

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review:

Universidade da Coruña (UDC)

Organisation's contact details:

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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	2781
Of whom are international (i.e. foreign nationality)	255
Of whom are externally funded (i.e. for whom the organisation is host organisation)	286
Of whom are women	1203
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	670
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	331
Of whom are stage R1 = in most organisations corresponding with doctoral level	1780
Total number of students (if relevant)	18727
Total number of staff (including management, administrative, teaching and research staff)	2192
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	129.967.323,45€
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	92.983.549,93€
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations - including EU funding)	6.576.510,86€
Annual funding from private, non-government sources, designated for research	690.000,00€
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The UDC is a public institution whose primary objective is the generation, management and dissemination of cultural, scientific, technological and professional knowledge through the development of research and teaching.</p> <p>The UDC conceives its essential purpose as a quality public service aimed at achieving greater levels of</p>	

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

welfare for society through the pursuit of social, scientific and technological advances in a framework of ethical values. Part of its mission is the formation of an open, critical, democratic and solidarity citizenship, capable of analysing reality, diagnose problems, formulate and implement solutions based on knowledge and oriented towards the common good.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE (NARRATIVE)

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Ethical and professional aspects (500 words)

In the initial assessment phase performed at the University of A Coruña (UDC), concerning the ethical and professional aspects we observed important aspects that constitute strengths from the point of view of the current practice. More specifically, there are a number of aspects that are fully implemented in our organization that have an important impact in both ethical and professional aspects, such as, the research freedom (principle 1) by means of an Ethical committee already existing at the UDC, the professional attitude (principle 4) and accountability (principle 6) based on different calls and the rules and regulations that must be complied to attain the funds, its accountability, endorsed by both internal and external audits, and non discrimination (principle 10), by means of a gender office, a gender plan and a Center for gender issues already available at the UDC.

Also, there are a number of principles that, although not fully implemented, the UDC provides an implementation in different ways that, however, require further actions to be considered a strength. There are a group of principles that require a better dissemination and information among the academic community. More specifically, regarding the professional responsibility (principle 3) and the dissemination, exploitation of results (principle 8) we observed a general lack of knowledge in the community about these points, although some actions were already implemented in the UDC (i.e. Intellectual Property regulation, antiplagiarism mechanisms). Regarding the ethical principles (principle 2) and contractual and legal obligations (principle 5), there is, again, a lack of knowledge in the community about existing regulations which is leading to the development of proper guidelines and codes.

On the other side, in the initial assessment phase we have also detected some weaknesses regarding the ethical and professional aspects. More specifically, the good practice in research (principle 7) presents some lacks concerning the data safeguard and IT security (already mitigated through the Data Protection Delegation figure from action 4), public engagement (principle 9) depends greatly in individual efforts performed by the researchers and/or research centers and evaluation/appraisal systems (principle 11), although present, is no homogeneous among all research groups.

After performing the initial assessment phase, the main priority was focused on the actions that could have a short term impact in the academic community providing a higher improvement in the ethical and professional aspects. In this sense, the strategic decision was to develop, in a first phase, two actions that provided an Ethical Code of Research (action 2) and the Guidelines and Procedures for Good Research Practice (action 3) in order to address the lack of knowledge identified in the community regarding the ethical and professional aspects.

Recruitment and selection (500 words)

In relation to recruitment and selection, in the initial assessment process performed at the UDC we observed the main aspects to be improved in terms of principles implementation. Nevertheless, the postdoctoral appointment (principle 21) constitutes the main strength of the UDC since the calls for post-doctoral positions are announced by the Office of Research and, in these calls, and in the recruitment of research staff financed through R+D projects or activities, clear rules and explicit guidelines are provided. Also note that seniority (principle 20) does not apply for UDC.

With regard to weaknesses, these refer mainly to the lack of regulation that provides a legal framework in the recruitment and selection process for research staff. More specifically, focusing on recruitment and recruitment (code) (principles 12 and 13, respectively), there are different regulations at different levels that do not reflect the present situation and there is a need for a Code of Conduct for the recruitment of researchers. With respect to selection (principle 14) and transparency (principle 15) in the assessment phase we identified a lack of common general regulation, with procedures depending on each Department. Also, it is important to note some positive aspects in these principles, such as, the publication of acceptance/rejection in the Departments announcement platforms and the good practices followed in the International InTalent program (internal program for post-doc research recruitment, <http://www.intalent.udc.es/?lang=en>).

