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# HRS4R

## Human Resources Strategy for Researchers

**Renewal with site visit**

**Case number:** 2019ES372205

**Name Organisation under review:** Universitat Oberta de Catalunya

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## HR STRATEGY – INTERNAL REVIEW AND IMPLEMENTED ACTION PLAN

### 1. Organisational Information

**Name Organization under review:**

[Universitat Oberta de Catalunya](#) (Open University of Catalonia, UOC)

**Organization’s contact details:**

Legal address: Avinguda Tibidabo, 39-43 – 08035 Barcelona, Spain

Contact address: Research and Innovation Area & Human Resources and  
Specialization Centre for Talent & Reference center for Research  
Rambla Poble Nou, 154-156 (Barcelona)  
Email: [hrstrategy@uoc.edu](mailto:hrstrategy@uoc.edu)

**Web link to published version of organization’s HR Strategy and Action Plan:**

<https://research.uoc.edu/portal/en/ri/colaboracio/hrs4r/index.html>

**Web-link to organizational recruitment policy (OTM-R principles):**

[Web HRS4R](#)  
[Join our team](#)

**SUBMISSION DATE TO THE EUROPEAN COMMISSION:** 1 March 2024

### 1. ORGANIZATIONAL INFORMATION

*Please provide an update of the key figures for your organization. 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 *	550
Of whom are international (i.e. foreign nationality) *	87
Of whom are externally funded (i.e. for whom the organization is host organization) *	604
Of whom are women *	282
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	222
Of whom are stage R2 = in most organizations corresponding with postdoctoral level *	136
Of whom are stage R1 = in most organizations corresponding with doctoral level *	192
Total number of students (if relevant) *	462
Total number of staff (including management, administrative, teaching and research staff) *	1529

<b>RESEARCH FUNDING (figures for most recent fiscal year) (2022)</b>	<b>€</b>
total annual organizational budget	<b>160.000.910</b>
Annual organizational direct government funding (designated for research)	<b>330.100</b>
Annual competitive government-sourced funding (designated for research, obtained in competition with other organizations – including EU funding)	<b>7.660.026</b>
Annual funding from private, non-government sources, designated for research	<b>690.212</b>

**ORGANIZATIONAL PROFILE (a very brief description of your organization, max. 100 words)**

Since its creation in 1994 as a state-of-the art technological university with a highly innovative learning model, the UOC is one of the world's premier online universities. UOC's core goal is to be the university of the knowledge society, promoting innovative education, personalized learning, technological leadership, R&D work on the information society and eLearning. The UOC's research and innovation activity is performed within the Doctoral School and its 52 R&I groups, including the Internet Interdisciplinary Institute (IN3) and the eHealth Center (eHC). Finally, the eLearning Innovation Center (eLinC) drives the evolution of our educational model through innovations in digitally-enhanced learning.

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

### General Strengths and Weaknesses (Initial Phase)

#### General Strengths

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

#### General Weaknesses

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

### General Strengths and Weaknesses (Interim Assessment)

#### General Strengths

- . A comprehensive regulatory framework is in place and has been appropriately implemented, as well as specific plans and procedures related to most of the principles.
- . The organizational model for the action plan's development is adequate, and the action plan is highly suited and aligned with the UOC's Strategic Plan.
- . In general terms, our staff is satisfied with the practices in place, although there is room for improvement: the HRS4R is of great interest to the UOC's research community.
- . UOCs research shows consolidated growth and the number of UOCs research and innovation personnel has grown considerably in recent years. Important efforts have been made to promote a dynamic, international and continuously improving, cohesive research community.
- . Since the beginning of 2019, the UOC has strengthened its R&I activity through a new Office of the Deputy General Manager of Research and Innovation, whose main objective is to ensure that the entire organization is oriented towards promoting and responding to the needs of its R&I activity. The Office of the Deputy General Manager of Research and Innovation is in charge, among other objectives, of the design and implementation of top-quality services to maintain growth and sustaining the important effort that the University has been making in recent years in order to promote UOC researchers' participation in research projects, especially European ones. It also handles the roll-out of the necessary structure to maximize the development of R&I that is aligned with the challenges and objectives of Horizon Europe.

## General Weaknesses

- . Some lack of knowledge of the C&C principles on the part of the researchers. The UOC has worked to provide information on its OTM-R policy, although this is something on which it needs to keep improving.
- . Improve the experience of candidates as regards assessment criteria, linked to the C&C aspects identified in the Gap Analysis (16 - (Judging merit (Code))).
- . There is still difficulty establishing permanent contracts for all researchers due to different legal regulations.
- . The UOC has worked to update the research career competencies and skills, although it needs to continue working on this aspect and improving awareness and knowledge of these among research staff, bearing in mind the C&C.
- . Need to continue developing the current performance management model so as to include all the UOC's research profiles and thus contribute towards their professional development.

## General Strengths and Weaknesses (Award Renewal)

### General Strengths

In 2019, the UOC strengthened its R&I activity through a new Office of the Deputy General Manager of Research and Innovation, with the main objective of ensuring that the entire organization is oriented towards promoting and responding to the needs of its R&I activity. The Office of the Deputy General Manager of Research and Innovation is in charge, among other objectives, of the design and implementation of top-quality services to maintain growth and sustaining the important effort that the University has been making in recent years in order to promote UOC researchers' participation in research projects, especially European ones. It also handles the roll-out of the necessary structure to maximize the development of R&I that is aligned with the challenges and objectives of Horizon Europe. Since then, the UOC has increased its research metrics, both in terms of funding and publications, making it one of the most prestigious research centres in Catalonia.

At the institutional level, this progress has been matched by improved infrastructure for research staff. A prime example is the Interdisciplinary R&I Hub, which opened its doors in October 2022. This is a 2,700 m<sup>2</sup> building dedicated entirely to research and innovation, made possible thanks to co-funding from the Government of Catalonia. This new building brings all of the UOC's academic activities and a large part of its management operations to the Poblenou campus, in Barcelona's technology district. It also houses the Internet Interdisciplinary Institute (IN3), the eHealth Center (eHC), the eLearning Research Programme (eLR), the Doctoral School, the Hubbik entrepreneurship and open innovation platform, and the research administrative staff. The approximately 600 people who work there also have access to UOC Labs, an ecosystem of nine laboratories for conducting experiments and delivering cross-disciplinary and specialized services, including virtual reality, neurostimulation, social experimentation, 3D manufacturing, audiovisual innovation, data architecture and cyber-physical systems.

A new executive leadership team, led by Rector Angels Fitó, took office in April 2023. Under the new organizational structure, the Office of the Vice Rector for Research and Innovation became the Office of the Vice Rector for Research, Knowledge Transfer and Entrepreneurship (headed by Vice Rector Xavier Vilajosana) and the existing Office of the Deputy General Manager for Research and Knowledge Transfer was left in place. This structure reflects the scale of research, knowledge transfer and entrepreneurship at the UOC in recent years and their importance to the institution. The strategy defined by the Office of the Vice Rector for Research, Knowledge Transfer and Entrepreneurship for the coming years identifies three main lines of action that will be key in its continued efforts to promote research, support researchers in this process and facilitate their daily work. These priorities are also fully in line with the

HRS4R plan proposed for the coming years. They are (1) to provide the structure and resources necessary to consolidate research at the UOC; (2) to structure, promote and raise the profile of knowledge transfer initiatives; and (3) to showcase the UOC as a university of excellence in research and knowledge transfer.

Finally, in 2023, the UOC recognized the need to bring research and teaching staff (researchers and teachers) under a single policy, to be negotiated in 2024.

## General Weaknesses

As mentioned above, the UOC started a new chapter in April 2023 under new leadership. As a result, some of the actions set out in the 2021-2023 plan had to be transferred to the new 2024-2026 action plan. The UOC will develop a common policy that covers all teaching and research staff. This will be one of the main pillars, along with the changes to the training policy, that will be highlighted in the new action plan.

In addition, on 17 July the negotiating committee for the second collective agreement of the Fundació per a la Universitat Oberta de Catalunya was formed, and on 2 November a negotiating committee was formally established to begin negotiations for the new UOC collective agreement.

We therefore faced both a change of leadership and a new negotiation of the UOC collective agreement. This led us to rethink some of the actions already under way and to negotiate a single policy for teaching and research staff. Negotiations on the various points of the platforms presented by the company and the employee representatives will now follow a fixed timetable. In the meantime, the current agreement will remain in force with its regulatory and binding clauses.

## Ethical and Professional Aspects

### Ethical and Professional Aspects (Initial Phase)

#### Strengths

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

#### Weaknesses

- . Some lack of knowledge of the ethical and good professional practice C&C principles by all the researchers.
- . Not all the researchers are familiar with the regulations because of multiple sources and information points.
- . No systematic follow up of the originality of the publications and research proposals made by UOC researchers.

- . Lack of protocol for dissemination through social networks and need of further public engagement dissemination.
- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.

## Ethical and Professional Aspects (Interim Assessment)

### Strengths

- . Positive perception of UOCs staff regarding their research freedom and current regulations and practices aligned with the C&C.
- . Appropriate instruments exist to ensure the quality of the research and avoid ethical problems in the behaviour of research personnel. The current mechanisms guarantee the fulfilment of the ethical and scientific good practice principles.
- . Clear contractual and legal obligations.
- . Transparent accountability.
- . Adequate instruments to ensure professional responsibility in place.
- . Equality Plan in place and Accessibility Program, too.
- . Information and mechanisms for dissemination are adequate.
- . All researchers are familiar with the regulations, as the UOC has worked to unify information initially from different sources, and this is currently all pooled on the Intranet and in the Services for research catalogue.

### Weaknesses

- . Some lack of knowledge of the ethical and good professional practice C&C principles by all the researchers.
- . As regards the competencies and skills involved in the research career path, we still need to carry out a more detailed analysis of the UOC research profile descriptors so as to better align them with the European profiles.

## Ethical and Professional Aspects (Remarks)

As reported in the initial Gap Analysis, in general terms, the UOC provides its research personnel with instruments and regulations that ensure appropriate coverage of the principles detailed in the C&C regarding ethical and professional aspects and which have been fully integrated into the institution's general strategic plan and policies.

However, the UOC is firmly committed to continuous improvement, and the initial action plan included up to eight actions that addressed principles related to ethical and professional aspects, some of which remain active within this process of continuous improvement (see actions). Continuous improvements have been made during the last period to address the main weaknesses detected in the Initial Phase:

- . Some lack of knowledge of the ethical and good professional practice C&C principles by all the researchers.

With the aim of ensuring ethical and regulatory compliance and avoiding risks, the UOC has organized training on compliance and has reviewed the regulations that have a bearing on its daily activities.

In 2019, as a result of one of the main actions set out in the HRS4R Action Plan, a specific section on Ethics and Data Protection was added to the Services for research catalogue. As well as the legal framework affecting data protection and ethics in research, the section includes various internal and

external regulations that provide more extensive knowledge of ethical practices. Ongoing assessment has been provided and in 2020 four training sessions have been carried out in which, for the purpose of guaranteeing personal respect and dignity in research projects

- . Not all the researchers are familiar with the regulations because of multiple sources and information points.

The UOC has been working to update the design of its Intranet to provide research staff with a one-stop shop where they can access information of general interest to them as workers as well as internal regulations, with this space also including a specific section for research staff (*Information and work tools for research staff*) where they can find the *Services for research catalogue*, as well as tools and resources. A new welcome website has also been created for new staff, where researchers can find specific information of interest to them.

- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.

Together with the FECYT (the Spanish Foundation for Science and Technology), the UOC forms part of the Odisea project, through which it is conducting an online pilot scheme in relation to research careers. The aim is to be able to evaluate the benefits of this process and adapt it for implementation in the UOC, and to allow it to be used as a tool for the development of the UOC's research staff.

- . No systematic follow up of the originality of the publications and research proposals made by UOC researchers.

During the first semester of 2020, the service to monitor calls for papers to be published was launched, to provide support to researchers from the different research groups for monitoring areas of interest and identifying new publishing opportunities. The service helps research staff to identify calls for articles by scientific journals in their area of research through RSS systems and database alerts. In the future, this service will also be used to assist with research proposals.

- . Lack of protocol for dissemination through social networks and need of further public engagement dissemination.

In 2019 and 2020 an in-depth analysis has been carried out on the model for R&I presence on the University's social media profiles, with the aim of enhancing the presence of R&I by improving the fit with the target audience and promoting open access. This action will be launched in 2021 with the aim of giving research staff the tools they need to effectively and efficiently provide information on their work.

Although it was one of the strengths identified in the Initial Phase, the UOC has continued working to promote the Gender Equality Plan 2020-2025. The Plan addresses important aspects related to the ethical principles and professionalism mentioned in the C&C and, through its Equality Unit, it has been working to implement the University's commitment to Gender Equality. A training session has been created on the topic of awareness of the gender perspective for all groups within the UOC, and the implementation of the new Gender Equality Plan will be one of the main challenges in the coming years.



**Ethical and Professional Aspects (Award Renewal) max 500 words****Strengths**

- Information and dissemination mechanisms are adequate and there is a positive perception of the dissemination of research results to society.
- There is adequate support for legal protection and intellectual property rights.
- The UOC's code of good practice in research is well-known in the community.
- There are adequate tools in place to ensure the quality of research and to avoid ethical problems in the behaviour of research staff, and the role of the UOC Research Ethics Committee is known.
- There is also awareness of the UOC Equality Unit and its roles and responsibilities.

**Weaknesses**

- It is considered necessary to provide training in research ethics to all research staff, especially doctoral, master's and bachelor's students.
- Internal dissemination of the code of good practice in research and the ethical principles for new recruits must be continued.
- The Equality Unit has a strong focus on gender, but there are other aspects and even areas of intersectionality that affect real equality.
- The Interdisciplinary R&I Hub has great potential and it is therefore important to implement initiatives to promote the use of its laboratories by both in-house staff and third parties. To this end, the rules and regulations for operating and using the laboratories must be better defined.

**Remarks (max 500 words)**

During the plan's four-year implementation period, progress has been made in improving researchers' perception of ethical and professional aspects. The UOC has taken into account the views of researchers throughout the process of defining and adapting the actions to be implemented.

The [ethics kit](#) was developed in the previous plan as a set of resources for researchers.

The following measures have been implemented to address the weaknesses identified in the interim review:

- Ethics and data protection in R&I projects: on-demand [sessions](#) to receive advice on the correct legal framework for data protection and the regulations applicable to R&I, as well as assistance in entering information in the ethical protocol and data protection forms. This training is currently provided at the request of the researcher, research group, research centre or faculty and lasts one hour.

Training in ethics and data protection is currently available to all research staff. However, particular attention needs to be paid to researchers at the early stages of their careers. Therefore, the new plan proposed for the coming years will introduce mandatory training in ethics for doctoral students.

With regard to the competencies and skills involved in pursuing a research career, the UOC research profile descriptors still need to be analysed in more detail in order to better align them with European profiles.

As stated in the previous report, work continued on the implementation and promotion of the Gender Equality Plan 2020-2025. In addition, the Equality Office has now become the Equity Office. The aim of this change is to embrace the diversity of all people and to achieve gender equity.

## Recruitment and Selection

### Recruitment and Selection (Initial Phase)

#### Strengths

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

#### Weaknesses

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

### Recruitment and Selection (Interim Assessment)

#### Strengths

- . Standardized and integrated selection and hiring policy and procedure.
- . Experienced Human Resources and People Development Office and necessary resources for its operation, including a specific space on the website for the dissemination of job announcements.
- . Aligned with the UOC's Strategic Plan and the sub-plan for attracting and recruiting talent, definition of the UOC's employer branding strategy and creation of the new careers website with specific information addressed to researchers to help them understand their future role within the University. This website is also available in English.
- . All the offers about research are published in English on UOCs website.
- . No kind of discrimination (gender, age, ethnic, sexual etc.) on the selection processes.
- . Mobility experience is recognized as a plus.
- . The recruitment policy, processes and procedures meet the aspects of the C&C and OTM-R .

#### Weaknesses

- . The UOC has worked to provide information on its OTM-R policy, although there is space for continuous improvement.
- . Improve candidates' experience as regards the assessment criteria, linked with the aspects of the C&C identified in the Gap Analysis (16 - Judging merit (Code)).

**Recruitment and Selection (remarks)**

The UOC is fully committed to open, transparent and merit-based recruitment and selection. The systematic review under the OTM-R checklist which is in place, as well as the working group and the internal review's participation channels, allow that there always be room for improvement in several aspects of the Recruitment and Selection processes. Seven actions in the initial HRS4R Action Plan addressed principles related to this thematic bloc. Given the importance of continuous improvement regarding this block of actions, some of the actions have been extended and threenew actions have been incorporated. This is a clear indication that major achievements have already been made in this thematic block; however, we must keep working in order to continue advancing towards continuous improvement in line with the C&C principles.

The UOC has been working to address the weaknesses detected in the Initial Phase:

. The recruitment policy, processes and procedures do not fully meet the C&C and OTM-R elements.

The UOC has been working to include the provisions of the C&C and the OTM-R in its policies and processes. As such, in 2020:

The UOC has reviewed and updated its staff selection policy to reflect these provisions. The document is freely available on the UOC's transparency portal and Intranet. The selection policy is currently available on the transparency portal in Catalan and Spanish and on the UOC Intranet in Catalan, Spanish and English.

