5	OTM-R Actions	13	1	1	2	2

*How is your organisation ensuring that the proposed actions are also being implemented?*

The HRS4R process is an institutional commitment assumed by the **Governing Council** of the University of Burgos, its highest representative and governing body. As a matter of fact, the actions contemplated in the Action Plan -and its renewed version- are included in the Strategic Plan for Research, Knowledge Transfer and Innovation 2019-2024.

Additionally, other elements that guarantee the implementation of the planned actions, and constitute key working items within the HRS4R process, are:

- The **Vice-Rector for Research and Knowledge Transfer**, as head of the HR Award Working Group and member of the Steering Committee, guarantees the connection between the operational sphere of the Action Plan and the institutional decision-making bodies.
- The participation of an **external supervisor** in overseeing tasks, who allows the detection of deviations from a neutral perspective, and supports the coordination between the different agents and units involved in the implementation of the actions.
- The centralization of coming tasks in a **single main working group**, which will maintain continuous progress meetings to analyze the status of each action and the implementation of corrective measures if necessary.

### *How are you monitoring progress?*

The monitoring process will include the following actions:

-**Regular meetings of the Hr Award Working Group** in order to check the degree of progress of the programmed actions and the associated indicators. Moreover, consultation activities for researchers on the actions implemented will be defined and set up.

-Preparation of a **progress report** by an external supervisor, including the status of the actions. This supervisor will report to the Steering Committee on the progress of the renewed Action Plan.

-One of the **functions of the Vice-Rector for Research and Knowledge Transfer**, as head of the Hr Award Working Group and member of the Steering Committee, will be to coordinate the progress of the actions in the framework of the institutional supervision and approval procedures by the governing bodies of the UBU.

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

The measurement tool to evaluate the evolution of the indicators will be the **Scorecard of indicators**, launched during the first phase of the Action Plan, which offers the following assets:

-A package of indicators assigned to each singular action.

-Defined procedures for data collection.

-A list of persons in charge of gathering information in the different services and units.

For the next evaluation, the Hr Award Working Group will be in charge of the annual compilation of the indicators; in order to improve the measurement of the progress of some actions, the incorporation of new indicators, or the replacement of some of the existing ones, will be considered.

For indicators related to researcher satisfaction, **specific surveys** will be conducted during the next HRS4R period. This kind of studies has not been carried out to date because of the fact that the evaluable actions have not been in force time enough to be either well-known or used by a representative number of researchers.

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

The preparation of the external review will be in charge of the Hr Working Group; it will be focused on a permanent updating of the progress during the next three years. With this purpose, a **progress report**, with a complementary structure to that of Template 3, will collect all the information generated in:

- Coordination meetings: information from the Task forces will be gathered.
- Minutes of the working groups' meetings.
- Scorecard of indicators: annual progress reports will be drafted.

The progress report will be updated twice a year, and forwarded to the Steering Committee for monitoring purposes.

The preparation tasks for **Template 3** will be launched at least 3 months before the submission deadline, and will be submitted in due time to the institutional governing bodies for approval. For the **site visit preparation**, the guidelines available in Euraxess will be followed. Before the end of the three-year period, relevant aspects such as the proposal of an indicative date, the selection of the HR contact person and the preparation of the institutional information will be addressed.



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