Also, there are important weaknesses concerning judging merit (principle 16), variations in the chronological order of CVs (principle 17), recognition of mobility experience (principle 18) and recognition of qualifications (principle 19), with (i) selection criteria being more quantitative than qualitative, (ii) existing stop the clock policies but that could be improved, (iii) difficulties for accessing sabbatical leaves and (iv) the negative consideration of changes in discipline and the lack of regulation at the UDC for non-formal qualifications.

As a conclusion from the initial assessment phase, the recruitment and selection thematic area was considered highly important and the strategic decision of given a high priority to the related actions was taken. As a result, the main actions related with recruitment and selection were planned to be developed in the first phase and are, at this point, completed or nearly completed, such as the definition of Code of Conduct for the Recruiting of Researchers (action 10), the design of a Professional Career (action 11), the definition of a map of Alternative professional careers for UDC researchers (action 12) and the implementation of the InTalent program for attracting talented researchers (action 14).

Working conditions (500 words)

Regarding the working conditions at the UDC, the initial assessment phase identified several strengths. More specifically, there are a few principles that are considered to be fully implemented, such as the recognition of the profession (principle 22) that follows the guiding principles of the Law 14/2011, of 1 June, of the Science, Technology and Innovation, the working conditions (principle 24) by means of the flexibility allowed by the UDC to achieve a good work-life balance and the stop the clock policies already allowed, the value of mobility (principle 29) considered a positive evaluation criterium, teaching (principle 33) with the number of teaching hours for each professional level already being subjected to regulation, the participation in decision making bodies (principle 35) being conveniently regulated by law and University statutes and the relation with supervisors (principle 36) is articulated by the bases of each call (for R2 researchers) and by the Doctorate commission (for R1 researchers).

Some other principles, although almost implemented present a general lack of knowledge by the members of the academic community that require some actions to improve their perception. In this case, we found the research environment (principle 23), with an already existing catalogue of the different equipments available at the UDC (including its location) but the limited user interface restricts its usage, the gender balance (principle 27) includes the Gender Office and the Gender Plan already available at the UDC, but some awareness and reinforcement actions would be desirable and the intellectual property rights (principle 31) with a regulation already available at the UDC, but a general lack of knowledge about this criterion.

On the other side, regarding the working conditions there were identified several weaknesses that require some action from the University. More precisely, the stability and permanence of employment (principle 25) was identified as a weakness derived from the law 24/2012 that imposes budget constraints which lead to limitations in the stabilization of researchers contracts and, funding and salaries (principle 26) as the UDC does not provide a budget for hiring researchers or improve salaries. Also, the career development (principle 28) and the access to career advice (principle 30) are clear limitations since the UDC does not provide a regulation regarding professional development. Likewise, co-authorship (principle 32) is not implemented due to the lack of proper regulation, and complaints/appeals (principle 34) are generally well resolved, although there have been some exceptional cases in which complaints could not being fully resolved by the University authorities.

The improvements in this area are considered important from a strategic point of view, which lead to the organization of a few actions in the short term that are expected to impact in the main weaknesses: the implementation of a map for alternative professional careers for UDC researchers (action 12), the preparation of the UDC Researcher Welcome Manual (action 15), the writing and dissemination of the UDC's Guidelines and Procedures for Good Research Practice (action 3) and the implementation of the InTalent program (action 14).

Training and development (500 words)

With regard to training and development, the initial assessment phase developed at the UDC lead to the identification of one main strength in this area, the supervision (principle 40) with the support of the International Doctorate School monitoring the supervision of R1 researchers.

On the other side, also some weaknesses were identified, mainly due to a lack of training for the researchers. In this sense, supervision and managerial duties (principle 37), although the University provides a restrictive regulation regarding PhD supervision, there is no specific training in team management. Also, the continuing professional development (principle 38) and the access to research training and continuous development (principle 39) present a general lack of proper training for the researchers in both points.

From the initial assessment phase, training and development, although being considered important the strategic decision at the time was not to give a high priority to the actions associated, which lead to a mid-term execution of the actions proposed in the training and development area, such as the Design of a Training Plan on Charter & Code (action 5).

Have any of the priorities for the short- and medium term changed? (500 words)

After the initial assessment phase with the Gap Analysis developed at the UDC, the priorities for the short and medium term were established based on the specific strategy of UDC.

The main priority was given to the Ethical and professional aspects (with actions 2 and 3 being developed in the short term) and Recruitment and selection (with actions 10, 11, 12 and 14 developed in the short term), and Working conditions and social security aspects (with a certain overlap on actions 3, 12 and 14, and new action 15).

On the other side, a lower priority was given mainly to Training and development (with primarily action 5) and some other actions on the other aspects, such as actions 7, 8 and 4 on Ethical and professional aspects, actions 6 and 9 on Recruitment and selection and action 13 on Working conditions and social security.