The UOC has also created an internal policy on the selection of research staff for projects and an internal teaching and research staff selection policy which reflect the content of the OTM-R. These procedures are available on the UOC Intranet and can be accessed by all staff for the purpose of ensuring transparency around selection procedures for anyone who might be involved in a selection process and also for the rest of the organization.

A weekly summary of all job offers is also created and sent out internally within the organization.

. Not all the offers are published in English on UOCs website:

In relation to the UOC Strategic Plan, and specifically to the sub-plan for attracting and recruiting talent, an employer branding strategy has been created for the UOC to position it as a good place to work. As part of this strategy, a new [careers website](#) has been created that explains who we are and the different professional groups and profiles that work at the UOC. This careers website represents an additional measure implemented by the UOC within the context of the HRS4R, and it is currently available in Catalan, Spanish and English. Job offers for research staff for projects are currently published in Catalan, Spanish and English on the new [Join our team careers website](#), with the purpose of raising the visibility of our job postings and making this information more accessible to potential candidates.

. Not enough information for researchers about OTM-R.

The UOC has analysed this need and the OTM-R working team has decided to publish the OTM-R checklist on the [HRS4R section](#) of the UOC website to make it available to everyone at the University and to potential researchers interested in working at the UOC.

**Recruitment and Selection (Award Renewal) max 500 words****Strengths**

- Standardized and integrated selection and recruitment policies and procedures.
- The Personnel department is made up of the Specialization Centre for Talent and the Reference Centre for Research, which have the necessary experience and resources, including a dedicated space on the website for posting job vacancies.
- No discrimination (on the basis of age, ethnicity, gender, etc.) in selection processes.
- Ensures gender equality in treatment and access to selection and promotion procedures.
- Recruitment policies, processes and procedures are C&C and OTM-R compliant.
- Vacancy notices are published well in advance of the selection process.
- Qualitative and quantitative outcomes are assessed in selection processes, with a focus on the outcomes of a diversified career path.
- The candidate's merits are taken into account as assessment criteria in the selection process for research staff at the UOC.
- Mobility experience is considered a plus in the selection process.

**Weaknesses**

- Although the UOC has worked to make its selection criteria more transparent, they still need to be better communicated and publicized.
- Selection committee members have the right experience to assess candidates, but some hiring managers still need tools to fully understand their role in the selection and recruitment process and to have certain resources available to them while fulfilling this role.
- Better support is needed for the recruitment and selection of researchers from other countries, in particular from outside the European Union.
- The assessment criteria for diversified career paths need to be reviewed.
- The teaching and research staff policy needs to be reformulated to ensure greater talent retention, so that these individuals can continue to develop professionally at the UOC.

**Remarks (max 500 words)**

The UOC is ongoing and fully committed to open, transparent and merit-based recruitment and selection, and has continued its efforts to develop an environment that promotes the application of OTM-R principles in its selection processes, while attracting the best talent. So, the UOC has been working to address the weaknesses detected in the Interim Assessment Phase:

. The UOC has worked to provide information on its OTM-R policy, although there is space for continuous improvement:

Several actions have been taken, as detailed in the remarks on Actions 5 and 7 of the current Action Plan, to ensure that research staff involved in selection processes have a better understanding of OTM-R principles so that they can apply them when selecting teaching and research staff. The application of OTM-R principles in the UOC's selection processes is also explained in order to raise awareness among potential candidates.

. Improve candidates' experience as regards the assessment criteria, linked with the aspects of the C&C identified in the Gap Analysis (16 - Judging merit (Code)):

The entire selection process has been reviewed to ensure that the objective eligibility requirements for a vacancy are respected throughout the process, thus creating a better experience for candidates.

Other actions have also helped to streamline and improve selection processes in line with OTM-R and C&C principles:

The UOC has been active in developing a quality control system with a twofold purpose: (1) to ensure that teaching and research staff selection processes are carried out in accordance with OTM-R principles, and (2) to promote the continuous improvement of the policies, processes and procedures involved in talent selection by carrying out an annual review of the processes and identifying areas for improvement to be addressed in the following year. As part of the continuous improvement process, a new action has been identified in the Action Plan 2024-2026 to fully integrate research staff into this system.

In September 2022, the UOC also launched a new selection tool called Selendalia, which allows for the complete management of all selection processes

This tool has made the selection processes more effective and efficient, helping to ensure that candidates are selected on the basis of objective criteria, guaranteeing the traceability of information and optimizing communication with candidates, thus improving transparency and their overall experience.

The UOC has also reviewed and updated the OTM-R checklist, which is available in the HRS4R section of the UOC website.

Finally, several actions have been taken to support the recruitment of research talent through competitive calls for funding, including the launch of a website with funding programmes available to researchers at different stages of their careers, the planning and implementation of a joint working strategy with the Doctoral School, the dissemination of talent recruitment and research career opportunities at different stages, and the search for funding for UOC doctoral programmes. Seminars have also been organized for [the Doctoral School](#) and, as of 2023, will now be included in the UOC's training plans.

## Working Conditions and Social Security

### Working Conditions and Social Security (Initial Phase)

#### Strengths

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

#### Weaknesses

- . Difficulty to establish permanent contracts for all researchers due to different legal regulations.
- . Need to improve UOCs attractiveness with regard to remuneration and professional stability.
- . Lack of mobility policy, especially for sabbatical stays abroad.
- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.

- . Need for better talent acquisition and development policies specific for research.
- . Information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures, actions and services available (need of a R&I Catalogue of Information and Services).
- . Need of physical spaces and initiatives to facilitate the interaction between academics and researchers.
- . Need for more research spaces because of the continuous growth in the number of researchers.
- . Perception of lack of clear correlation between levels of responsibility and levels of payment.
- . Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.

## Working Conditions and Social Security (Interim Assessment)

### Strengths

- . Flexible working conditions and stimulating research environment.
- . Promotion of participation in projects, research networks and other centres or collaborative initiatives.
- . Established complaints procedure exists.
- . People review process and professional development initiatives available.
- . Appropriate IPR regulations and services.
- . Possibilities for participation in decision making processes (Strategic Plan).
- . Appropriate mechanisms and procedures to deal with complaints/appeals.
- . Equity within the UOC's research teams through analysis of researchers' CVs, bearing in mind the collective bargaining agreement for the UOC and the categories of researchers.
- . Specific employer branding strategy to attract research talent and widen the sources of recruitment used in the selection processes.
- . On the UOC Intranet, segmentation into different groups (administrative staff, faculty and researchers) of all the information regarding regulations, procedures, actions and services of relevance for each group, with the aim of helping research staff to access information of interest to them.
- . Clear correlation between levels of responsibility and levels of payment thanks to the updated academic policy and research premiums.
- . Detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects, thanks to the updated academic policy that sets out the assessment criteria.
- . Availability of a síndic de greuges (ombudsman) accessible to both UOC and external staff, and a confidential 24/7 queries and complaints channel open to all UOC staff  
(<https://www.uoc.edu/portal/en/universitat/organitzacio/sindic/index.html>)  
([https://drive.google.com/file/d/11uqXaOv1Dd9rPtK-VVLNzRF\\_y\\_sfa6vQ/view](https://drive.google.com/file/d/11uqXaOv1Dd9rPtK-VVLNzRF_y_sfa6vQ/view))

### Weaknesses

- . Difficulty to establish permanent contracts for all researchers due to different legal regulations.
- . Need for physical spaces and initiatives to facilitate the interaction between academics and researchers.
- . No mobility policy, especially for sabbatical stays abroad.
- . The UOC has worked to update the research career competencies and skills, although it needs to continue working on this aspect and improving awareness and knowledge of these among research staff, bearing in mind the C&C.
- . Need for more research spaces because of the continuous growth in the number of researchers.

## Working Conditions and Social Security (remarks)

UOC research has undergone consolidated growth and the number of UOC research and innovation personnel has grown considerably over the last years. Important efforts have been made to promote a dynamic, international, continuously improving and cohesive research community operating under the appropriate working conditions.

Procedures to deal with complaints/appeals of researchers are in place and in compliance with national rules and regulations, and researchers are satisfied with their outcome. Additionally, researchers are encouraged to share their opinions through different channels, and these can be made individually, on behalf of a group or anonymously.

As already mentioned, gender balance and equity also remain a priority, with a new Gender Equality Plan now in place.

The principles included in this thematic block were assessed in the initial Gap Analysis, and the results were used to design several actions to improve working conditions. Some of them are still underway during this phase.

The UOC has been working to address the weaknesses detected in the Initial Phase:

- . Need to improve UOCs attractiveness with regard to remuneration and professional stability.

The UOC ensures equitable remuneration among its research teams by analysing researchers' CVs and taking into account the UOC collective bargaining agreement and the categories of researchers.

- . Research career path competences might be updated and more comprehensive taking into consideration the C&C.

Together with FECYT-EURAXESS, the UOC forms part of the Odisea project for the development of research careers. In December 2020, a pilot will be launched within the framework of the project. The experiences and conclusions gained through the pilot will help the UOC to establish best practices to suitably define UOC research career competencies and skills.

The UOC is also working on a Training and Development Plan for research staff in which different areas of the University are participating

- . Need for better talent acquisition and development policies specific for research.

The employer branding strategy defined by the University must enable better talent acquisition by showing how UOC researchers work and raising the visibility of existing UOC researchers through video testimonials on the new careers website. Work is also being done to define how our employer branding should be communicated via social media so as to continue improving our research talent acquisition.

We are also using other recruitment sources (ResearchGate and Academic Positions) to allow our research staff vacancies to reach more candidates.

- . Information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures, actions and services available (need of a R&I Catalogue of Information and Services).

In 2018, a one-stop-shop was created within the Virtual Campus containing all the tools and resources that the UOC places at the disposal of its research staff. The *Services for research catalogue* is a non-static space that is regularly updated to incorporate the new services offered by the University based on the needs highlighted in the strategic research plans developed by the faculties, as well as those expressed by the research centres and the research staff themselves.

The *Services for research catalogue* implements three of the University's strategic objectives: 1) improve the impact of communication and dissemination to attract funding opportunities; 2) improve the quality and efficiency of the University's activity and processes; and 3) develop and improve management activities and processes related to attracting and developing talent.

During 2019, the catalogue was regularly updated with more information and content in response to both internal regulations implemented as part of the Strategic Plan and external regulations applicable to the University. Also during 2019 an intensive communication campaign was rolled out by the University and the Research and Innovation Committee on the new needs and requirements provided for. Of these, particular mention should be made of good research practices, ethical principles and data protection in research projects carried out by research staff.

These current services respond to the main gaps and shortcomings identified by our research staff. We are also working on adding new services related to training activities; on communication and dissemination of activities; on the creation of process maps for grant proposals, research projects, knowledge transfer, entrepreneurship, and ethical principles and data protection; and, finally, to incorporate the services that can be offered to research staff by the University's four labs (UOCLabs, UOCCognitive Neurolab, UOC DataScienceLab and UOC MediaLAB).

Research staff are informed of all these measures through the Research and Innovation Committee, the Internal Communication unit and by the technical managers assigned by R&I to each research group and to all the research staff working individually.

. Need for more research spaces because of the continuous growth in the number of researchers.

The UOC has acquired two of the three Can Jaumandreu buildings in order to centralize in one place many of the teams that are currently spread around Barcelona, as a step towards eventually having everyone together in the same place. Some management teams, the faculty and most of the IN3, eHealth Center, eLearn Center and Doctoral School groups – a total of around 800 people – will be moved to this future single campus. The aim is that, during the 2021/2022 academic year, all the University's academic and research activities should be centralized in this site to promote interdisciplinarity between the teams. Another objective is to strengthen the UOC's role in Barcelona as a creation, connection and dissemination hub that stimulates both research and the creation of spin-offs based on advanced technologies.

We have applied for a ERDF grant within the framework of the call for unique institutional projects that have the power to generate excellent research, attract talent and generate activities for knowledge transfer and valorization through the construction, adaptation or substantial expansion of buildings for R&I infrastructures. The project submitted, which has been accepted, aims to bring together the UOC's research activities into a single hub of excellence at the 22@ campus.

. Perception of lack of clear correlation between levels of responsibility and levels of payment.

The academic policy and research premiums have been updated.

. Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.

The academic policy that sets out the assessment criteria has been updated.

. Difficulty to establish permanent contracts for all researchers due to different legal regulations. The UOC is in the process of studying this section.

. Lack of mobility policy, especially for sabbatical stays abroad.

This is currently being studied.

. Need of physical spaces and initiatives to facilitate the interaction between academics and researchers.



The UOC is currently working on the issue of these spaces and has purchased two new buildings, but due to the COVID-19 pandemic, and in order to safeguard the health of its workers, staff will be working 100% remotely until September 2021. However, for those workers (including research staff) who, for whatever reason, need to come into the University's offices to work, spaces have been opened up where they can work on request.

## Working conditions and social security (Award Renewal) max 500 words

### Strengths

- Teaching and research activities are supported.
- Knowledge transfer is supported.
- Appropriate working conditions are ensured for research staff, including people with disabilities, in accordance with current legislation.
- Measures are taken to ensure that research staff are familiar with the employment legislation that applies to them in relation to working conditions and training.
- An induction process for new recruits facilitates their integration into the institution and ensures their well-being.
- The institution provides access to the appropriate resources and facilities for research.
- Workplace well-being and safety are supported.

### Weaknesses

- The new way of working needs to be updated to unite the team and create a sense of belonging.
- Access to the hub needs to be improved to facilitate informal conversations and meetings.
- Researchers need more support to carry out their work and further their careers.
- A study could be carried out to determine the amount of time spent on teaching and research.
- The mobility activities and careers of teaching and research staff need to be better supported.

### Remarks (max 500 words)

The UOC has worked to address the weaknesses identified during the interim review phase as follows:

. In 2022, work began on the research staff policy and a working group was created to draft a proposal.

. In 2023, work began on the teaching and research staff policy to bring both teachers and researchers under a single policy, and work was done to map out the research career path. The inclusion of both groups will be a significant improvement, as well as aligning support, induction, occupational health and safety and other aspects.

. Negotiations began in 2023 on a new collective agreement for the FUOC to replace the one in force since 2012, and a new agreement will be negotiated in 2024 to improve working conditions for all employees.

. With regard to new ways of working, a working group has been monitoring e-work and analysing how it is perceived. Criteria for working in the office were defined, together with protocols for meetings and digital disconnection. Everyone's workstation was replaced (laptops, screens, etc.), the workspaces in the buildings were adapted and more rooms were made available, and digital skills training was provided.

. The Health and Safety Service carries out many activities to address psychosocial risks, improve physical and mental health (through a psychologist) and prevent illness. It will continue to promote health in the coming years. In addition, following a review by the Health and Safety Committee, the Executive Board approved and published the third version of the protocol for psychological harassment at work in December 2023. The new protocol includes changes to the process for reporting harassment, expands its scope, adds a member of the Compliance Committee to the investigation committees, and contains other improvements based on the experience gained during the time that the protocol has been in place at the UOC. A case of psychological harassment at work can be reported with a single click in the **Co-Resol** application or by sending an email to **salut@uoc.edu**.

. Work was done to inaugurate the new research hub and efforts will continue during the new action plan to establish its operations, promote interdisciplinary collaboration between different UOC groups and forge alliances with the productive and social sectors.

## Training and Development

### Training and Development (Initial Phase)

#### Strengths

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

#### Weaknesses

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

## Training and Development (Interim Assessment)

### Strengths

- . UOC promotion of training and continuous career development available.
- . Promotion of role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators to the highest standards.
- . Appropriate mechanisms and procedures for relations with supervisors.
- . Specific training plan and training catalogue for researchers.
- . Training procedure available on the Intranet with details of the types of training that research staff can access for the purpose of developing their competencies and skills.

### Weaknesses

- . Possibility of improving the knowledge of the training opportunities of the staff for professional development.
- . Need to continue developing the current performance management model so as to include all the UOC's research profiles and thus contribute towards their professional development.

## Training and Development (remarks)

Four actions included in the initial HRS4R Action Plan were designed to address specific issues related to this block of C&C principles. As shown below, important progress has been made in recent years, including the development of a Training and Development Plan for research staff in which different areas of the institution participate.

However, even though last year's efforts resulted in the promotion of new training activities, the complete achievement of this action has had to be extended, mainly due to the UOC's continuing education policy and the economic constraints derived from the current context.

Additionally, even though it was a strength identified in the Initial Phase, the UOC has continued working on the promotion of the roles of supervisors, mentors, career advisors, leaders, project coordinators, managers and science. Specifically, training has been given to the new mentors who accompany the UOC's new international researchers. The aim is to provide information on the role of mentor, the UOC welcome process and our different portals: the foreign researcher portal (immigration procedures, COVID-19, accommodation, transport, etc.), and all the resources available on the UOC Intranet: foreign research staff welcome guide, and the EURAXESS portal.

The UOC has been working to address the weaknesses detected in the Initial Phase, as follows:

- . Lack of specific training plan and training catalogue for researchers.

As mentioned, the UOC has been working on its Training and Development Plan for research staff, in which different areas of the University are participating:

[https://docs.google.com/presentation/d/12YILXEGQIPWs3vgJm4VuFjyXQR0LoI4eryRdJpwqcTY/edit#slide=id.g19c9da1c69\\_0\\_205](https://docs.google.com/presentation/d/12YILXEGQIPWs3vgJm4VuFjyXQR0LoI4eryRdJpwqcTY/edit#slide=id.g19c9da1c69_0_205)

The UOC working team has categorized research staff into levels R1, R2, R3 and R4. It is currently working on managing this information through a platform that helps to ensure the categorization is always up to date, for the purpose of creating a competencies and skills development plan for each of the levels.

The objective of the UOC work team is to analyse whether the current achievement assessment system could be adapted to the R levels system rather than to the specific role of each researcher within the University. This would make it possible to include in the assessment process those profiles that are not

currently contemplated in the system and therefore help researchers to develop their competencies and skills.

We also have a People Review system that is used to assess the performance of many of our research staff. This system, which is not currently linked to the R-level classification system, assesses and detects competencies and skills that could be developed.

. Possibility of improving the knowledge of the training opportunities of the staff for professional development.

We have been working on establishing a training plan and a subsequent communication plan. Due to the COVID-19 pandemic everyone in the organization is now working 100% remotely, and as a result we have had to halt the implementation and communication of the plan while we adapt it to the new situation, as all workers will be working remotely until September 2021.

However, the UOC has published its internal policy on its Intranet, where workers can view both their own training plan and all the training options available at the UOC (job-specific training, group training, training catalogue, long-term programmes, languages, Erasmus+ mobility programmes, discounts for UOC employees on UOC university courses, training incentives via the Flexible Compensation Plan, registrations to speak at congresses and open courses for new employees).

## Training and development (Award Renewal) max 500 words

### Strengths

- Researchers are encouraged to enhance their training through a variety of means, including participation in seminars, workshops and online training activities.
- Geographical, intersectoral, interdisciplinary and online mobility, as well as mobility between the public and private sectors, is recognized as a means of professional development at any stage of a researcher's career.
- An annual training plan for teaching and research staff is in place and disseminated to raise awareness.
- There is a process for professional improvement and development based on objectives.

### Weaknesses

- Teaching and research staff need better access to tools and resources that can help them develop their research careers.
- The new training needs of teaching and research staff identified during the award renewal phase must be reviewed and prioritized as part of the update of the teaching and research staff training plan.
- The competencies involved in the research career path need to be reviewed and updated, and the plan for communicating them needs to be implemented.

**Remarks (max 500 words)**

The UOC has worked to address the weaknesses identified during the interim review phase:

- . Opportunity to increase staff awareness of training opportunities for professional development:

Since 2021, efforts have been made to identify the specific training needs of teaching and research staff, leading to the development and implementation of a specific training plan. Some of the actions included in this plan are common to both groups, while others are separated according to the needs of each year.

The training plans for 2021, 2022 and 2023 have been distributed to researchers and teaching and research staff through various channels and media.

The need to move training for the entire staff online became particularly apparent during the pandemic, highlighting the importance of adapting training processes to the new open work model. This led to the launch in 2022 of @AteneaAcademy, a new corporate learning environment (learning management system for the entire staff. This system facilitates the training and development of internal talent, improves the training experience and makes access to training activities more flexible. Despite recent progress and improvements in access to training for teaching and research staff, it has been decided to update the training plan for this group by including a new related action in the 2024-2026 Action Plan. The aim is to fully integrate the training needs arising from the UOC's new strategic directions following the change in its Executive Board. This will involve identifying these needs and designing and implementing the training together with the Office of the Vice Rector for Teaching and Learning and the eLearning Innovation Center.

- . Need to continue developing the current performance management model so as to include all the UOC's research profiles and thus contribute towards their professional development.

The UOC has a performance appraisal system called People Review, which remains in place for administrative staff. This system was also used for teaching and research staff until 2022 to draw conclusions about their competency development.

As a result of the interim assessment phase, the UOC is considering reviewing the process to adapt it to the R-level system and to include all research profiles. The People Review system for teaching and research staff has ultimately evolved into a model of individual goal setting, with five categories of goals defined by the faculties and research centres. One of these categories is Personal Development, where competencies are taken into account and the appraisal interview is still used. During this interview, the teaching and research staff and their managers exchange views on their professional development. The aim is to build on the person's strengths and explore areas for improvement in order to agree on an action plan that will facilitate the staff member's development.

The Personnel department is currently working together with the Employees' Committee and the Office of the Vice President for Governance and Academic Policy on the new policy for the UOC's teaching and research staff, which would encompass both research staff and teaching and research staff. These negotiations will cover research careers, mobility and teaching.

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

The global priorities drawn from the Gap Analysis remain valid. However, some actions have been extended to the new plan due to the strategic institutional continuous improvement commitment and the significant growth of the university in the last period.

Due to the health crisis caused by the COVID-19 pandemic, the UOC's management decided to introduce the remote work system as a general measure for all the University's areas and departments (administrative staff, teaching and research staff, researchers). This has resulted in a process to reorganize and adapt the way we work to attain certain objectives set out in the action plan. As a result, certain actions that were being worked on at the University's facilities in the first semester of 2020, and that we expected to already have completed, now need to be tackled remotely, with subsequent delays. An extension was therefore requested for the Internal Review process for the purpose of carrying out a suitable review of the current action plan and establishing the new future action plan.

Similarly, in 2020 the actions set out in the UOC's Strategic Plan 2017-2020 were due to be completed and we had begun to gather ideas for the new Strategic Plan 2021-2022. However, the sudden onset of the COVID-19 pandemic brought a halt to the debates and strategic planning undertaken until mid-March 2020, and given the circumstances the current Strategic Plan has been extended until December 2021. A phase three (2020-2021) of the Strategic Plan has been started, lasting 18 months, the aim of which is to support, prioritize and prolong critical actions that will address the new challenges raised by the present crisis. The Executive Board has considered the future scenarios that may affect our organization and has defined four priority strategic areas. These are: Position ourselves in knowledge on online education; strengthen the generation and connection of knowledge; define feasible scenarios for a constantly changing present; and become a digital organization in a new global era.

Additionally, as at the time of implementation of the initial HRS4R action plan, the extended version of the reviewed HR Strategy for our organization for the next 3 years has been designed fully aligned with the UOC Strategic Plan to the point that all the actions will be included as Strategic Plan actions.

The change in executive leadership in 2023 led to a review of the institution's research priorities, resulting in three strategic directions: (1) provide the structure and resources necessary to consolidate research at the UOC; (2) structure, promote and raise the profile of knowledge transfer initiatives; and (3) showcase the UOC as a university of excellence in research and knowledge transfer.

In the few months since the new leadership team took office, important steps have already been taken to promote research:

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In the few months since the new leadership team took office, important steps have already been taken to promote research:

- In January 2024, the UOC launched the first call for applications for the Research Intensification Programme, which aims to boost research, knowledge transfer and entrepreneurship activities among teaching and research staff. The main goal of this initiative is to allow UOC teaching and research staff to devote an academic year to the intensive pursuit of research activities, in order to launch, advance or consolidate their

research careers.

- In the latest call for applications for Ramón y Cajal researchers, the UOC offered 20 places, up from 11 the previous year. With this increase, the UOC aims to promote research in areas of knowledge such as economics, psychology and environmental sciences and technologies.

The new actions resulting from the workshops held with the Advisory and Working Group (AWG) have also been incorporated into the UOC's Strategic Plan 2024-2026.

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

The increase in R&I activity at UOC has been linked to an institutional redesign and reorganization process, as well as the strengthening of research support structures. Said restructuring and reinforcement have been accompanied by a change in the governance and organizational structure of the University. As such, R&I activity has been reinforced, since the University's four main lines of activity have been placed on the same level: regulated university training, tailor-made training for companies, non-regulated training and R&I. Thus, since the beginning of 2019, the UOC has strengthened its R&I activity through a new Office of the Deputy General Manager of Research and Innovation, whose main objective is that the entire organization is oriented towards promoting and responding to the needs of its R&I activity. Within this framework, the UOC has a comprehensive management model for its R&I activity that depends structurally on the Office of the Deputy General Manager of Research and Innovation. The office is in charge, among other objectives, of the design and implementation of top-quality services to maintain growth and sustain the important effort that the University has been making in recent years to promote UOC researchers' participation in research projects, especially European ones. It also handles the roll-out of the necessary structure to maximize the development of an R&I aligned with the challenges and objectives of Horizon Europe.

In 2020, the situation caused by COVID-19 and the decision to have a 100% remote working day meant that during the first semester we had to focus on actions aimed at improving the organization of our work and the well-being of our employees. A specific website was created for all information related to COVID-19 <https://www.uoc.edu/portal/en/coronavirus/index.html>. This website includes five sections that reflect our wish to place our expertise at the service of the community, with the "Emergency remote teaching" programme, with webinars and MOOCs for university and secondary school teachers, and participation on the Conectad@s: La universidad en casa platform. There is a section on measures to ensure well-being, another with questions and answers from the UOC community, analysis from UOC experts and thoughts on the future. As regards measures to promote well-being, all workers were provided with a range of resources that covered everything from guidelines on how to organize remote work schedules, work ergonomics, recommendations for managing emotions and health and safety. Furthermore, in order to assess how the teams were coping and their opinion of how the UOC had managed the COVID-19 situation, in May 2020 the Pulse Covid survey was sent out to all our workers. The results of this survey gave us an insight into how our teams were getting on and allowed us to define a plan of action. One of the measures implemented was to open up work spaces inside the various university buildings for those people who needed to come to the University, something that was very highly rated, especially by research staff who were requesting this option. Another measure, aimed this time at achieving more effective remote team management, was a series of training sessions for team leaders on how to manage their teams remotely and how to strengthen the motivation of and communication with team members. Also as regards remote working, a work schedule was established to help ensure the right to disconnect, and a training session was created to provide people with tools to improve their remote work and personal organization. This training session was adapted for all the different groups that work within

the UOC, with a specific length and content for administrative staff, another for faculty and another for researchers. The training session for research staff was given in Catalan, Spanish and English.

As noted above, the change of leadership and negotiations of the UOC collective agreement have led us to reconsider some of our actions and to bring them together under a single policy for teaching and research staff. Negotiations on the various points of the platforms presented by the company and the employee representatives will now follow a fixed timetable. In the meantime, the current agreement will remain in force with its regulatory and binding clauses.

Given the impact of the COVID-19 pandemic on the UOC, especially in 2020, as explained in the interim report phase, it became clear in 2021 that we needed to define certain criteria and recommendations for our teams. These were developed as part of the New Way of Working project, which led to the approval of several guides and protocols in December 2021. Criteria for working in the office were established, together with protocols for meetings, digital disconnection and renewed remote working. A page was also created on the IntraUOC, accessible to all employees, with all the necessary guides and resources.

The situation from 2021 to the present day has changed considerably, with a gradual return to the office. Following the implementation of the open work model, some difficulties and dysfunctions have arisen as a result of the interpretation of certain related criteria. For this reason, it became necessary to review and update these criteria in order to adapt them to the university's current working environment. We can now say that the UOC is a knowledge-based, digital and global organization that operates on an open work model combining in-office and remote work. How often teams are required to work in the office is determined by their needs, tasks and responsibilities. It is an important part of the open work model for fostering a sense of belonging, communicating the institution's culture, facilitating innovation, creating team unity, achieving consensus, building trust and reducing the risk of social isolation.

Managers are free to determine how often their teams are required to work in the office, depending on the needs of the team and the tasks and responsibilities expected of them. There will also be an annual review of in-office work arrangements.



## Are any strategic decisions under way that may influence the action plan?

The decisions and implications relating to the management of the COVID-19 crisis have led to delays in the implementation of some of the planned actions, as the main priority has been to focus on managing the health crisis and its consequences to ensure they affect as few of our team members as possible. However, now that the situation is more stable, in the next few months work will be resumed to implement those actions that have been delayed.

Furthermore, in relation to professional development, the UOC has created a career paths model for administrative staff that will help to enhance their professionals competencies and skills and development. This project is an added resource for defining research skills and competencies and complements the associated training and development plan.

Lastly, as previously mentioned, the UOC has recently acquired two buildings for housing many of the teams that are currently spread around different places in Barcelona, as a step towards the idea of one day having everyone working together in the same place. The acquisition of these two buildings has given the UOC more available space and means that it can more easily accommodate the University's expected growth and group together a significant part of its services and teams in one place. Some management teams, the faculty and most of the IN3, eHealth Center, eLearn Center and Doctoral School groups – a total of around 800 people – will be moved to this future single campus, consisting of these two new buildings plus the one we currently occupy. Located in what is Barcelona's technology hub, researchers will have optimal conditions for carrying out their activities. Despite this, we will keep hold of our Castelldefels building. The teams that move to 22@ are expected to begin working there in late 2021, as soon as it is possible to fit out the new facilities. The aim is that, during the 2021/2022 academic year, all the University's academic and research activities should be centralized in this site to promote interdisciplinarity between the teams. Another objective is to strengthen the UOC's role in Barcelona as a creation, connection and dissemination hub that stimulates both research and the creation of spin-offs based on advanced technologies. This important change may influence strategic decisions over the next few years that have an impact on the action plan.

It must also be mentioned that we have applied for an ERDF grant within the framework of the call for unique institutional projects that have the power to generate excellent research, attract talent and generate activities for knowledge transfer and valorization through the construction, adaptation or substantial expansion of buildings for R&I infrastructures. The project submitted under the title of "UOC 22@BREATHE", which has been accepted, aims to bring together the UOC's research activities into a single hub of excellence at the 22@ campus.

As mentioned above, the new executive leadership team is pursuing new policies to promote research, innovation and entrepreneurship, which will undoubtedly have a positive impact on the proposed plan.

In February 2024, the UOC submitted a proposal entitled Open EU to the Erasmus+ European Alliances call. The alliance is made up of 14 universities and 12 organizations from across Europe that are committed to strengthening and improving the European university system, while continuing to expand opportunities for access to higher education and lifelong learning. The four-year project addresses aspects that are fully in line with our HRS4R plan and, if approved, will have a significant impact at all levels of the university. Among other things, the project will promote:

- Mobility of teaching, research and administrative staff.

- Open science, open education and open data practices.
- Collaboration with the productive and social sectors, both locally and internationally.
- Training programmes on inclusive gender equality for all staff.
- Community engagement.

Lastly, a proposal has been submitted to the European COFUND programme to fund the UOC's predoctoral programme. If approved, it would increase the internationalization, interdisciplinarity and intersectorality of this programme, encouraging research stays in institutions abroad and collaboration with the industrial sector. In turn, this programme would improve the training offered and, more generally, equip doctoral students with better scientific and cross-disciplinary skills, which would have a direct impact on their future employability.

All these actions are expected to have a significant impact on the UOC's visibility, both nationally and internationally, and to act as a catalyst for new actions and initiatives that will position the UOC as the world's leading open university.