Also, note that action 1 (Awareness of the Charter & Code) is distributed throughout the whole period (short and medium term) as it is considered an action that must be developed steady and continuously during the HRS4R implementation.

These priorities were established after the Gap Analysis in the Action Plan and no changes were considered necessary, although some updates in the Action Plan are introduced, as merging of several actions (due to overlaps), the introduction of two new actions or the delay of action 7 (already with lower priority).

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (500 words)

So far, there were no circumstances regarding the University of A Coruña that had an impact on the HR strategy. At the end of the year 2019, there are expected University elections for the government board, although, since the HRS4R is strategic for the University, no relevant impact is expected in the development of present and future actions.

Are any strategic decisions under way that may influence the action plan? (500 words)

To the best of our knowledge, there are no strategic decisions that may influence (negatively) the action plan.

3. ACTIONS

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.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings:

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Action 1: Awareness of the Charter & Code and alignment of all institutes	All	Q4 2020	Vice-rector for Science Policy, Research and Transfer	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 1. 2. Number of HRS4R delegates recruited. 3. Number of informative sessions. 4. Number of participants in HRS4R briefings. 5. Institutes' strategic plan containing action to fulfil the HRS4R UDC Action Plan. 	In progress	<p>This action is been developed throughout the whole five years period.</p> <p>At the moment, seven HRS4R delegates have been recruited, with the function of taking the HRS4R messages, news and main actions implemented to the different campus and research centers. In the next years, we expect, at least, to double the number of delegates:</p> <p>https://www.udc.es/en/investigacion/hrs4r/delegado/</p> <p>There have been 9 informative sessions with approximately 200 participants in HRS4R briefings. Usually briefings are included as part of Institutes meetings with researchers. Regarding Research Institutes at the UDC and their strategic plans, CITIC strategic plan contain actions to fulfil the HRS4R Action Plan (https://www.citic-research.org/recurso/recursos/plan-estrategico-2017-2020.htm?jsessionid=COE54F556DF437CCAB1DB90FFE32CE9E).</p> <p>CICA is currently working on its strategic plan and is expected to include actions to fulfil the HRS4R Action Plan.</p> <p>Regarding the CIT and CITEEC, they will start working on their strategic plan at short</p>

						<p>term.</p> <p>Due to the close end of the current UDC Strategic Plan, it was decided to include the alignment with the HRS4R Action Plan on the next UDC Strategic Plan, starting on 2021, that is expected to begin its development in the following months.</p>
Action 2: Write and disseminate the "UDC Ethical code of research"	2	Q4 2018	Vice-rector for Science Policy, Research and Transfer	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 2. 2. Benchmarking of ethical code of research of outstanding research centres and Universities to identify the topics that should be included in the code. 3. Writing of the draft of the code. 4. Approval of the draft by ethical committee, working group and governing board. 5. Ethics Code published online and included in Welcome Manual. 	Completed	<p>The working group, directed by the Vice-rector for Science Policy, Research and Transfer has elaborated the UDC Ethical code of research, that has been reviewed and approved by the Ethical committee at the UDC.</p> <p>UDC Ethical code of research approved at the UDC Government Board on February 27th 2019 and published online in https://www.udc.es/en/investigacion/hrs4r/codigo-etico/.</p>
Action 3: Write and disseminate the "UDC Guidelines and Procedures for Good Research Practice"	5, 32	Q1 2019	Vice-rector for Science Policy, Research and Transfer	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 3. 2. Benchmarking of best practices of research of outstanding research centres and universities to identify the topics that should be included in the code. 3. Writing of the draft of the guidance. 4. Approval of the draft by the research committee, working group and governing board. 5. Good practice handbook 	Completed	<p>This action has being completed and the working group has developed the UDC Guidelines and Procedures for Good Research Practice.</p> <p>Initially, a benchmarking of the best practices of research has being prepared in order to identify the topics to be included in the code.</p> <p>The code UDC Guidelines and Procedures for Good Research Practice has being validated by the working group and the Research Committee.</p> <p>The UDC Guidelines and Procedures for Good Research Practice has been published online at: https://www.udc.es/en/investigacion/hrs4r/boas-practicas-investigacion/.</p>