### 3. ACTIONS

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

Planning from 2018 to 2023

Action	Timing						Responsible Unit	Indicator(s) / Target(s)
	18	19	20	21	22	23		
	Only for previous actions			Only for active & new actions				
Review and update the research career path competencies and skills			Q1	Q3			. Office of the Vice President for Strategic Planning and Research . Personnel	. Research Career Path review approved by governing bodies . Publication
Review and update the research career path competencies and skills (communication plan)			Q2	Q4			. Communications . Personnel	. Approval by governing bodies . Communication plan finalized . Communication actions (workshops and information provided)
Mobility Policy		Q2				Q2	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for R&I . Personnel	. Approval by governing bodies . Mobility policy publication
OTM-R working group	Q3						. R&I department	. Periodic working group meeting reports
UOC Recruitment Policy			Q1	Q3			. Personnel	. Approval by governing bodies . Publication
UOC Recruitment Policy (English) and use of advertising tools to attract international talent		Q1					. Office of the Deputy General Manager for Finances and Resources . Personnel	. Publication . All the offers published in English and use of additional international advertising tools when needed
OTM-R training			Q4	Q3			. Communications	. Approval by governing bodies . Communication plan finalized . Communication and training actions
Talent Acquisition and Development Plan			Q1				. Personnel	. Approval by governing bodies . Publication

Action	Timing						Responsible Unit	Indicator(s) / Target(s)
	18	19	20	21	22	23		
	Only for previous actions			Only for active & new actions				
<b>Dissemination Plan of the UOC Welcome Package targeted to R1-R2/R3-R4</b>		Q1			Q1		. Communications	. Approval by governing bodies . Communication plan finalized . Communication and training actions
<b>R&amp;I Catalogue of Information and Services</b>		Q2					. R&I department	. Approval by governing bodies . Publication . Visits to the dedicated webpage
<b>Dissemination Plan of the R&amp;I Catalogue of Information and Services</b>		Q2					. Communications	. Approval by governing bodies . Communication plan finalized . Communication and training actions
<b>Implementation of a tracking system for the originality of UOC publications and research projects</b>			Q1		Q2		. Library	. Approval by governing bodies . Publication . Reports
<b>Protocol for the dissemination of R&amp;I through social networks and specific dissemination actions for general public</b>		Q4					. Communications	. Approval by governing bodies . Publication . Reports
<b>Training plan for researchers</b>			Q2	Q4			. Personnel . R&I department	. Approval by governing bodies . Publication . Reports
<b>Provision of specific physical spaces and initiatives to facilitate research alliances and plan for the implementation of research spaces</b>			Q4				. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources	. Approval by governing bodies . Publication . Reports

Action	Timing						Responsible Unit	Indicator(s) / Target(s)
	18	19	20	21	22	23		
	Only for previous actions			Only for active & new actions				
Continuous improvement of OTM-R principles					Q2		. Personnel . R&I department	. Periodic working group meeting reports
Training plan for researchers (communication plan)				Q4			. Personnel . R&I department . Communications	. Approval by governing bodies . Publication . Reports
Development and implementation of the actions specific for R&I included in the UOC's Equality Plan						Q4	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for R&I	Equality plan approved by governing bodies with specific actions for R&I . Publication . Equality plan follow-up reports
Policy for attracting R&I talent through competitive proposals, adapted to the research groups' own research plans.					Q1		. Office of the Deputy General Manager for R&I . R&I department . Personnel	. Plan finalized . Web section published and maintained
Expansion and improvement of the R&I Catalogue of Services					Q2		. R&I department	. Publication of new contents
UOC Hub de Recerca at 22@.						Q4	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research	. Project actions achieved . Buildings in operation
Assess the competencies of the research career to continue developing the competency profile						Q1	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for R&I . Personnel	. People Review review approved by governing bodies . Publication
Expansion and improvement welcome Service and welcome pack						Q4	. Personnel	Approval by governing bodies . Publication . Visits to the dedicated webpage
R&I Research Policy					Q1		. Personnel	Approval by governing bodies . Publication

### Actions detail remark Action Plan 21-23

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

DESCRIPTION
Review and update the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers. An analysis of UOC research profiles descriptors will be done to better align them with the European profiles. The development of a more detailed system aimed at determining an optimal proportion between teaching and research duties will be analyzed taking into account research achievements and prospects. Research management staff will also be taken into account.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need to review and update the research career path competencies and skills taking into consideration the European research profiles descriptors. Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.	All (R1-R4)		Q4		Q3		

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. R&amp;I department</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Research Career Path review approved by governing bodies</li> <li>. Publication</li> </ul>

Status 2020
<p><b>Extended</b></p> <ul style="list-style-type: none"> <li>. Together with FECYT-EURAXESS, the UOC forms part of the Odisea project for the development of research careers. In December 2020, a pilot will be launched within the framework of the project. The experiences and conclusions gained through the pilot will help the UOC to establish best practices to suitably define UOC research career competencies and skills.</li> <li>. As part of the ongoing improvement process, and to continue aligning our practices with the Charter and Code for Researchers, in 2021 we are planning to update the competencies and skills for research careers. To do so, we will refine and expand the UOC research profile descriptors to better align them with the</li> </ul>

European profiles and meet the development needs of all the University's research staff, improve performance and quality, and promote a culture of continuous improvement.

### Remarks 2020

The UOC is firmly committed to developing the careers of its employees, facilitating personal and professional development that allows individuals, departments, committees and any other type of group to reach their full potential. This is regardless of the type of employment contract, and also applies to researchers on fixed-term contracts. This commitment is included within the UOC's Strategic Plan, which includes a specific action plan (Be UOC) with actions that are already being rolled out aimed at implementing possibilities for professional development. The People Review process in place for permanent staff (an annual process that gives an objective overview of the performance and evolution of the people within the organization) includes ongoing appraisal of professional competencies and skills bearing in mind current needs and qualifications. Research staff are aware of the competencies and skills subject to assessment and, together with their team leader, decide which of their competencies and skills should be developed during each subsequent year and the measures they will take to achieve this.

Within the context of the HRS4R Action Plan, in 2018 the competencies of the People Review process were reviewed as a tool for the professional development of research staff, and the skills to be assessed and developed were updated for the following roles: deans, associate deans for teaching and research, programme directors, group leaders, faculty and IN3 researchers. Research assistants and predoctoral and postdoctoral researchers were not included. The research profiles assessed currently correspond to the different professional roles defined in the UOC's collective bargaining agreement and not to the European classification (R1, R2, R3, R4). Human Resources and People Development Office, together with a representative from the research and teaching team, has been responsible for reviewing and updating the competencies and skills. As part of the ongoing improvement process, and to continue aligning our practices with the Charter and Code for Researchers, in 2021 we are planning to update the competencies and skills for research careers. To do so, we will refine and expand the UOC research profile descriptors to better align them with the European profiles and meet the development needs of all the University's research staff, improve performance and quality, and promote a culture of continuous improvement.

Together with the FECYT (the Spanish Foundation for Science and Technology), the UOC forms part of the Odisea project, through which it is conducting an online pilot scheme in relation to research careers. The aim of this project and its pilot is to explain EURAXESS, the research careers map, the identification of values, self-awareness and self-assessment, and give information on the career path, EURAXESS tools, professional opportunities based on case studies, the 20 main positions that researchers can go for, how to create a CV and how to prepare for job interviews. The UOC is actively taking part in this project with the aim of being able to evaluate the benefits of this process and adapt it for implementation in the UOC, and so that it can be used as a tool for the development of the UOC's research staff.

### Current status

**EXTENDED**

### Remarks 2023

The UOC is committed to the professional development of its staff and has a specific plan (Be UOC) to ensure continuous development, in line with its Strategic Plan. For this reason, in 2021 it reviewed the EURAXESS research profile descriptors, the Career skill measurement for researchers. Eurodoc position paper (2011) and the map of Odisea skills and UOC research profiles. This led to an initial proposal of competencies by profile and associated development plan.

In 2022, a working group was set up to define a research staff policy. The previously defined proposal of competencies by profile was shared with the group and revised so that the competencies of the profiles included in the research staff policy would be defined in accordance with the European profiles (R1, R2, R3

and R4).

The final approval of the new proposal for defining competencies for each level within the research staff policy has been temporarily suspended due to the change of leadership at the UOC and the new strategy to define a more global policy that includes all teaching and research staff, not only those exclusively engaged in research.

The Personnel department is currently working with the Employees' Committee and the Office of the Vice Rector for Governance and Academic Policy on the new policy for the UOC's teaching and research staff, which would include staff engaged exclusively in research and those engaged in both research and teaching. Once this new policy has been further developed and the profiles to be included have been defined, the competencies for each level will be adapted again to bring them into line with the European profiles (R1, R2, R3 and R4). The definition of these competencies will also have to be linked to the CoARA commitments and the [CoARA Action Plan](#) to be approved by the Executive Management Committee in February 2024.

Consideration is also being given to the creation of a specific section on the internal HRS4R web page to provide teaching and research staff, mainly R1s, with tools to help them develop their research careers. This resource will be based on the UOC's experience in participating in the Odisea project and will have to be validated by the UOC's Research and Knowledge Transfer Committee (CriT).

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

DESCRIPTION
Communication plan for the review and update of the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need to review and update the research career path competencies taking into consideration the European research profiles descriptors. Need of a more detailed system to balance the teaching load taking into consideration research achievements, research objectives and prospects.	All (R1-R4)			Q2	Q4		

Responsible(s)	Participant(s)
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<ul style="list-style-type: none"> <li>. Communication Office</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. R&amp;I department</li> <li>. Research Communication Committee</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>
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Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Approval by governing bodies</li> <li>. Communication plan finalized</li> <li>. Communication actions (workshops and information provided)</li> </ul>

#### Status 2020

##### Extended

A communication plan must be designed in order to make researchers aware of the competencies and skills of the research career.

#### Remarks 2020

As regards the review of competencies and skills carried out by People Review, in December 2018 a notification was issued detailing the changes made, the training and self-training manuals that include information on the process were modified, and the competencies and skills dictionary was posted on the IntraUOC so that everyone would have access to it.

As part of the ongoing improvement process, as we has explained in action one, we will to continue aligning our practices with the Charter and Code for Researchers and in 2021 we are planning to update the competencies and skills for research careers. So when we had competencies and skills update we will implement a communication plan to disseminate the competencies and skills related to the research career

#### Current status

**EXTENDED**

#### Remarks 2023

In October 2021, a first proposal of competencies by profile and associated development plan was submitted to the Office of the Vice Rector for Research, the Office of the Deputy General Manager for Research and Innovation and the research centre managers for approval. However, with the UOC starting to work on its research staff policy in 2022, the original proposal was reviewed and shared again with the management team. Since it was finally decided to define a more global policy covering all teaching and research staff, this approval process was temporarily suspended.

Once this new policy has been further developed and the competencies and action plan have been defined, a communication plan will be prepared and implemented to inform researchers about the competencies and skills involved in a research career, as well as a development plan for their improvement.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
3	2. Mobility and research sabbatical stays abroad	Mobility Policy	18, 21

DESCRIPTION
A mobility policy will be created with specific measures regarding mobility and research sabbatical stays abroad. Special attention will be given to intersectorial, inter and transdisciplinary nobilities. Virtual mobility and mobility between the public and private sector will also be considered taking into consideration UOCs nature (virtual university).

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Mobility as part of the assessment of the research career and lack of specific policy regarding stays abroad	All (R1-R4)		Q2				Q2

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager R&amp;I</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. R&amp;I department</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

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

Status 2020
<p><b>Extended</b></p> <p>Despite the actions already developed, the UOC has not issued a specific policy for sabbatical period abroad. In the context of our institutional strategic plan, actions are already being considered to address this need and promote a more detailed policy for sabbatical research stays. The action has been extended for this reason. In addition, a new specific action has been included to develop a policy for attracting R&amp;I talent through competitive proposals, adapted to the research groups 'own research plans, as a new action in the implemented action plan.</p>

Remarks 2020
<p>With internationalization at the core of its mission, the UOC continuously works to bolster its international profile through initiatives that increase its research partnerships around the world as well as the number of its international exchanges and students. Through the development of this action the UOC wishes to deepen institutional exchange, learning and cooperation with other experienced universities, research centres and institutions, as well as to build competencies in order to address some of the most pressing challenges in research and education. With its strong focus on internationalization, the UOC encourages the academic mobility of its students and teaching and management staff. It has therefore made available diverse support, scholarship and grant services to allow them to receive part of their courses, placement or</p>

professional activity at another university, company or institution during the time that they are studying or working at the UOC.

To develop the action, the following objectives and actions were included in the UOC's current strategic plan:

1. Attract talent and improve the international and intercultural competencies of UOC staff and collaborators:

> Foster UOC staff mobility oriented towards benchmarking (acquiring competencies and knowledge in contact with other universities and institutions).

> Develop international and intercultural competencies among UOC staff.

2. Incorporate international and intercultural dimensions in the curricula so students may acquire these types of competencies regardless of where they live.

> Define the international experience that provides students with global competencies.

> Incorporate international and intercultural content in all new programmes and revise current programmes to try to incorporate them.

Additionally, in selection procedures it is of increasing importance that the candidates can show they have previously performed mobility periods: it is considered an added value to their global profile as mature researchers. Selection procedures duly take this into account, as well as the fruitful cooperations previously developed, or to be developed, with foreign entities and research centres. Indeed, mobility experience is being increasingly deemed to be one of the criteria necessary for obtaining a post at the UOC. It is being considered in the same manner as the other criteria and scored accordingly in line with the recruitment procedure based on experience related to the competency.

Moreover, the UOC has multiple agreements with universities, educational institutions and companies worldwide. These alliances are built on a foundation of respect for, and acceptance of, cultural and linguistic differences. The international mobility of researchers is encouraged and promoted through these strategic linkages with other higher education institutions and research organizations.

Funding schemes such as Erasmus+, the Marie Skłodowska-Curie actions and other actions that promote mobility are actively promoted by the UOC's Board of Directors, R&I, Personnel and Internship and Mobility Services.

Mobility at postgraduate level is considered an added value when there is a clear scientific justification. Each year the UOC opens internal grants to promote mobility.

The UOC will continue to support mobility through the provision of up-to-date, relevant information and resources. An internal commission to better assess and promote mobility was appointed in the context of the current UOC Strategic Action Plan.

Benchmarking projects, either national or international, are highly promoted as a learning experience. Participants are met with before and after the stay abroad, and they are expected to present their experience and results to their department and to whichever other unit that might benefit from their new knowledge and upgraded skills. In principle, mobility is focused on fulfilling a specific goal of the department team, and thus it is linked to the UOC's overall strategy. In promoting mobility, the UOC makes clear its goal of learning from the best practices of other institutions or companies in order to identify possible applications at the UOC.

Although specific measures regarding mobility have been developed and mobility grants with intramural budgets have been promoted, a specific policy for sabbatical periods abroad has not yet been established. In the context of the new institutional strategic plan, actions are already being considered to address this need and foster a more detailed policy for sabbatical research stays. The action has been extended for this reason. Additionally a specific new action to develop a policy for attracting R&I talent through competitive proposals, adapted to the research groups' own research plans, has been included as a new action in the implemented action plan.

### Current status

**Extended**

**Remarks 2023**

Despite the progress made, there is no specific policy for sabbaticals abroad. Within the framework of the UOC's Strategic Plan, measures are currently being considered to remedy this shortcoming and to promote a more detailed policy for sabbatical research stays. The action has therefore been extended. A new specific action has also been included in the Implemented Action Plan to develop a policy for attracting R&I talent through competitive proposals. This policy will be adapted to the research groups' own research plans.

The mobility plan will be developed in the 2024-2026 plan and as part of the negotiations on the new teaching and research staff policy. At the same time, however, work will be carried out in the following area: "Promote mobility abroad at all stages of the research career, implementing new mobility opportunities (virtual mobilities)".

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

DESCRIPTION
Creation of an OTM-R working group in charge of revision and definition of selection and recruitment processes under OTM-R principles

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Lack of interuniversity OTM-R working group for revision and continuous update of selection and recruitment processes under OTM-R principles	All (R1-R4)	Q3					

Responsible(s)	Participant(s)
. R&I department	. Office of the Deputy General Manager for Research and Knowledge Transfer. . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager . Personnel . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status
Completed

Remarks 2020
<p>A specific group has been created in the UOC for monitoring the HRS4R and OTM-R, made up of members from the Human Resources Area, the Doctoral School and the IN3.</p> <p>UOC is fully committed to open, transparent and merit-based recruitment and selection, and the working group will continue to operate and will be in charge of continuously monitoring the OTM-R current practices and further actions for improvement in several aspects related with the OTM-R.</p> <p>The OTM-R working group has recently published an updated version of the OTM-R checklist in the HRS4R section of the UOC's website. Additionally, the UOC has updated its selection policy, which is currently available internally on the UOC's Intranet and in the internal guidelines for the selection of research profiles.</p> <p>This action has been classified as completed because it was developed with the goal of creating the working group itself. However, it is worth noting the success of the group's work which, as mentioned, will continue to be fully operational during the development of the implemented action plan.</p>

**Current status**

**Completed**

**Remarks 2023**

No need for remarks - completed.

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

DESCRIPTION
The UOC recruitment and selection policy will be updated and reviewed in order to meet the C&C and OTM-R elements as described in the Gap Analysis. Special attention will be paid to the gaps and needs identified during the HRS4R process at UOC for principles 12 (Recruitment), 13 (Recruitment (Code)), 14 (Selection (Code)), 15 (Transparency (Code)), 16 (Judging merit (Code)), 17 (Variations in the chronological order of CVs (Code)), 18 (Recognition of mobility experience (Code)), 21 (Postdoctoral appointments (Code)), and OTM-R checklist.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
The recruitment policy, the current processes and procedures do not fully meet the C&C and OTM-R elements	All (R1-R4)			Q1	Q3		

Responsible(s)	Participant(s)
. Personnel	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . Office of the Deputy General Manager for R&I . R&I department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status 2020
<b>Extended</b>  Improve candidates' experience in terms of evaluation criteria linked to the elements of the C&C identified in the Gap Analysis (16 (Judging merit (Code))).

Remarks 2020
The UOC has reviewed and updated its recruitment policy as well as its internal procedures for the selection of research staff for projects and teaching and research staff. As planned, these have been reviewed and updated to incorporate the aspects of the C&C and OTM-R described in the Gap Analysis: the recruitment procedure is open, efficient and transparent and all job offers published give a detailed description of the knowledge and skills required for the position (13 (Recruitment (Code))) while also specifying the access conditions and ensuring equal opportunities (12 (Recruitment)); The recruitment policy aims to ensure that all professionals who take part in personnel selection processes have the knowledge and training required for inclusion in the processes in accordance with the principles of the same. However, it is true that the selection committees are created based on the roles involved in each selection process

more than gender equality considerations (14 (Selection (Code))); Job offer descriptions include information for candidates on the recruitment process, the requirements for the position and the number of positions available.

Furthermore, with the creation of the new careers website, candidates can also see the professional development opportunities available at the UOC. Furthermore, once the selection process has been completed, the selection team gives the interviewed candidates feedback consisting of objective reasons as to why they have been either selected or rejected (15 (Transparency (Code))); Career breaks and variations in the chronological order of CVs are not penalized in selection processes if, in the interview, the candidate can give objective reasons for these variations (17 (Variations in the chronological order of CVs (Code))); Any kind of mobility experience is considered to be a valuable contribution to a researcher's professional development, and this is very important, as part of the UOC's strategy to incorporate international talent (18 (Recognition of mobility experience (Code))); As regards postdoctoral places offer by the UOC, the requirements, type, length and characteristics of the places are specified in the call for applications. For postdoctoral researchers hired for projects, these details are specified in the job offer that is published (21 (Postdoctoral appointments (Code))).