				in research published online and included in Welcome Manual.		
Action 4: Define a strategy to protect all the research data, including sensitive biomedical data.	7	Q2 2020	Management Vice-rectorate for Economy, Infrastructures and Sustainability	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 4. 2. Global agreement with a provider of data storage. 3. Identify researchers that use personally-sensitive data. 4. Survey the real needs of data storage in the different departments. 5. Define a strategy based on the accomplishment of the previous indicators. 6. Publish the guidance online, and include it in the Welcome Manual. 	In progress	This action has been provided an early start, with some activities already accomplished. An agreement has been established with Microsoft to provide data storage on One Drive for the whole academic community. Also, the figure of Data Protection Delegation at the UDC has been assigned to Luz María Puente Alba (https://www.udc.es/en/gobierno/equipo_reitoral/secretaria/proteccion-de-datos/).
Action 5: Design a training Plan on C&C: new courses and activities for awareness of various principles and reinforce courses.	3, 5, 8, 14, 27, 28, 31, 32, 37, 38, 40	Q3 2019	Vice-rector for Teaching Staff and Planning Vice-rectorate for Academic Offer and Teaching Innovation	<ol style="list-style-type: none"> 1. Specific working group established to an initial stage of training as part of an awareness develop Action 5. 2. Quick survey to prioritize the most highly-demanded topics. online courses resembling MOOCs to raise awareness 3. Awareness-raising; research new seminars programmed on: TT & IP, GP for selection committee procedures, Gender, Team management, transversal skills, project manager, entrepreneurship, etc. 4. Reinforced courses programmed. 	In progress	This action has been merged with action 6 due to the overlap detected between them, since some training was provided through the Doctorate School. Through the International Doctorate School researchers are provided with several courses (including reinforcement courses) that cover different topics, such as: <ul style="list-style-type: none"> - Training on Digital Competency of the University Library: searching and using information for PhD, strategies to increase visibility and impact for research results (https://www.udc.es/en/cufie/UFA/PFBU/cronograma/). - Transversal Training for young researchers: organized by CITIC and open to researchers from all research institutes, covering research results protection, diffusion and visibility of research results, research career in Galicia (https://www.udc.es/gl/cufie/UFA/PFTXI/Cronograma/). - Academic and professional orientation:

						<p>scientific production visibility, research results protection, funding for PhD training and specialization, ERC and Marie-Sklodwska-Curie grants (https://www.udc.es/gl/aid/formacion/ciclo_xornadas/).</p> <p>- PhD students welcome Conference: doctorate studies presentation, funding and specialization for PhD students, scientific production visibility (https://www.udc.es/gl/aid/formacion/xornada_benvida/).</p> <p>- PhD and Research courses: specific training covering multiple transversal skills, such as, Research ethics, gender analysis on research, statistical analysis, oral presentation skills, writing research works (https://www.udc.es/gl/cufie/UFA/PAI/cronograma/).</p> <p>On average, 25 researchers have attend to each course. Also, a quick survey is performed periodically at the end of each academic course to identify most demanded topics from researchers.</p>
Action 6: Strengthen the Doctorate School.	13	Q3 2019	Vice-rector for Teaching Staff and Planning Vice-rectorate for Academic Offer and Teaching Innovation	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 6. 2. New activities defined at the Doctorate School. 3. Procedures revised. 	In progress	<p>This action has been merged with action 5. The Doctorate School, as described in the previous action, includes a variety of different activities covering multiple skills. Still pending is the review of the Doctorate school regulation to broaden the enrolment period to avoid bureaucratic hurdles for newly hired R1 researchers.</p>
Action 7: Boost the UDC's Chair of scientific outreach.	9	Q4 2019 Q2 2020	Vice-rector for Teaching Staff and Planning	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 7. 2. Perform a kick-off meeting with all the stakeholders implicated, under the guidance of the Chair of scientific outreach, CICA and CITIC communication officers, and 	In progress	<p>This action has being delayed, since it has been detected that it has a lower priority than other actions (e.g. action 10). The deadline has being moved to Q2 2020, in order to adapt the UDC budget for next year.</p> <p>However, some early actions are being developed throughout different sections of our university. For example, the Vice-Rectorate for Students, Participation and</p>

				<p>working committee, to define the clear objectives and indicators to accomplish this action.</p> <p>3. Clearly define the UDC Budget for outreach activities.</p> <p>4. Set an outreach global biannual action plan, with someone responsible for each action.</p> <p>5. Make the UDC outreach activities available on the web page and social media.</p>		<p>University Extension includes a section for Cultural and Cientific Outreach (https://www.udc.es/gl/gobierno/equipo_reitoral/vepeu/divulgacion/), with many and different activities.</p> <p>Also, the Research Centers and Campus at the UDC, from their respective points of view organize different outreach events in order to present to the society their scientific work and achievements (e.g. https://cica.udc.es/es/noticias/categoria/1).</p>
Action 8: Design the performance of periodic evaluations of the research groups.	11	Q4 2019	Vice-rector for Science Policy, Research and Transfer	<p>1. Specific working group established to develop Action 8.</p> <p>2. Perform a high-level meeting to discuss the inclusion of this criteria into the UDC regulation.</p> <p>3. Definition of the evaluation's scope and procedures.</p> <p>4. Include this criteria in the UDC regulation.</p> <p>5. Trend in the number of Evaluations</p>	In progress	<p>This action has just briefly started, with a kick-off meeting to constitute the working group.</p> <p>The working group is analysing the external evaluation processes developed by the Technology Research Centers from the UDC, CITIC and CICA, as a model to be extended to the whole university.</p> <p>Moreover, the introduction of the compliance to the C&C principles is an important discussion point considered by this working group.</p>
Action 9: Update the regulation of extra budgetary researchers recruiting.	12, 13, 14, 15	Q2 2020	Vice-rector for Science Policy, Research and Transfer	<p>1. Specific working group established to develop Action 9.</p> <p>2. Perform a high-level meeting to discuss the different sensibilities of the departments regarding to this criterion.</p> <p>1. Elaboration of the regulation.</p> <p>2. Approval of the regulation.</p> <p>3. Make the regulation available online.</p> <p>4. Apply this regulation to</p>	In progress	<p>Due to the overlap with action 10, both actions have been merged.</p> <p>Since action 9 could be considered a sub-part of action 10, the working group, presided by the Vice-rector for Science Policy, Research and Transfer, decided to join both actions to provide a broader view to the regulation associated with action 9.</p>

<p>Action 10: Revise regulation, and write the "UDC Code of conduct for the recruiting of researchers". Advertise all researcher vacancies on Euraxess.</p>	<p>12, 13, 14, 15, 16, 17, 18, 19</p>	<p>Q4 2017 Q2 2020</p>	<p>Vice-rector for Science Policy, Research and Transfer Management</p>	<p>UDC.</p> <ol style="list-style-type: none"> 1. Specific working group established to develop Action 10. 2. Perform a high-level meeting to discuss the different sensibilities of the departments regarding this criterion. 3. Elaboration of the regulation. 4. Approval of the regulation. 5. Make the regulation available online. 6. Apply this regulation to UDC. 	<p>In progress</p>	<p>This action was initially underestimated due to the important number of stakeholders associated with this action and the significant legal implications associated with the regulation to be approved. This has caused a necessary delay in this action that is now due to the second half of 2020.</p> <p>Also, note that this action has been merged with action 9, because the regulation associated with both actions is directly related and it was considered more operative to work on a single regulation that includes both aspects.</p> <p>At this moment, there is a working draft for the UDC Code of conduct for the recruiting of researchers that is being discussed by the working group, along with the departments and other stakeholders at the university.</p> <p>This draft is a private document that can be checked by the evaluation committee at the link: https://documenta.udc.es/share/s/-zPj_XpxT5i8oFFomwXgwww. This document is the draft version on April 2019, with a preliminary English translation, just for the evaluation committee.</p> <p>This draft will continue to be improved throughout this year and we expect start the approval process the following months.</p> <p>At the moment, an important number of job opportunities for researchers is already being published in EURAXESS: https://euraxess.ec.europa.eu/jobs/search?keywords=coru%C3%B1a.</p> <p>Also, a capture of the job opportunities at March 2019 is available in the following private document: https://documenta.udc.es/share/s/zmc74XMuRI-scGC4i_AJA.</p>
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Action 11: Design professional career at UDC.	28	Q2 2018	Vice-rector for Science Policy, Research and Transfer Management	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 11. 2. Career framework published and disseminated. 3. Grants improved. 	Completed	<p>This action has being completed and the working group has developed the Design of professional career at UDC document. This document has been published and has been made publicly available at: https://www.udc.es/en/investigacion/hrs4r/carreira-profesional/.</p> <p>The International Doctorate School at the UDC includes a one day conference at the beginning of the course (https://www.udc.es/gl/eid/formacion/xornada_benvida/) that includes a seminar about the professional careers for researchers at the UDC (https://www.udc.es/export/sites/udc/eid/formacion/xornada_benvida/Financiamento-formacion-doutores.pdf_2063069239.pdf).</p> <p>For this course, the seminar was mainly focused on professional careers at the UDC, since the document was not finished at that point, although it is expected to include alternative professional careers in the following years.</p> <p>Regarding the mobility grants, Inditex grants (for research stays up to 3 months) have increased their resources between 25 and 40% (https://www.udc.es/es/eid/axudaspredoutorais/Inditex2019/). Also Santander grants (for students and teaching staff) have increased around 40% (https://www.udc.es/es/ori/inf_estudiantes_UDC/bolsas_complementarias/santander_iberoamerica_investigacion/index.html).</p>
Action 12: Elaborate a map for "Alternative professional careers for UDC researchers" and review the mobility grants for researchers.	18, 25, 28	Q3 2018	<p>Vice-rector for Science Policy, Research and Transfer</p> <p>Vice-rector for Internationalization and Cooperation</p>	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 12. 2. Career framework published and disseminated. 3. Grants improved. 	Completed	<p>This action has being completed and the working group has developed the Alternative professional careers for UDC researchers document. This document has been published and has been made publicly available at: https://www.udc.es/en/investigacion/hrs4r/carreira-alternativa/.</p>