The selection policy is currently available on the transparency portal in Catalan and Spanish and on the UOC Intranet in Catalan, Spanish and English.

Furthermore, in 2020 the internal selection procedure for researchers for research projects and the selection procedure for teaching and research staff have been published on the Intranet in Catalan, Spanish and English.

Lastly, it should be mentioned that the UOC has reviewed and updated the OTM-R checklist, and that this is available in the HRS4R section of the UOC website.

### Current status

**COMPLETED**

### Remarks 2023

In order to improve candidates' experience with regard to the assessment criteria linked to the C&C element identified in the gap analysis (16 [Judging merit (Code)]), and thus to strengthen the evidence of merit-based selection, a number of changes have been made to the selection process, focusing mainly on:

1. Disseminating the principles of OTM-R and ensuring their application in UOC selection processes. This dissemination is primarily aimed at potential candidates applying for a vacant post, new UOC recruits and those at the UOC who are actively involved in selection processes and final decisions.
2. Reviewing the entire selection process to ensure that the objective eligibility requirements for a vacancy are respected throughout the process, thereby creating a better candidate experience.
3. Implementing the new Selendalia selection tool, which allows complete management of all selection processes. This tool was developed by the Personnel department in collaboration with Technology and the faculties under strategic sub-plan 101, to attract talent, in the Be UOC pillar of the Strategic Plan 2017-2021.

A more detailed description of the actions arising from these priorities is given below:

- The staff recruitment application form has been updated for all selection processes to explicitly state that the principles of OTM-R must be respected, so that research staff involved are aware of these



principles and apply them accordingly. This application form is currently channelled through the JIRA employee support service to ensure an efficient selection and recruitment process. For all other teaching and research staff recruitment, the Personnel department holds a briefing with the faculty dean or research centre director to define the requirements for applying for the position. The objective requirements that the candidate must meet in order to be considered for the position are listed in the application form and are presented at the briefing.

- A job description template has been created for publishing and disseminating vacancies for researchers and teaching and research staff on the Join our team page of the UOC website, on the EURAXESS platform and in other recruitment sources when deemed necessary. In this template, the job description explicitly states that the OTM-R principles will be applied in all selection processes and also specifies all the objective requirements that the candidate must fulfil in order to be eligible to apply, as identified in the previous profile definition phase.
- The candidate experience has been improved by adding a statement that we follow OTM-R principles to the Join our team page, which displays vacancies for researchers and teaching and research staff. In this section, candidates can see a list of the objective requirements they need to meet in order to be considered for the vacancy, and can track the vacancies they have applied for and the status of their application.
- The new Selendalia selection tool has been implemented to allow complete management of all selection processes. This tool:
  - Improves effectiveness and efficiency in the comprehensive management of selection processes for all UOC staff, allowing all processes and related information to be monitored from a single tool and facilitating data management and analysis for improved decision-making.
  - Improves the experience of candidates interested in our job opportunities by facilitating the application procedure and simplifying communication with each candidate throughout the entire process up to its conclusion.
  - Improves the user experience for external and internal candidates participating in selection processes.
- The objective reason for rejecting each application is specified in the selection tool itself, Selendalia. The rejected candidates who participate in the process will be given this reason.

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

DESCRIPTION
As shown in the current Strategic Plan the internationalization principle is one of UOCs main interests and the Strategic Plan includes specific actions to attract talent and international mobility. The updated recruitment and selection policy will be published in English and further attention will be given to attract international talent including the publication in English of all the offers not only on Euraxess but also on the UOC website, and the use of additional international advertising tools.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Not enough international recruitment	All (R1-R4)		Q1				

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. R&amp;I department</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

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

Status 2020
<b>Completed</b>

Remarks 2020
<p>The number of UOC researchers has grown quickly over the last few years and the institution is successfully working towards fostering a dynamic, multicultural, international and heterogeneous research community. This was one of the main reasons for the UOC's endorsement of the HRS4R process, and the institution is fully committed to carrying on attracting more excellent talent, working to promote research and boosting researchers' careers in terms of Europe. Therefore, the UOC's HRS4R Action Plan fits into its institutional internationalization and modernization strategy, and aligns with the priorities of the European Higher Education Area.</p> <p>Along these lines, and as foreseen, the UOC has reviewed and updated the OTM-R checklist and this is available in the HRS4R section of the UOC website.</p> <p>Additionally, all the job offers are published in English and the UOC has reviewed and updated the selection policy that is published in Catalan and Spanish on the transparency portal and on the UOC Intranet in Catalan, Spanish and English.</p> <p>We have also drawn up an internal selection procedure for researchers for research projects and a selection</p>

procedure for teaching and research staff, which have been published on the Intranet in 2020 in Catalan, Spanish and English.

The working group has explored different sources of recruitment to allow the UOC's research staff vacancies to reach more potential candidates, with offers being posted on the websites ResearchGate and Academic Positions as well as on EURAXESS.

Lastly, special mention should be made of the creation of the new careers website with specific information addressed to researchers to help them understand their future roles within the University. This website is also available in English.

#### Current status

**Completed**

#### Remarks 2023

No cal remark - completada-

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

DESCRIPTION
Communication plan and training actions for researchers about application of OTM-R

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Not enough information for researchers about OTM-R	All (R1-R4)		Q4		Q3		

Responsible(s)	Participant(s)
. Communications	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . Office of the Deputy General Manager for R&I . Personnel . R&I department . Research Communication Committee . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Drafts . Number of training and communication actions	. Approval by governing bodies . Communication plan finalized . Communication and training actions

Status 2020
<b>Extended</b> Implement an OTM-R communication plan for researchers to disseminate OTM-R principles

Remarks 2020
UOC currently applies an OTM-R policy based on the principles of openness, transparency, and merit (see OTM-R checklist). The general goal pursued by the UOC's selection policy is to guarantee the best possible match between the person and the job, and endow the institution, in a reasonable amount of time, with professionals who are optimally matched to the specific need defined and the vacancy to be filled, proceeding in such a manner as to assure the process's quality and validity. All selection processes are based on criteria of equality, objectivity and confidentiality, on the assessment of professional skills and on the candidate's suitability to the vacant post in terms of parameters regarding skills, aptitudes, abilities and attitudes, all assessed objectively. The processes are transparent and ensure equal opportunities, without taking into account reasons of gender, ideology, beliefs, ethnicity, religion or other forms of direct or indirect discrimination. Another goal of the selection policy is to preserve the personal data used in all stages of the

process. All our recruitment processes use a Web-based tool to avoid discriminating against candidates based on their geographical location and/or financial means. All employment offers are published on UOC's website and on EURAXESS in English with a minimum application period of 15 days.

Important communication efforts have been undertaken in order to increase awareness of the application of OTM-R policies and recommendations.

A specific webpage is offered and kept up to date with all HRS4R-related documentation. Additionally, during the implementation process, various communications have been sent in electronic format (emails, newsletters, etc.). Apart from the institution's specific HRS4R web section, additional web spaces have been created in order to keep the UOC research community informed (catalogue for research services, research careers, etc.). Additional communication actions aimed more at specific audiences have also been developed, such as presentations at specific meetings, interviews with researchers and teachers to identify employer branding value propositions, and their participation in the production of testimonial videos. Several workshops have also been held to report on the actions taken and those that will continue to be worked on.

However, due to the unexpected impact of COVID-19 on the organization of our work and the appearance of new, urgent needs to respond to the situation, we have not been able to roll out the OTM-R implementation communication plan. As a result, this action is now planned for 2021.

#### Current status

**COMPLETED**

#### Remarks 2023

An action plan was designed and implemented to inform the UOC's research and teaching staff about the principles of OTM-R and the ways in which the UOC integrates them into research staff processes (specifically recruitment, selection and induction).

The dissemination of these principles targeted research staff at three stages: applicants, new recruits and in-house staff.

The purpose of covering these three stages is to ensure that the principles of OTM-R are taken into account from the moment a potential candidate decides to apply for an offer at the UOC, from the moment the recruit joins the UOC as a new research staff member, and also from the moment researchers and stakeholders already working at the UOC become involved in the recruitment and development of other research staff.

This action plan includes several improvements:

- A note stating that our selection processes are based on OTM-R principles has been added to the Join our team page, where vacancies for researchers and teaching and research staff are displayed, so that all potential candidates browsing this page are aware of this.

- A note explaining to potential candidates that the selection processes are based on OTM-R principles has been added to all job descriptions for researchers and teaching and research staff.

- In the briefing that the recruitment officer and HRBP conduct with the principal investigator, or that the HRBP conducts with the Doctoral School for predoctoral candidates or with the faculties for postdoctoral candidates, those responsible for selecting the candidate to be recruited are also reminded that this decision

must be based on the principles of OTM-R.

-In September 2021, an HRS4R page in three languages (Catalan, Spanish and English) was set up on the UOC intranet with two main purposes: (1) dissemination, to raise awareness of the OTM-R principles, and (2) updating, to inform the entire staff of the progress we are making at the UOC on the action plan

The website has the following structure: The first section explains what HRS4R is and provides a link to the [European Charter for Researchers](#), the [Code of Conduct for the Recruitment of Researchers](#), the [Internal Review and Implemented Action Plan](#) and the public [HRS4R](#) page of the UOC website. The 40 principles of the Charter & Code are classified into three thematic blocks: (1) training and development; (2) ethical and professional aspects; and (3) selection, recruitment and working conditions. These blocks explain what the OTM-R principles are and provide links to the [OTM-R 2018 checklist](#) and the [OTM-R 2020 checklist](#). The new internal web page has been disseminated through various channels: the AWG was informed in one of the follow-up meetings, an item was included in the UOC's weekly round-up newsletter, and a note was added to the Share and communicate page of the UOC intranet.

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

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

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Talent acquisition and development initiatives specific for research	All (R1-R4)			Q1			

Responsible(s)	Participant(s)
. Personnel	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status 2020
Completed

Remarks 2020
In relation to the Strategic Plan 2017-2020, and specifically to the sub-plan for attracting and recruiting talent, one of the objectives is to increase the number of independent excellent researchers with an international profile. Since the presentation of the HRS4R Action Plan (March 2018) and its approval (August 2018), the UOC's research staff has grown by 16,2%. In addition, the current annual external funding received for research doubles the 2014 figures and, according to the CYD ranking, the UOC leads the way in research carried out by online universities. As an illustration of the growth experienced in recent years, the University's research and innovation staff has increased from 387 professionals in 2014 to 479 in 2019, a growth rate over 24%. Many of these researchers work in the research groups within the faculties or the Internet Interdisciplinary Institute (IN3). As regards those recruited through competitive calls for proposals, in 2018 we were awarded an ERC as well as an RyC, we submitted 13 international proposals (Marie Curie IF, ERC and ITN), 6 at the national level (RyC and JdC employment grant, if we count the RyC grant as just

one; we applied for 10 places and we had 5 candidates) and 8 within Catalonia (ICREA, BP and "la Caixa") and the number of openings for predoctoral researchers rose by 7%. In 2019 we took on four researchers with external funding (two RyCs, one JdC and one BP grant), we submitted applications for 29 prestigious external calls (1 ICREA, 2 ERCs, 5 BPs, 8 JdC employment grants, 2 RyCs, 6 ITNs, 1 COFUND, 1 RISE and 3 MSCAs) and there was an increase in the number of applications for competitive predoctoral grants (FI, FPU, DI, JdC training grant, UOC predoctoral grants). The data available so far for 2020 show a continuance of this positive trend.

Another objective of the sub-plan for attracting and recruiting talent was to create an employer branding strategy aimed at improving our talent acquisition, with information on how we work at the UOC and our various professional groups, including testimonials from specific professionals, and access to job offers. In order to define the strategy, we carried out interviews with a group of researchers and invited them to participate in creating the website content. As a result of this strategy, the UOC has designed and launched a new careers website on its corporate website. This website provides anyone interested in doing research at the UOC with information on how research is conducted at the University, video testimonials from UOC researchers explaining their experience within the organization, and a list of all the current job offers.

The UOC created a specific communication plan to advertise this new website both internally and externally.

The UOC has also carried out other measures to raise the visibility of research careers at the UOC, such as the talk by the director of the Doctoral School as part of the first online job fair held by the UOC in November 2020.

The UOC has been working on a Training and Development Plan for research staff in which different areas of the University are participating (Personnel, R&I, Doctoral School, Library and Learning Resources).

Due to the COVID-19 crisis and the fact that the entire organization has had to work remotely, some actions that needed to be pushed back from 2019 to 2020 were put on hold and priority was given to new training measures related to helping researchers with the new way of working, such as training on remote working tools and specific personal organization for researchers, as well as health and safety advice for working from home, psychological support and healthy practices (Health Week).

#### Current status

**Completed**

#### Remarks 2023

No need for remarks - completed.



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

DESCRIPTION
Implementing the current welcome service for new professors and researchers developing specific internal guidelines. Special attention will be given to foreign researchers.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	
No full alignment of the welcome process with the C&C, information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q1				

Responsible(s)	Participant(s)
. Personnel	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status 2020
Completed

Remarks 2020
<p>The UOC has created its new welcome website for new staff, where researchers can find specific information of interest to them. The welcome website is available in Catalan, Spanish and English.</p> <p>The UOC has created a working group made up of members from Personnel, the Doctoral School and the IN3 to analyse the current welcome process and identify possible ways to improve it. At the moment, the working group is assessing the various improvement measures identified and how to implement them, with the aim of improving the UOC's welcome process for research staff.</p> <p>Furthermore, the UOC holds annual welcome sessions for new teaching and research staff. The purpose of these sessions is to provide training and information on the services provided by the administrative teams and as well information and tools relevant to their teaching and research activities. The presentations used</p>

during these sessions will be posted on the welcome website so they are available until the following year's welcome session.

In 2018, a one-stop-shop was created within the Virtual Campus containing all the tools and resources that the UOC places at the disposal of its research staff. This section is the result of one of the seventeen actions set out in the action plan, to which the working groups defined in the HRS4R contributed through a series of workshops.

The Services for research catalogue is a non-static space that is regularly updated to incorporate the new services offered by the University based on the needs highlighted in the strategic research plans developed by the faculties, as well as those expressed by the research centres and the research staff themselves. It provides researchers with immediate access to all the tools and services available for carrying out their research activities at the University, all in one place.

The section includes a description of all the services, information on who is responsible for them, what can be requested, what the related tools are, answers to the most frequently asked questions, access to related services and the option to send queries and suggestions concerning the services in question.

The information in this section is being constantly updated and expanded. This is an objective shared by several departments – Legal Office, Library for Research, Accounting and Finance, the Strategic Planning Office and Personnel – and coordinated by R&I with the support of Technology and Communications.

The UOC has a website for raising the visibility of all its R&I activities, their results and the people involved. This is a comprehensive resource for accessing all the information of interest on the work carried out by the University's research staff, the research groups and the lines of research they are involved in, thus giving an overview of research at the UOC.

It showcases the results of the UOC's R&I activities and how they have been transferred to economic and social applications. The UOC has carried out the valorization process for its various results – both for R&I and teaching activities – following a series of phases, including identification and analysis, concept testing, protection of results and dissemination, until the results can finally be exploited. The types of result transferred by the UOC are technological solutions, patents and technologies for licensing, applications, spin-offs and services for companies.

The website includes a Knowledge Map section that shows all of the UOC's technologies and gives an overview of the knowledge it can offer. Information on the work of the various research groups and staff is grouped by topic (Arts and Humanities, Social Sciences, Health Sciences, and Information and Communication Technologies), with a description of the research activity, the R&I projects they are involved in, their scientific production, the research lines of their R&I activity, consultancy and other services offered, as well as results in the form of any patents or spin-offs.

In other words, it provides a complete overview of all the R&I activities carried out by the University's researchers.

**Current status**

**Completed**

**Remarks 2023**

No need for remarks - completed.

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

DESCRIPTION
Implement the UOC Welcome Package and the follow-up for the incoming researchers. The Package will include specific and more updated and implemented information on principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 7 (Good practice in research) and 32 (Co-authorship) as detailed in the Gap Analysis.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Not full alignment of the welcome process with the C&C, information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q1				

Responsible(s)	Participant(s)
. Personnel	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Draft	. Approval by governing bodies . Publication . Visits to the dedicated webpage

Status 2020
Completed

Remarks 2020
A survey has been carried out of our mentors (who provide support to foreign research staff in carrying out bureaucratic procedures) to find out the needs of researcher and mentors and thus improve the welcome process. We will analyse the resulting data and work together to formulate proposals for improvement. The first measure will be to hold a training session for mentors and assess the level of knowledge needed to provide this support. The information and links have been updated on the Researchers' Website: Links to government departments and Brexit procedures. We have put together a guide with information on living in Barcelona, housing services, health services, school services, etc. To make sure the assistance service and information is always up to date, we have taken on a part-time (half a day) member of staff to provide guidance to people within the University (facility).

The UOC has a welcome procedure for new staff that has been analysed by the HRS4R working group within the context of research and bearing in mind the principles established by EURAXESS. At the present time, the working group is in the process of assessing and implementing measures for improvement.

The UOC has updated the general welcome website, which is also available in English and has specific sections on research and working at the UOC: calendar, payroll, leave, UOC benefits, personal procedures area, collective bargaining agreement, the area explaining who we are, the educational model, research, how we are organized; a section on practical matters: kit, how we communicate, corporate material; an area with current UOC news, a weekly update, channels for following all the latest UOC news; an area for communicating with UOC colleagues and integrating within the UOC community.