			Vice-rectorate for Academic Offer and Teaching Innovation			The mobility grants have been improved, with Inditex grants (for research stays up to 3 months) have increased their resources between 25 and 40% (https://www.udc.es/es/eid/axudaspredouto/rais/Inditex2019/) and also Santander grants (for students and teaching staff) have increased around 40% (https://www.udc.es/es/ori/inf_estudiantes_UDC/bolsas_complementarias/santander_iberoamerica_investigacion/index.html).
Action 13: Elaborate the "Map of access to the UDC infrastructures" including a "Catalog of outstanding scientific and technical nets of interest for the UDC"	23	Q1 2020	Vice-rector for Science Policy, Research and Transfer Vice-rectorate for Economy, Infrastructures and Sustainability	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 13. 2. Compile an exhaustive list of the infrastructures present or available at the UDC. 3. Build a database of the current research infrastructures, build a platform to host the database, and make it accessible online. 	In progress	<p>This is action has already started and the working group has produced a draft for the Map of access to the UDC infrastructures. This draft has been made privately available for the evaluation committee at: https://documenta.udc.es/share/s/5L9CokZ8R_6N84KIF9015g. Please note that the draft is in Spanish.</p> <p>Also, an online platform is being used to locate and request access to these infrastructures. At the moment, the platform includes only part of the infrastructures available, but it is expected that the remaining infrastructures will be included by Q1 2020. The online platform is available at: http://espazos.udc.es. Please note that this platform is available only to the academic community at the UDC. A document has been generated with screen captures that illustrates the operation of the online platform and it has been made privately available for the evaluation committee at: https://documenta.udc.es/share/s/pYAKFoCiQFu_caneRmesrQ.</p>
Action 14: Implement INTALENT program for	14, 15, 26	Q3 2017	Vice-rector for Science Policy, Research and	1. Contact Inditex officers to set the INTALENT Program	Completed	The InTalent Program (an internal program for post-doc research recruitment) has being

attracting talented researchers			Transfer	Implementation scenario. 2. Increase the number of INTALENT grants.		<p>successfully implemented with 6 post-doc researchers recruited since 2017. There is public website with all the relevant information about the program (http://www.intalent.udc.es/?lang=en), including a presentation of the InTalent Researchers (http://www.intalent.udc.es/researchers/?lang=en).</p> <p>Also, a short video has been produced to explain the details of the InTalent program: http://www.intalent.udc.es/wp-content/uploads/2016/11/intalent_ENGLISH.mp4</p> <p>At the moment, the Vice-rector for Science Policy, Research and Transfer is negotiating with Inditex officers the possibility to increase the number of InTalent grants for the next years.</p>
Action 15: Write the "UDC Researcher Welcome Manual"	27, 28, 30, 31, 34, 35	Q2 2019	Vice-rector for Science Policy, Research and Transfer	<ol style="list-style-type: none"> 1. Specific working group established to develop Action 15. 2. Perform a kick-off meeting with all the stakeholders implicated, under the guidance of the VR_SPRT, communication officers, and working committee, IT, FEUGA and FUAC officers to define the clear objectives, timeline and indicators to accomplish this set commissions and to write the different sections included in the manual. 3. Film the online course 4. Make the course and documentation available online 	Completed	<p>The UDC Researcher Welcome Manual has been developed under the guidance of the Vice-rector for Science Policy, Research and Transfer and the working committee. Also, relevant stakeholders, such as FEUGA and FUAC, have being included in the definition of the document.</p> <p>The UDC Researcher Welcome Manual has being approved on the UDC Government Board on February 27th 2019 and published online at https://www.udc.es/en/investigacion/hrs4r/manual-benvida/.</p> <p>Also, as part of this action, a motivating online course has being prepared, as an introduction to the Welcome Manual. The online course is available at: https://tv.udc.gal/video/5cd411ed11cad10e438b45b6.</p>

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.udc.es/en/investigacion/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

At the moment, we are working on the development of a written OTM-R Institutional Policy derived from the actions already developed or as work in progress from the action plan. The action more directly related with the OTM-R principles is action 10 that consists on the implementation of the UDC Code of conduct for the recruiting researchers and the approval of this regulation at the UDC. This action was initially postponed due to the important number of stakeholders associated with this action and the legal implications associated with the regulation to be approved, which led to a delay to mid 2020. In this sense, our objective is to make the official OTM-R Institutional Policy formally approved by the UDC's governing bodies along with results of action 10.