The welcome website for foreign researchers has been updated with relevant information on the city, immigration procedures, Brexit and COVID-19, which can be viewed before applying for vacancies at the UOC. Furthermore, we have put together a guide to finding accommodation and schools before applying for vacancies at the UOC.

#### Current status

**Completed**

#### Remarks 2023

No need for remarks - completed.

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

DESCRIPTION
An specific dissemination plan of the UOC Welcome Package targeted to R1-R2/R3-R4 will be developed in conjunction with the Internal Communication Unit. The dissemination plan will pay specific attention to the gaps and needs identified, particularly for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 7 (Good practice in research) and 32 (Co-authorship).

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
No full alignment of the welcome process with the C&C, information is scattered in several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q1			Q1	

Responsible(s)	Participant(s)
. Communications	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for R&I . Office of the Deputy General Manager for Finances and Resources . Personnel . R&I department . Research Communications Committee . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Drafts . Communication actions	. Approval by governing bodies . Communication plan finalized . Communication and training actions

Status 2020
<b>Extended</b> Define a welcome communication plan targeted to R1-R2 and R3-R4.

Remarks 2020
The following communication measures have been carried out to provide information on the improvements to the welcome process:  The general welcome procedure for new staff has been shared with all the mentors that provide support to new UOC staff and help them to settle into the University.  Furthermore, the UOC has updated the general welcome website on its Intranet, which is also available in

English and has specific sections for research, so that any UOC worker can easily look up information of interest for their particular role (administrative, teaching or research).

A welcome website has also been created for foreign research staff with the idea that the mentors introduce new researchers to the website so that they can find information of interest for legal and bureaucratic procedures. Mention must also be made of the welcome sessions for new researchers organized by Personnel in which teaching and research staff and researchers are provided with information of interest. We extended this action because its interesting to define a welcome communication plan targeted to R1-R2 and R3-R4.

### Current status

**Completed**

### Remarks 2023

At the UOC, we are in the process of changing and adapting the induction process to our new open work model, which combines some face-to-face meetings with a high percentage of work from home. This model has prompted us to redesign the induction process to adapt it to the new present and future, and to facilitate the reception and integration of new staff joining the UOC.

In 2021, the induction process for administrative, research, academic and management staff was analysed as part of a project to define the induction journey for each group. Working groups were set up with stakeholders and, through various workshops, a number of improvements to the induction process were identified and detailed in response to Action 26: The key improvements are as follows:

- The induction journey was defined for each group (Induction Plan).
- An induction guide was drawn up for those responsible for new recruits.
- The role of the welcome tutor was strengthened in each department, faculty and research centre.
- The Welcome section of the IntraUOC was revised to make the content clearer and more structured.
- A proposal was made to design an asynchronous online training course with the necessary content to facilitate integration at the UOC.

The analysis of the UOC induction experience and its outcomes, the results of this analysis and the proposal to improve the process by profile were presented to management in December 2022.

After the proposal was approved, work was carried out in 2023 to design ways to implement the proposed improvements. In the first quarter of 2024, the plan to communicate their implementation will be carried out:

Firstly, the UOC management team will be informed that the improvement implementation process has started and will be provided with the user guide for their role in the induction process. They will also be informed that all the people who have the role of welcome tutor will be brought together to present and start implementing the new induction improvements.

All welcome tutors will then be invited to two face-to-face meetings where they will be informed about the new induction plans and the revised induction process. They will also be given the new induction documents (induction calendar, induction kit, welcome email template, summary document of benefits and training by profile, etc.).

Once the direct stakeholders have been informed of the new induction plan, a communication will be sent first to the Employees' Committee and then to the entire staff to inform them of the details of the changes included in the new induction process.

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

DESCRIPTION
Creation of a web based UOC R&I Catalogue of Information and Services in order to provide open, clear and transparent information of the several services offered to the R&I staff. Special attention will be given to the gaps identified in the HRS4R process at UOC as lack of information was detected, especially for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 6 (Accountability), 7 (Good practice in research), 8 (Dissemination, exploitation of results), and 32 (Co-authorship).

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available	All (R1-R4)		Q2				

Responsible(s)	Participant(s)
. R&I department	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . Personnel . Library . UOC HRS4R Implementation and Monitoring Committee

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Draft	. Approval by governing bodies . Publication . Visits to the dedicated webpage

Status 2020
Completed

Remarks 2020
<p>Since 2018, we have been creating the Services for research catalogue with a clear objective: To provide all of the UOC's R&amp;I staff with a simple tool where they can see what services are offered by the University to help them with their research and investigation activities.</p> <p>The <i>Services for research catalogue</i> implements three of the University's strategic objectives: 1) improve the impact of communication and dissemination to attract funding opportunities; 2) improve the quality and efficiency of the University's activity and processes; and 3) develop and improve management activities and processes related to attracting and developing talent.</p> <p>For each of the services, information is given on the strategic service to which it belongs, a brief and detailed</p>

description of the service, the University unit that offers the service, the related tools and documents that are included, FAQs, a form for submitting queries and, finally, information on its relationship with the other services offered.

The section currently includes: more than 45 services offered by more than 10 university units; more than 200 FAQs; approximately 50 related documents that provide more information on the service; approximately 20 R&I tools that can be used for research and that comply with all the relevant security and protection measures; a specific and fairly complete section on ethics and data protection; support services for research data management; services for the exploitation of results; etc.

The current services respond to the main gaps and shortcomings detected by research staff. We are also working to include new services related to training activities; on communication and dissemination of activities; on the creation of process maps for grant proposals, research projects, knowledge transfer, entrepreneurship, and ethical principles and data protection; and, finally, to incorporate the services that can be offered to research staff by the University's four labs (UOCLabs, UOCCognitive Neurolab, UOC DataScienceLab and UOC MediaLAB).

As well as the services that have already been mentioned, we are working to analyse and implement others that have been requested by research staff and that, together with other of the University's areas and units, can be offered for ongoing improvement of the services listed in the catalogue.

One of the new services we have been working on during the last semester of 2020 is training for research staff, and a series of training measures have already been specified for implementation during 2021. These will be included in the *Services for research catalogue* and researchers will be informed of the relevant dates and periods.

Research staff are informed of all these measures through the Research and Innovation Committee, the Internal Communication unit and by the technical managers assigned by R&I to each research group and to all the research staff working individually.

#### Current status

**Completed**

#### Remarks 2023

No need for remarks - completed.



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

DESCRIPTION
An specific dissemination plan of the UOC R&I Catalogue of Information and Services targeted to R1-R2/R3-R4 will be developed in conjunction with the Internal Communication Unit. The dissemination plan will pay specific attention to the gaps and needs identified, particularly for principles 2 (Ethical principles), 3 (Professional responsibility), 4 (Professional attitude), 6 (Accountability), 7 (Good practice in research), 8 (Dissemination, exploitation of results), and 32 (Co-authorship).

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)		Q2				

Responsible(s)	Participant(s)
. Communications	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I department . Personnel . Library . Research Communication Committee . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Drafts . Communication actions	. Approval by governing bodies . Communication plan finalized . Communication and training actions

Status 2020
Completed

Remarks 2020
<p>On 4 December 2018, the <i>Services for research catalogue</i> was published. From this moment onwards, and especially during 2019 to 2020, the communication plan was rolled out for the catalogue, consisting of a series of communication measures aimed at ensuring all of the Universities research staff are familiar with this resource.</p> <p>The Services for research catalogue gives access to a lot of essential information for key activities in the daily work of UOC research staff. The communication plan aimed to explain how the catalogue is organized and give a detailed description of all the services offered to R&amp;I professionals by the different areas of the</p>

University.

Specifically, texts and the personal experiences of researchers are used to explain and aid the use of the various services offered in the catalogue. These texts and personal experiences help researchers to navigate their way through the catalogue and the ecosystem of services and tools for carrying out R&I activities in the University.

The main measures carried out within the 2018-2020 communication plan are as follows:

Launch and presentation of the *Services for research catalogue* (04/12/2018)

Launch and presentation of the UOC's *Services for research catalogue* website: a one-stop-shop where R&D staff can access all the services and tools available for carrying out their research activity.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/nou-catal-eg-digital-de-serveis-per-a-la-recerca-de-la-uoc>

Experiences of using the services and resources offered in the catalogue (29/01/2019)

Testimonials from research staff who have made use of the services offered in the catalogue: management of sources of funding, project management, exploitation of results and creation of spin-offs

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/coneixes-t-ots-els-serveis-i-recursos-que-t-oferim-per-a-la-gestio-de-projectes-de-recerca->

Research results transferral service (25/02/2019)

Series of services for driving knowledge transfer and partnerships with the world of business, covering the protection of results, concept testing, the creation of market studies, communication consultancy, help setting up agreements with businesses, licensing of protected results to third parties, and the creation of spin-offs.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/com-s-im-pulsen-els-resultats-de-l-activitat-de-recerca->

New O2 deposit service (26/03/2019)

Service that helps researchers publish their articles in the University's repository and approves versions for publication in accordance with the relevant publishing policies.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/catalog-d-e-serveis-per-a-la-recerca-suport-en-el-diposit-a-l-o2-repositori-uoc>

Presentation of the R&I indicators and data service (10/07/2019)

Interdisciplinary service that encompasses all areas and offers a global, integrated and historical perspective of research through a tool that gives an interactive overview of indicators.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/la-recerca-de-la-uoc-en-alca>

Updating and adaptation of the Researchers' Website, one of the main tools in the *Services for research catalogue* (03/12/2019)

Improvements to usability, presentation of information and multi-device accessibility so that researchers can record and view their curricular activities and scientific production, as well as reviewing their research projects and their applications for internal calls for projects.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/renovat-el-portal-de-l-investigador>

Workshop on the new Research Data Management service (04/03/2020)

Service for help with open research data, i.e. being able to share research data to strengthen collaboration between different researchers. This service has taken a big step forward with the incorporation of the FAIR principles (findable, accessible, interoperable and reusable) as a requirement for the management of research data from all the areas of the Horizon 2020 programme.

<https://cv.uoc.edu/webapps/cas/login?service=http://cv.uoc.edu/webapps/intrauoc2/web/intrauoc/-/taller-sobre-el-nou-servei-de-suport-en-la-gestio-de-les-dades-de-recerca>

Every week, the internal *Calls&More* newsletter provides information on the different services offered in the

*Services for research catalogue.* It also focuses on specific services of current relevance, such as the publication of specific calls for capturing talent, project justifications, calls for entrepreneurial projects, etc.

**Current status**

Completed

**Remarks 2023**

No need for remarks - completed.

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

DESCRIPTION
At the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researcher's. A protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	
Follow up of the originality of the publications and research proposals made by UOC researcher's.	All (R1-R4)			Q1		Q2	

Responsible(s)	Participant(s)
. Library	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I department . Technology Department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status 2020
<b>Extended</b>  A service similar to the one implemented on plagiarism detection should be developed in relation to the funding proposals that have been planned for the next period.

Remarks 2020
During the first semester of 2020 a new service for detecting plagiarism was created and placed at the disposal of the UOC's R&I community.  We consider plagiarism to be the act and effect of copying another person's work (or works), and using it in one's own work without citing the source. Within this context, we check whether a research article has been plagiarized or whether it contains the work of third parties without proper citation that could be considered as plagiarism in an as-of-yet unpublished work.  To this end, the UOC has a tool that detects plagiarism and produces a report showing the match

percentage between the document in question and other sources available online. This tool can be used to analyse the following types of document: Published articles (we identify plagiarism in articles that have already been published) and unpublished articles (we check the percentage similarity with other sources for articles that have not yet been published). After receiving the document and the request, we upload the document to the plagiarism detection tool and generate a report that gives the match percentage with other sources and their location and reference. The report with all the resulting information is then sent to the researcher together with a suggestion, to be evaluated by the researcher, of how to interpret the results. Even though this service is already available, we are planning to develop a similar service for funding proposals during the next period, and therefore this measure is currently in progress in the implemented action plan.

#### Current status

**Completed**

#### Remarks 2023

The service is aimed at doctoral candidates, researchers (management profile) and teaching staff wishing to check the degree of similarity between their work and other sources or who suspect that one of their published works has been plagiarized.

A working group was set up between the Library and R&I to analyse the needs for plagiarism detection in proposals and projects. Following the analysis, it was decided to use the Urkund tool in cases deemed appropriate (large proposals with high impact and budget or where plagiarism is suspected). This is the tool used by the UOC to detect plagiarism in journal articles and thesis reviews.

The tool does not need to be adapted and the information is available on the Plagiarism page of the UOC website.

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

DESCRIPTION
A specific Protocol for the dissemination of R&I through social networks will be developed in order to implement dissemination actions and public engagement. The organization of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives was also highlighted as a space for improvement and specific dissemination actions of this nature will be targeted in the new UOC Communication Plan already being developed in the context of the UOC Strategic Plan

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Lack of a protocol for the dissemination of R&I through social networks and need of further public engagement dissemination	All (R1-R4)		Q4				

Responsible(s)	Participant(s)
. Communications	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for Finances and Resources . R&I department . Research Communication Committee . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

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

Status 2020
Completed

Remarks 2020
In the Research and Innovation Communication Plan 2020-2021 that has been defined, and to make the projection of research and innovation, an action is the review and establishment of a new model of R&I presence on corporate social media. This action involved analyzing R&I social media profiles and redefining them, increasing the presence of R&I on corporate channels, and reviewing the editorial line of R&I content.

**Current status**

Completed

**Remarks 2023**

No need for remarks - completed.

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

**DESCRIPTION**

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

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Convenience of having a specific training plan and training catalogue for researchers	All (R1-R4)			Q2	Q4		

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Personnel</li> <li>. R&amp;I department</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager (Finances and Resources)</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

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

**Status 2020**

**Extended**

Define and implement a training catalogue for researchers more targeted than now to R1-R2/R3-R4 related with the update research career path competencies and skills defined.

### Remarks 2020

At the UOC we have established a Training and Development Plan for researchers in which different areas of the University participate.

The HR team, in coordination with the deans, department heads and the IN3 and Doctoral School directors, works to identify staff training needs, to design and develop the annual training and development plan, to implement the training measures specified within the plan, to monitor and assess these measures and to record the relevant information.

A training plan has been defined and it includes the training actions that are organized from different areas of the UOC to respond to the researchers' training needs. The actions are organized from Library, Doctoral School, ARI, Human Resources Area and Academy. There are more specific actions (related to publications, Writing for the biomedical sciences, Responsible Research & Innovation (RRI) for Researchers, academic writing, DISCOVERER, , R&I Meeting days, R&I ethical issues, ... ) and other training related to skills (academic presentations, Training program in soft skills for Doctoral Thesis Supervisors, Transversal dynamization and synergy management, tools for e-work and work organization, ...)

### Current status

**COMPLETED**

### Remarks 2023

Until 2020, there was a single training plan for faculties and research centres (PF2020). Since 2021, the training needs of researchers and teaching and research staff have been identified separately. As a result, the needs of the faculties and research centres can also be more accurately defined when split apart and training plans can be better adapted to each group. This has led, for the first time, to the creation of a specific training plan for faculties and a specific training plan for research centres. These plans include:

1. Training activities organized and carried out by the UOC's different departments to meet the group's training needs. These activities are organized by the Library, the Doctoral School, R&I, Personnel and Communications.

The training plan for teaching and research staff was defined by a working group made up of the UOC's Personnel department, the deans of the faculties and the heads of the departments that promote internal training for teaching and research staff.

The training plan for researchers was defined by a working group made up of the Personnel department, the directors of the research centres and the heads of the departments that promote internal training for researchers.

2. Cross-disciplinary training and awareness-raising activities: these activities are common to both groups and stem from the university's strategic lines, which affect all staff, and from the training that must be carried out in accordance with legal requirements (e.g. training in compliance, cybersecurity, public procurement, digital disconnection, digital skills and gender equality).

3. Training to develop management skills (research team leadership, the Executive Leadership programme, negotiation skills, thesis supervision training, etc.).

4. Training to meet the specific needs of the faculties and research centres.

The Training Plan for Research Centres and the Training Plan for Faculties have been disseminated, as



detailed in the remarks on Action 20.

The 2021, 2022 and 2023 training plans for researchers and teaching and research staff have been implemented.

The training plan will have to be adapted to the new global policy for teaching and research staff when it is approved.

It is also worth mentioning the implementation of a new corporate learning environment for the entire staff (@AteneaAcademy), a project that accompanies the digital transformation process and the New Way of Working and fulfils one of the actions set out in the Talent Plan (Be UOC) of the university's Strategic Plan 2022-2025.

October 2022 saw the launch of @AteneaAcademy, a new learning management system that has transformed the UOC's corporate learning model by providing a conducive environment for the training and development of internal talent from its staff. This has led to a number of benefits:

- Improved learning process and user experience in a unique environment that ensures content, methodology and assessment methods that meet the user's needs.
- Personalized and self-directed learning based on each user's personal motivations and interests.
- Autonomy to progress at the user's own pace.
- Responsive design, enabling the user to train using any device and whenever they choose.
- Use of new methodologies to enrich learning.
- Systematized learning assessment to provide evidence of the user's achievement of set objectives.
- Optimized, automated training processes at the UOC.
- Comprehensive management of corporate training and the use of data analytics to optimize decision-making and improve training efficiency.

The @AteneaAcademy project will be carried out progressively from 2022 to 2025, in several phases and through the implementation of various training programmes.

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

#### DESCRIPTION

A plan to provide with better specific physical spaces and initiatives to facilitate alliances with different agents will be developed. The plan will specifically consider the need of better interaction between the academic professors and the researchers working at the UOC research centres. An assessment of the current research spaces will also be carried on in order to meet the needs associated with the continuous growth in the number of researchers.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need of specific physical spaces and initiatives to facilitate alliances with different agents and specifically to facilitate the interaction between the academic professors and the researchers working at the UOC research centres. Need of more research spaces because of the continuous growth in the number of researchers.	All (R1-R4)			Q4			

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for Finances and Resources</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Personnel</li> <li>. R&amp;I departament</li> <li>. General Services</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

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

#### Status 2020

Completed

#### Remarks 2020

As mentioned in previous sections, a very important development related to this measure is the acquisition by the UOC during this year of two of two of the three Can Jaumandreu buildings to group together many of the teams that are currently spread around different places in Barcelona and move towards the idea of one day having everyone working together in the same place.

The acquisition of these two buildings has given the UOC more available space and means that it can more easily accommodate the University's expected growth and group together a significant part of its services and teams in one place. This step forward is very important in terms of tackling the weakness that led to this measure being taken.

Some management teams, the faculty and most of the IN3, eHealth Center, eLearn Center and Doctoral School groups – a total of around 800 people – will be moved to this future single campus, consisting of these two new buildings plus the one we currently occupy. Located in Barcelona's leading technology hub, researchers will have optimal conditions for carrying out their activities. Despite this, we will keep hold of our Castelldefels building. The teams that move to 22@ are expected to begin working there in late 2021, as soon as it is possible to fit out the new facilities.

The aim is that, during the 2021/2022 academic year, all the University's academic and research activities should be centralized in this site to promote interdisciplinarity between the teams. Another objective is to strengthen the UOC's role in Barcelona as a creation, connection and dissemination hub that stimulates both research and the creation of spin-offs based on advanced technologies.

We have applied for a ERDF grant within the framework of the call for unique institutional projects that have the power to generate excellent research, attract talent and generate activities for knowledge transfer and valorization through the construction, adaptation or substantial expansion of buildings for R&I infrastructures. The project submitted under the title of "UOC 22@BREATHE", which has been accepted, aims to bring together the UOC's research activities into a single hub of excellence at the 22@ campus.

It should also be mentioned that due to COVID-19, and to ensure the health and safety of UOC workers, the UOC has prioritized 100% remote working until the end of September 2021. However, for those workers (including research staff) who, for whatever reason, need to come into the University's offices to work, spaces have been opened up where they can work on request.

#### Current status

Completed

#### Remarks 2023

No need for remarks - completed.

### New Actions identified for the period 2021 - 2023

The Action Plan 2021-2023 sets out the actions that will be continued from the previous action plan (shown in blue shadow above), and new actions have been identified and defined with the aim of working towards implementation of the HRS4R standards. Continuing with the same methodology that proved to be successful in the initial plan, each action has its own responsible(s) and participant(s) departments, as well as an specific calendar and indicators.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
18	Mobility and research	R&I international talent acquisition policy	18

DESCRIPTION
Define a R&I international talent acquisition policy for hiring international researchers in the form of international teleworking in order to attract international researchers.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
R&I international talent acquisition	All (R1-R4)				Q4		

Responsible(s)	Participant(s)
. Personnel	. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research . Human Resources Department . R&I departament . Legal Department

Indicator(s) Implementation	Indicator(s) Achievement
. Working group meetings . Drafts	. Approval by governing bodies . R&I international talent acquisition policy publication

Status 2020
New action

Current status
Completed

Remarks 2023
<ul style="list-style-type: none"> <li>We are working on the tender for the service to recruit candidates in their country of origin. The current cases have been analysed. That tender was unsuccessful. Work is still ongoing, but as there is a need, a smaller contract will be piloted at source in January 2023.</li> <li>Work has been done on the UOC's research communication sub-plan and the Grants and talent page has been launched as part of the related strategy.</li> <li>A process has been developed to recruit candidates at source, with each case validated by the Executive Board.</li> </ul>

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
19	OTM-R improvement	Continuous improvement of OTM-R principle	12, 13, 14, 15, 16, 17, 18, 21

DESCRIPTION
The OTM-R working group created as a result of action 4 “OTM-R working group” of the Initial Phase action plan, will review the established processes related to Ethical and Professional Aspects, Recruitment and Selection, Working Conditions and Social Security and Training and Development to identify improvements and implementing them.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need to develop a quality control system to ensure that the processes related to the recruitment, training and development of research staff are developed under the OTM-R principles.	All (R1-R4)					Q2	

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Personnel</li> <li>. R&amp;I department</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. Personnel</li> <li>. DORA working group</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> </ul>	<ul style="list-style-type: none"> <li>. Periodic working group meeting reports</li> </ul>

Status 2020
New action

Current status
COMPLETED

**Remarks 2023**

An OTM-R working group was set up in response to Action 4 "OTM-R working group" with the aim of reviewing and defining the UOC's selection and recruitment processes according to the OTM-R principles.

At the same time, the UOC has been working on the implementation of its internal quality assurance system (IQAS). The IQAS establishes the basic principles of quality management, the roles and responsibilities of those involved and the guidelines to be followed in managing the system for quality assurance of the university's academic activities. This system takes a broad process-based approach, focusing primarily on the processes linked to the established Framework for the Validation, Monitoring, Modification and Accreditation of Recognised University Degrees, but also accommodating and integrating any processes that the UOC may identify and develop in the future.

In the context of its global IQAS, the UOC assessed the need to develop a quality control system to ensure that its recruitment, training and development processes for research staff are carried out in accordance with the principles of OTM-R. Two cross-cutting processes have been defined, one for recruitment and induction and one for the training of teaching and research staff. It has also established detailed procedures for the selection and induction of teaching and research staff, and the specific characteristics of selection and induction involving researchers.

Given this comprehensive approach, and with the aim of continuously improving the IQAS, it no longer made sense to maintain the OTM-R working group, since this IQAS process also allows us to determine how to apply the OTM-R principles in our policies, processes and procedures, and to carry out an annual review in order to identify actions that guarantee continuous improvement.

The UOC's Planning and Quality department coordinates the annual review of all documented processes, including the Personnel department's selection and training processes.

In 2023, an IQAS review of the Personnel department's documented processes was initiated in order to further improve the processes of talent recruitment and selection, induction and onboarding, training and assessment, development and recognition.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
20	Training and professional development	Training plan for researchers (communication plan)	30, 38, 39

DESCRIPTION
Communication plan to disseminate the training plan related to the research career

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Convenience of having a specific training plan and training catalogue for researchers that is accessible and known for researchers	All (R1-R4)				Q4		

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Personnel</li> <li>. R&amp;I department</li> <li>. Communications</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for Research and Knowledge Transfer.</li> <li>. Office of the Vice Rector for Research, Knowledge Transfer and Entrepreneurship</li> <li>. Office of the General Manager</li> <li>. UOC HRS4R Implementation and Monitoring Com.</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

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

Status 2020
New action

Current Status
COMPLETED

Remarks 2023
<p>The 2021, 2022 and 2023 training plans for the research centres and faculties have been disseminated through various channels and media:</p> <ul style="list-style-type: none"> <li>- The training plans have been shared directly with the members of the teams for whom they are intended.</li> <li>- They have been disseminated through the services for research catalogue (with the publication of a related</li> </ul>

news item) and through the Training and HRS4R pages on the UOC intranet.

- Since 2021, the research centre training plans have been made available in Catalan, Spanish and English to ensure that everyone can access and understand them. Previously, these plans were only available in Catalan and Spanish, but the research centres identified a need for this information to be available in English as well.

- When a cross-disciplinary training activity open to all UOC staff is offered, a notice is published on the UOC's intranet with the main details, what it will cover and how to register. This notice is also distributed to contacts in the faculties and research centres so that they can pass it on to their teaching and research staff to encourage them to take part in the training activities on offer.

- A specific training section called "Your training" has been added to the weekly newsletter that the UOC sends to its entire staff (The weekly round-up). This section contains a list of all the training activities scheduled for that week. The aim is to strengthen the dissemination achieved through the notice published for each individual training activity and to promote the participation of teaching and research staff in the training opportunities available to them.

As soon as the teaching and research staff policy is approved, a plan for communicating the training plan will be drawn up in line with any changes that may occur.



A.No	FOCUS AREA	TITLE	C&C PRINCIPLES
21	Gender balance and equity	Development and implementation of the actions specific for R&I included in the UOC's Equality Plan	2, 5, 10, 11, 12, 13, 14, 15, 16, 23, 24, 25, 26, 27, 28, 34, 35, 38.

DESCRIPTION
The UOC has engaged in significant efforts within the last period in continuing to work to promote a new Gender Equality Plan in response to a broader regulatory framework than the previous one organized into five backbones: Organization, Communication, Research, Evaluation and Teaching . The Plan addresses important aspects related to the principles of ethics and professionalism of the C&C and has been promoted by the Equality Unit. Through this Gender Equality Plan 2020-2025, the University wants to materialize its commitment to equality and the eradication of violence against women based on its role as a knowledge generator and knowledge spreader.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need for better talent acquisition and development policies specific for research (specific actions for R&I included in the equality plan).	All (R1-R4)						Q4

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for R&amp;I</li> </ul>	<ul style="list-style-type: none"> <li>. R&amp;I department</li> <li>. Personnel, Specialization Centre for Talent &amp; Reference Centre for Research</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> </ul>	<ul style="list-style-type: none"> <li>. Equality plan approved by governing bodies with specific actions for R&amp;I</li> <li>. Publication</li> <li>. Equality plan follow-up reports</li> </ul>

Current status
<b>New action</b> (New Equality Plan being approved)

Current status
<b>Extended</b>

## Remarks 2023

The UOC has an Equality Plan 2020-2024. This plan sets out target actions in four areas (teaching, research, organization and communication).

Below are the main actions of the Equality Plan that have been completed in the area of organization:

- A salary audit has been carried out.
- A specific plan has been drawn up to train staff on the Equality Plan.
- Gender equality awareness training has been provided to the entire staff and specifically to management.
- A needs assessment has been carried out to ensure the right to diversity on the grounds of sex, gender identity or expression, and sexual orientation.
- Guides on remote working and responsible work-life balance have been developed.
- An amendment was made to the Code of Ethics: a specific point on non-sexist written and audiovisual language has been added.
- The Equality Unit is more firmly established (rules and members).
- The Library has created a UOC Equality Unit collection.
- Information on the gender perspective was disseminated during the COVID-19 pandemic.
- A gender-sensitive psychosocial risk assessment has been carried out. Awareness-raising and training activities in this regard have been expanded.
- Regulations and a protocol for the prevention, detection, handling and resolution of cases of sexual harassment have been developed, and related training and communication activities have been carried out.

The following actions are currently under way:

- The report assessing the suitability of the work-life balance measures adopted at the UOC has been completed. The results of the report will be compared against the qualitative data from the climate survey, and communication efforts will be undertaken to highlight the findings.
- The lines of action to reduce horizontal and vertical segregation in selection and promotion processes are being defined: A working group has been set up to analyse the data from the 2021 and 2022 salary records and to review the related criteria and policies. Data from 2023 will show if there are any specific trends. Work is also under way to define a gender-sensitive promotion process and related policies.
- An action plan is being developed to rectify cases of pay inequality: Current actions focus on criteria related to promotions, selection processes and work-life balance policies. As we have said, these actions are ongoing. However, several reports have now been finalized (salary audit and records, work-life balance and promotions report), bringing us closer to some initial conclusions.
- The gender reassignment protocol has been defined and data have been collected on forms.
- A gender-sensitive physical space policy has been developed.
- A review of the gender perspective in selection processes has been carried out and guidelines for the recruitment of underrepresented genders have been developed.
- The induction website has been reviewed to ensure that it reflects the gender perspective.
- 

Below are the main actions of the Equality Plan that have been completed in the area of research:

- Actions to promote gender equality: organization mapping, identification of bodies and their composition, bias analyses, creation of an infographic with the results of the analysis of the composition and access criteria of the R&I governance bodies, and another infographic with the conclusions and recommendations of the working group to promote gender parity at the UOC. The gender perspective has also been integrated into all the research plans of the centres and faculties.

- Actions to promote and highlight gender equality in research and knowledge transfer content: model texts for the inclusion of a gender perspective in competitive calls for proposals, identification of research groups and researchers working on gender issues, gender analysis of the open access digital journals promoted by the UOC (report analysing authorship by gender [published infographic] and recognition by the Spanish Foundation for Science and Technology [FECYT] for good editorial practices in gender equality), organization of the 8M conference on women and research, and workshops with GENTIC and INSPIRE to identify the knowledge generated at the UOC on gender issues and how to transform it into actions to improve internal policies.
- Activities to promote gender equality in entrepreneurship promotion programmes: creation of the training course *Emprender con perspectiva de género* (Entrepreneurship with a gender perspective), creation of materials for Hubbik training courses and communication materials, efforts to identify and highlight materials that raise awareness of the gender perspective in entrepreneurship, gender-sensitive messages in the discussion forum of the virtual incubator (10 messages as of October 2023, representing 19% of the messages in the incubator), gender mainstreaming in the drafting of contracts and agreements.

Actions that span the life of the Equality Plan:

- Coordination of the Equality Plan.
- Actions to raise awareness of the Equality Unit.
- Participation in networks, meetings and congresses in different gender-related fields and universities.
- Salary record: the first record has been created and is still in progress, as we will be updating it regularly.
- Actions resulting from the internal awareness-raising strategy to promote and support gender equality at the UOC.
- Gender perspective training for UOC staff throughout the plan.
- Efforts will continue to implement the actions set out in the Equality Plan. A legally required review of the plan will take place in mid-2024.

Regarding R/A 1.2.2 of the UOC's Equality Plan, several actions are currently under way: - A work-life balance report has been prepared (including all measures and policies) and a staff communication plan is being developed in collaboration with Communications.

Although no specific communication is being prepared for researchers, in recent years reminders have been sent out during holiday periods to ensure that they enter their time off in the Personal Affairs site.

- We are looking into the possibility of including more questions on work-life balance in the climate survey. This would give us some insight into what researchers think so that we can implement more specific measures for them, although the work-life balance policy must be fair to all groups.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
22	4. Talent acquisition and development	Policy for attracting R&I talent through competitive proposals, adapted to the research groups' own research plans.	12, 13, 18, 27, 28, 29, 38, 39

DESCRIPTION
<p>Talent acquisition is one of the UOC's strategic priorities, at the same time, and given the continuous growing of UOC's R&amp;I, it is clear that the university is becoming increasingly attractive. On the other hand, most research groups are interested in making the most of the possibilities offered by competitive calls for talent recruitment, either through specific national and international HR calls or through the inclusion of R&amp;I costs in their project budget proposals. However, despite the successful implementation of different recruitment initiatives, there was not a specific plan for this purpose. Within the framework of this action, a specific recruitment plan for R&amp;I talent acquisition through competitive research proposals will be developed specifically shaped taking into account the different research groups. The plan will be jointly developed by the R&amp;I Funding Unit at the Research and Innovation Area, the Scientific Management Unit and the People Development Unit at the Human Resources and People Development Office. The following sub-actions will be carried out under this action:</p> <ul style="list-style-type: none"> <li>. Analysis and promotion of participation in proposals to attract talent made or raised by UOCs own staff</li> <li>. Specific web section for attracting talent though R&amp;I competitive calls. Even though, R&amp;I has a prominent presence on the UOC's website, to date no specific web site section has been designed in order to attract talent taking advantage of competitive calls.</li> </ul>

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Not enough international recruitment Talent acquisition and development initiatives specific for research	All (R1-R4)					Q1	

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. R&amp;I department</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Library Office</li> <li>. Scientific Management Unit</li> <li>. Communications</li> <li>. Research Communication Committee</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> <li>. Drafts of the plan and website section</li> </ul>	<ul style="list-style-type: none"> <li>. Plan finalized</li> <li>. Web section published and maintained</li> </ul>

Status 2020
New action

Current status
Completed

**Remarks 2023**

The action has been completed and a web page has been set up with information on competitive calls for proposals according to the stage of the individual's research career.

Support has also been provided for the dissemination and management of proposals in specific calls to attract talent. For example, UOC researchers and groups have taken part in regional, national and European calls to attract talent. These include the AGAUR Industrial Doctorates, FI - Joan Oró, FI - SDUR, FPI, FPU, Juan de la Cierva, Ramón y Cajal, Beatriu de Pinós, MSCA - Individual Fellowship and ICREA Senior.

Seminars have been organized to raise awareness of different opportunities for attracting talent, as well as research career opportunities at different career stages. These began as specific actions at the request of some researchers, but as of 2023 will be included in the UOC's training plans.

However, we still need to define the internal rules for managing competitive calls for talent that require funding from the institution and are therefore limited in terms of the number of people who can be recruited. This is included in the new action plan.