Also, some other actions have a direct impact in the OTM-R policies and practices at the UDC. For example, action 2, which is already completed, consists on the definition of the UDC Ethical Code of Research; action 3, also already completed, consists on the definition of the UDC Guidelines and Procedures for Good Research Practice; action 5 focused on a training plan for the Charter & Code, which has been mostly completed and is due on the third quarter of 2019; actions 11 and 12, that work on the design of a professional career, both internally and externally, for the researchers; action 14, regarding the InTalent program (also completed), that is a test-bed for the OTM-R policies and practices at the UDC; and also action 15, consisting on the UDC Researcher Welcome Manual (also completed), that provides an important tool for new researchers arriving at our University.

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.

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.

<https://www.udc.es/en/investigacion/hrs4r/otmr/>

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 (MAX. 1 PAGE)

General overview of the implementation process: (max. 1000 words).

The HR Excellence in Research Award is highly valued by the academic community at the University of A Coruña. After obtaining the HRS4R award on May 2017 we constituted the HR committee in order to monitor the action plan and coordinate the different working groups established for developing their respective actions.

The different actions proposed try to embrace different aspects of the C&C that, through the Gap Analysis, we detected were associated with weaknesses in our organization. Action 1 is specially focused on the awareness of the C&C and the involvement of the whole academic community in the HRS4R award.

In general terms, the Action Plan has progressed appropriately for these two years, although some updates were required in the sense of merging some actions and delaying some others. In short, actions 2, 3, 11, 12, 14 and 15 are already completed at this point, while the remaining actions are work in progress. Also note, that some other actions (e.g. action 4) were also provided an early start.

Due to a certain overlap was detected during the development, actions 5 and 6 are now merged, as well as, actions 9 and 10. Also, action 7 has been delayed due to its low priority and action 10 has been delayed due to an underestimation of the implications associated with this action (note that this does not affect action 9, which was due on Q2 2020).

Also, two new actions are proposed:

- New action 1: New course on OTM-R for researchers and administrative staff.
- New action 2: External audit to evaluate the quality of the implementation of the HRS4R (C & C and OTM-R).

All the details for the new actions and the update for the previous actions are reflected in the Updated Action Plan proposed for 2019-2022.

Make sure you also cover all the aspects highlighted in the checklist below:

- How have you prepared the internal review? (500 words)

After obtaining the “HR Excellence in Research Award” we constituted the HR committee (see details bellow) in order to monitor the action plan development and progress and, ultimately, prepare the internal review. The HR committee performs periodical meetings where the progress for the different actions is analysed and the expected evolution is studied. The operation of this committee allowed us to propose the merging of several actions and also the delay of other actions, from the progress in the action indicators.

This continuous evaluation allowed us to prepare the internal review based on the progress and conclusions extracted from the HR committee regarding the actions proposed in the Action Plan, which lead to the update proposed for the action plan in the new period 2019-2022.

- How have you involved the research community, your main stakeholders, in the implementation process? (500 words)

Action 1 is devoted to the awareness of the C&C in the academic community and the alignment of all institutes. As part of this action, at the moment, we have seven HRS4R delegates responsible for dissemination of the HR importance, with different information sessions and briefings. These delegates include research institutes and campus coordinators and, in the next years, we expect to include department directors and senior researchers. Also, when required, the stakeholders were included in the development of certain actions (e.g. in the preparation of the Researcher Welcome Manual for action 15).

Also note that the HR committee (see next section) informs periodically to the Steering Committee of the advance of the different actions, reviewing the indicators progress reports and the fulfilment for each action.

- Do you have an implementation committee and/or steering group regularly overseeing progress? (500 words)

As part of the UDC HR Strategy we constituted a HR committee that periodically, typically every two months, meets to analyse and review the action plan progress.

The composition of the committee is as follows: Salvador Naya, Vice-Rector for Science Policy, Research and Transfer, Jose Antonio Seoane, President of the UDC Ethics Committee, Horacio Naveira, Deputy to Vice-Rector for Research, Fidel Casheda, Deputy to Vice-Rector for Transfer and Jose Mahia, Director of the UDC Research Transfer Office, and Yolanda Calza, UDC Vice-Manager.

Moreover, as defined in the initial Action Plan, a Steering Committee is also constituted to monitor the development of the HRS4R. The members of the Steering Committee are the following: Rector, Julio E. Abalde Alonso, Vice-rector for Science Policy, Research and Transfer, Salvador Naya Fernandez, Vice-rector for Teaching Staff and Planning, Alberto Valderruten Vidal, Vice-rector for Internationalization and Cooperation, Pilar García de la Torre, Vice-rectorate for Economy, Infrastructures and Sustainability, Domingo Calvo Dopico, Vice-

rectorate for Academic Offer and Teaching Innovation, Nancy Vazquez Veiga. Note the presence in both committees of the Vice-Rector for Science Policy, Research and Transfer, constituting the link between them.

- 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? (500 words)

As part of the UDC governing board commitment with the HRS4R, a dedicated position to lead the HRS4R program has been assigned to Yolanda Calaza (UDC Vice-Manager), in collaboration with the Vice-Rector for Science Policy, Research and Transfer. The final aim is to implement the HRS4R as a continuous process in the UDC research policy.

Also note that the HRS4R policies are already included or being included in the Strategic Plans for the CITIC, CITEEC and CICA research centers at the UDC and it will be included in the next UDC Strategic Plan, starting on 2021.

- How is your organisation ensuring that the proposed actions are also being implemented? (500 words)

Each action has a working group responsible for the action development. We ensure that, at least, one member of the working group is part of the HR committee to guarantee a correct information flow and the development of each action.

In detail, Salvador Naya, Vice-Rector for Science Policy, Research and Transfer, and Fidel Cacheda, Deputy to Vice-Rector for Transfer, are members of the working group for action 1 and 5. Jose Antonio Seoane, President of the UDC Ethics Committee, and Horacio Naveira, Deputy to Vice-Rector for Research are members of the working group for actions 2 and 3. Salvador Naya, Vice-Rector for Science Policy, Research and Transfer, and Horacio Naveira, Deputy to Vice-Rector for Research are members of the workings groups for actions 8, 9, 10, 11 and 12. Fidel Cacheda, Deputy to Vice-Rector for Transfer, and Jose Mahia, Director of the UDC Research Transfer Office are members of the working groups for actions 14 and 15. Salvador Naya, Vice-Rector for Science Policy, Research and Transfer is member of the working groups for actions 4, 6 and 7.

Also, a new action has been introduced that will provide an external audit to evaluate the quality of the implementation of the HRS4R (C & C and OTM-R). The main objective of this action is to randomly verify the level of implementation of the HRS4R and, in particular, the OTM-R criteria. The results of this audit will be used to improve both the process and the level of implementation.

- How are you monitoring progress? (500 words)

In the periodic meetings of the HR committee reports are provided for each action, directly

from the each working group, in order to identify the correct development of each action or if any issue has been identified that could have an impact in the action.

- How will you measure progress (indicators) in view of the next assessment? (500 words)

The HR committee is conducting periodical meetings to supervise, analyse, detect and respond to the development of the Action Plan. From each meeting and for each active action, different partial milestones were established for each action that were translated to the working groups. Moreover, each working group created for each of the actions includes, at least, one member of the HR committee, which allows a more reliable and efficient information flow between the working groups and the HR committee.

This operation procedure allowed us to detect, up to the moment, certain overlaps between some actions and, the HR committee, decided to solve this situation by merging several actions (e.g. actions 5 and 6 or actions 9 and 10), or some other actions (e.g. actions 7 or 10) required to be delayed for different reasons (low priority in case of action 7 and underestimation for action 10).

In this sense, we expect to continue operating following the same procedure. The partial milestones defined by the HR committee are employed as indicators for each action, with the Targets established in the Action Plan constituting the final milestone.

- How do you expect to prepare for the external review? (500 words)

The next years will be extremely important in order to stabilize and embed the HRS4R into the UDC, in preparation for the external review. In this sense, we expect that the outcome from the different actions (e.g. actions 1, 2, 3, 5, 10, 11, 12, 14 and 15) may help in the embedding of the HRS4R policies and practices into the whole academic community at the UDC. Also, the institutional commitment for the UDC's governing bodies is a major asset for the integration and implantation of the OTM-R principles and practices at our University. The HR committee will continue its task and the HRS4R delegates (present and future) will also help in the normalization of the HRS4R at the UDC.

Additional remarks/comments about the proposed implementation process: (max. 1000 words):

Please note that the OTM-R Checklist was already presented in 2017 (pages 28-31 of the Gap Analysis, https://www.udc.es/export/sites/udc/investigacion/_galeria_down/hrs4r/GapAnalysis_eng.pdf_2063069294.pdf but, a reviewed version up to date for the OTM-R Checklist is being presented along with this internal review.

Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.