In order to provide tailored support to research groups based on their own research plans, cross-disciplinary working groups have been set up by subject area. These groups are made up of the various people from R&I who support research (pre-award and post-award managers, acquisition managers, knowledge transfer managers, financial managers). This has led to the establishment of working guidelines with the research groups in each area, through follow-up meetings where the groups were able to express their interests. Working in groups has also served to strengthen the links between the R&I units and to establish communication flows between the members of each group.

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

DESCRIPTION
<p>In 2018, as a result of one of the most important actions of the HRS4R Prior Action Plan, a website was created where all the tools and resources that the UOC makes available to researchers can be found. The Catalog of services for research is a dynamic site with periodic updating, as it incorporates the new services that the University can offer, based on the demands arising from the strategic research plans of the studies, the research centers. and the research staff's own needs.</p> <p>A dynamic design that allows access, with one click, to information and services for the search for funding, ethics and data protection, the exploitation of results and the creation of companies, project management -including the execution of expenditure and the hiring of staff, the digital identity, the publication in open access or the deposit in the O2 UOC repository.</p> <p>The catalog will be expanded periodically with more information and content that responds to both the current internal regulations deployed in the strategic plan and the external regulations that apply to us as a university.</p>

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Information is scattered amongst several documents and intranet pages and workers are not always familiar with the rules, procedures actions and services available.	All (R1-R4)					Q2	

Responsible(s)	Participant(s)
. R&I department	<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. Personnel</li> <li>. Research Innovation Committee</li> <li>. Library</li> <li>. Ethics Committee</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Working group meetings</li> <li>. Drafts of new contents</li> <li>. Continuous maintenance</li> </ul>	<ul style="list-style-type: none"> <li>. Publication of new contents</li> <li>. Visits to the dedicated webpage</li> </ul>

Status 2020
New action

**Current status****completed****Remarks 2023**

As a result of developments in our activities and changes to certain procedures following calls for tender, new services have been added and other existing services have been revised and explained in more detail. The actions taken are detailed below:

- The **R&I Indicators and Data** service was updated to include a request form and information on the procedure.
- The **Research Procurement Management** service was updated. Information on the new tendering procedure for technological equipment was added.
- The strategic **Ethics and Data Protection** service was updated to include the self-assessment form and several FAQs.
- The **Research Data Management** service was updated. Advice, support and guidance on the publication, dissemination and reuse of research data were updated to include the choice of repository in which to publish data and publication in CORA.
- The **R&I Indicators and Data** service was updated again.
- The **Definition, Creation and Monitoring of Chairs** service was added, along with seven FAQs. This service is provided by Corporate Development (B2B) and the Office of the Vice Rector.
- The strategic Training Actions service was added. It is offered by several UOC departments and fulfils Action 16 of the HRS4R.
- The content of some services was updated as a result of legislative changes affecting them, and the content of some of the services currently offered was extended.

All the information is available on the UOC intranet [here](#).

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
24	10. Research environment	UOC Hub de Recerca at 22@.	23, 24

DESCRIPTION
<p>Within the framework of the UOC's commitment to the promotion of research excellence and our institution's firm commitment to becoming an open knowledge node that responds to current social challenges, the UOC Hub de Recerca at 22@.project aims at, creating an international reference Hub for open research, responsible and committed to the 2030 Agenda. The creation of this hub will bring together the different UOC research centers and groups, and provide them with a set of key and pioneering infrastructures in Catalonia to face the challenges of 21st century society, as identified in Horizon Europe, in the National Pact for Research and Innovation (PNRI) and in the smart specialization strategy in research and innovation in Catalonia (RIS3CAT):</p> <p>The following R&amp;D laboratories will be included in this Research Hub: UOC Cognitive NeuroLab (UOCN): research space in the field of neuropsychology and cognitive neuroscience; UOC Labs (UOCL): spaces for experimentation (physical laboratories, as well as providing remote access), instruments, software, hardware and the necessary technological support for researchers, professors and students; UOC DataScienceLAB (UOCD): space for the management and extraction of knowledge of large volumes of data, taking care of all phases of the data life cycle; UOC MediaLAB (UOCM): a space open to research, transfer and experimentation in specific forms of digital communication, design and culture.</p> <p>The UOC Hub de Recerca at 22@ aims at achieving a quantitative and qualitative leap in R&amp;D and transfer activity through:</p> <ul style="list-style-type: none"> <li>• A pursuit of excellence that focuses on the needs of society.</li> <li>• Empowerment of current lines of research and innovation and development of new lines according to the challenges of society.</li> <li>• Strengthening links with the different stakeholders and policy makers in the city.</li> <li>• Empowerment of scientific communication activity, opening the space to the public to raise awareness about the relevance of scientific activity.</li> <li>• Promotion of public engagement through participatory research in a two-way way with various actors and groups in society to facilitate dialogue, co-creation and the exchange of knowledge.</li> <li>• Entrepreneurship support. Through its own tools such as Hubbik, a specific program to support entrepreneurial projects, as well as with Invergy, an investment company.</li> </ul>

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need of specific physical spaces and initiatives to facilitate alliances with different agents and specifically to facilitate the interaction between the academic professors and the researchers working at the UOC research centres. Need for more research spaces because of the continuous growth in the number of researchers.	All (R1-R4)						Q4

Responsible(s)	Participant(s)
. Office of the Deputy General Manager for R&I . Office of the Vice President for Strategic Planning and Research	. General Services . Office of the Deputy General Manager for Finances and Resources . R&I department . UOC HRS4R Implementation and Monitoring Committee



	. UOC HRS4R Advisory and Working Group
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Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Communication actions	. Project actions achieved . Buildings in operation

<b>Current status</b>
<b>New action</b>

<b>Current status</b>
<b>Completed</b>

<b>Remarks 2023</b>
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The R&I Hub was [inaugurated](#) in October 2022 and is now up and running.

The four-storey building, located at Rambla del Poblenou 154, was renovated with co-funding from the Government of Catalonia, which granted €1.25 million as part of a call for unique institutional R&D infrastructure projects from European funds. The facility is already home to the Interdisciplinary Internet Institute (IN3), the eHealth Center (eHC), the eLearning Research Programme (eLR), the Doctoral School, the Hubbik entrepreneurship and open innovation platform and the research administrative staff. The approximately 600 people who will work there also have access to UOC Labs, an ecosystem of nine laboratories for conducting experiments and delivering cross-disciplinary and specialized services, including virtual reality, neurostimulation, social experimentation, 3D manufacturing, audiovisual innovation, data architecture and cyber-physical systems.

In this new space, we will foster excellent interdisciplinary, cutting-edge research to deliver solutions in three key global areas where we have recognized expertise: e-learning, e-health and the network society.

A coordinator has been appointed to oversee the hub as a whole and to coordinate and promote its activities. This coordinator meets regularly with the representatives of the Event Coordination and Protocol Office and Transversal Services to keep track of the research activities planned and to be planned, in order to avoid scheduling conflicts and to maintain a 360° view of the research activities taking place there. In addition, at the request of the Hub's Scientific Committee, the Executive Committee for the Promotion of the UOC R&I Hub has been set up.

The main objective of this committee is to define lines of action to promote interdisciplinary efforts among UOC researchers and to create synergies between them, as well as to streamline the internal and external channels for disseminating the events held at the Hub. One of the committee's first actions was to analyse the factors that were hindering or facilitating its efforts to promote the events taking place there, and to identify ways in which these efforts could be improved. Its future objective will be to encourage public participation in research activities. This objective falls within the UOC Insight area of the Strategic Plan 2022-2025, in the Research Ecosystem Governance Plan, which includes the following actions: structuring the governance of the ecosystem and promoting the R&I Hub, fostering scientific communication, increasing the professionalism of support for research activities and establishing coordination and management mechanisms for the experimental laboratories. All this with the overriding aim of promoting high-quality, transformative research.

The implementation of the Research Ecosystem Governance Plan is included in the new Hub-related activity set out in the new HRS4R plan.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
25	Assessment of competencies and skills of the research career	Assess the competencies of the research career to continue developing the competency profile	11, 12, 14, 15, 17, 18, 21, 22, 25, 26, 28, 29, 30, 31, 33, 38

DESCRIPTION
Analysis of the feasibility of the UOC's (People Review) performance appraisal process for assessing and monitoring competencies and establishing a development plan for competency improvement.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Need to assess the competencies and skills of the research career to further improve competency development	All (R1-R4)						Q1

Responsible(s)	Participant(s)
<ul style="list-style-type: none"> <li>. Office of the Vice President for Strategic Planning and Research</li> <li>. Office of the Deputy General Manager for R&amp;I</li> <li>. Personnel</li> </ul>	<ul style="list-style-type: none"> <li>. Office of the Deputy General Manager for Finances and Resources</li> <li>. R&amp;I department</li> <li>. UOC HRS4R Implementation and Monitoring Committee</li> <li>. UOC HRS4R Advisory and Working Group</li> </ul>

Indicator(s) Implementation	Indicator(s) Achievement
<ul style="list-style-type: none"> <li>. Inclusion in the Strategic Plan</li> <li>. Working group meetings</li> <li>. Drafts</li> </ul>	<ul style="list-style-type: none"> <li>. Review of the People Review approved by governing bodies</li> <li>. Publication</li> </ul>

Current 2020
New action

Current status
Completed

Remarks 2023
<p>Until 2022, the People Review performance appraisal process for UOC teaching and research staff was carried out annually. This process had several weaknesses that led to a model redesign: (1) the appraisers invested a lot of time in a given period, especially for teams as large as those making up the UOC's faculties; (2) difficulties in assessing competencies (the how) because the faculty deans were not involved in the day-to-day work of teaching and research staff; (3) staff are unlikely to improve their competencies within a year; and (4) this group was over-assessed, leading to dissatisfaction on both sides.</p>

With this in mind, the performance appraisal system for this group was reviewed and a working group was set up, consisting at the time of members of the Office of the Vice Rector, the deans of the faculties, the directors of the research centres and the Personnel department. The aim was to review the People Review performance appraisal process for teaching and research staff and full-time researchers in order to adapt it to the needs of these groups.

This eventually resulted in a model based on individual goal-setting, with five categories of shared goals for the faculties and research centres. One of these goals is Personal Development, where competencies are taken into account and the appraisal interview is still used.

In this interview, the appraiser and appraisee can discuss any changes or developments in the latter's contribution to the UOC. The aim is to build on the person's strengths and explore areas for improvement. Based on this interview and the opinions exchanged, the two parties agree on an action plan to facilitate the staff member's development.

In this new approach, the assessment of objectives (the what) and competencies (the how) are brought together in a single process, and the improvement of competencies (the action plan for competency development) is built into the objectives. The what and the how are both relevant to the professional development of all teaching and research staff.

In addition, the entire management team is more clearly involved in the process. Appraisal interviews with faculty associate deans are explicitly encouraged to set and review their goals. This annual interview is more focused and goal-oriented.

It allows for a performance-based assessment of the teaching staff's contribution to the faculties (a key issue in the context of the New Way of Working).

In this way, it simplifies and reduces the appraisal processes for teaching and research staff, while at the same time making it easier to monitor them throughout the year, with a set timetable and dates for tracking goals. This in turn facilitates the individual's competency development.

A.No.	FOCUS AREA	TITLE	C&C PRINCIPLES
26	5. Improve Welcome Process	Expansion and improvement welcome Service and welcome pack	2, 3, 4, 7, 32

DESCRIPTION
Many actions have been implemented related to welcome process and welcome package, and that actions have to be review and updated to adapt them to new researchers' needs.

TARGETED WEAKNESS	TR	Only for previous actions			Only for active & new actions		
		18	19	20	21	22	23
Continuous improvement/ maintenance of welcome proces and welcome package	All (R1-R4)					Q2	

Responsible(s)	Participant(s)
. Personnel	. Office of the Vice President for Strategic Planning and Research . Office of the Deputy General Manager for R&I . Office of the Deputy General Manager for Finances and Resources . R&I department . UOC HRS4R Implementation and Monitoring Committee . UOC HRS4R Advisory and Working Group

Indicator(s) Implementation	Indicator(s) Achievement
. Inclusion in the Strategic Plan . Working group meetings . Draft	. Approval by governing bodies . Publication . Visits to the dedicated webpage

Status 2020
New action

Current status
COMPLETED

Remarks 2023
<p>In recent years, induction has become an essential process that starts before recruitment, during the talent attraction process, and continues for up to twelve months after joining the organization.</p> <p>The formal induction process is now a multidimensional programme covering:</p> <ul style="list-style-type: none"> <li>- The context of the institution;</li> </ul>

- Integration into its culture; and
- Specific aspects of the person's position.

Induction tutors and managers are actively involved in inspiring new recruits from the outset and helping them to understand the organization's overall mission and purpose.

In the 2021 climate survey, the level of satisfaction with the induction process was considerable (6.9 out of 10 on average), bearing in mind that everyone gives their opinion, whether they are familiar with the process or not.

However, the UOC is currently adapting the induction process to its new working model, in order to accommodate the new present and future, with a particular focus on:

- Providing new recruits with tools and resources for agile integration.
- Improving the retention of new recruits.
- Offering a flexible process, with hybrid methods adapted to workers' different situations and conditions.
- Providing management and teams with the tools and resources to recruit effectively and equitably.

In 2021, we carried out a user experience study to identify the improvements to be made to the new induction process.

The Induction Journey project analysed the induction process of the administrative, research, academic and management teams and, based on this analysis, defined five paths adapted to each group at the university:

1. Administrative staff
2. Management staff
3. Teaching and research staff
4. Researchers
5. Temporary staff and interns

The following improvements were identified and worked on in 2023 and will be implemented during the first quarter of 2024:

- Adaptation of welcome communications (welcome email from the induction tutor and final terms email templates from the Personnel department to the new recruit).
- Infographic of the induction plan by segment.
- Infographic of benefits, types of training and other working conditions for new recruits by profile.
- Welcome pack for new staff.
- Institutional research welcome.
- Face-to-face meeting on the first day of induction.
- Induction training pathway in the @AteneaAcademy environment for new recruits.
- Centralization of the induction calendar in the first-year tutor.
- Induction guides for deans and directors, defining their role as managers of new recruits.

Specific improvements were also developed for teaching and research staff. This led to the first institutional welcome to the UOC's R&I ecosystem for the research community in November 2023. This welcome event featured:

- An introduction to the UOC's research and knowledge transfer ecosystem;
- A presentation on the Personnel department and its Human Resources Strategy for Researchers (HRS4R);
- A presentation on the available research support services;
- A presentation on open science; and
- Insights from UOC researchers.



\*Action 27 was initially added and launched, but due to the change in leadership, will be included in the new action plan for 2024-2026.

This extended version of the reviewed HR Strategy for the next 3 years, including the OTM-R has been published on our organization's website.

Link to the dedicated webpage(s) on our organization's web site:

**OTM-R 2021-2023.**

### **Comments on the implementation of the OTM-R principles (Initial Phase)**

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

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

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

All our recruitment processes use a Web-based tool to avoid discriminating against candidates based on their geographical location and/or financial means. All employment offers are published on UOC's website and on EURAXESS in English with a minimum application period of 15 days.

Although faculty, administrative staff and research staff are all considered members of the team of UOC employees, a distinction must be made in the selection processes for each profile given that, in addition to the fact that different agents are involved, there are differences in the respective selection stages. The policy includes specific guidelines for the recruitment of research staff. However, the policy does not specifically address the four broad career profiles for researchers (R1, R2, R3 and R4) and all the elements detailed in the toolkit. A working group will be established as detailed in the actions that will be developed in order to make sure that the current policy is reviewed and implemented considering the Toolkit.

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

### **Comments on the implementation of the OTM-R principles (Internal Review for interim Assessment)**

Therefore, the UOC currently applies an OTM-R policy following and continuously upholding the principles of openness, transparency, and merit (see OTM-R checklist). The general goal pursued by the UOC's selection policy is to guarantee the best possible match between the person and the job, and endow the institution, in a reasonable amount of time, with professionals who are optimally matched to the specific need defined and the vacancy to be filled, proceeding in such a manner as to assure the process's quality and validity. All selection processes are based on criteria of equality, objectivity and confidentiality, on the assessment of professional skills and on the suitability of the candidate to the vacant post based on parameters regarding skills, aptitudes, abilities and attitudes, all assessed objectively. The processes are transparent and ensure equal opportunities, without taking into account reasons of gender, ideology, beliefs, ethnicity, religion or other forms of direct or indirect discrimination. Another goal of the selection policy is to preserve the personal data used in all stages of the process. The UOC aims to be a leading institution in the field of diversity. This means that in certain selection processes, preference is given to those who may be at risk of social exclusion.

All our recruitment processes use a Web-based tool to avoid discriminating against candidates based on their geographical location and/or financial means. All employment offers are published on the UOC's website and on EURAXESS in English and with a minimum application period of 15 days in the majority of the cases.

Although faculty, administrative staff and research staff are all considered members of the team of UOC employees, a distinction must be made in the selection processes for each profile given that, in addition to the fact that different agents are involved, there are differences in the respective selection stages. Training on OTM-R is provided to all those who are involved in the recruitment process.

The UOC has reviewed and updated its personnel selection policy and this has been published openly on the transparency portal. Furthermore, a procedure has been drawn up for the selection of researchers for projects, which is published on the UOC Intranet.

The UOC has also defined its employer branding strategy and has created a careers website that has helped to attract foreign research talent.

Job offers for research staff are published openly and transparently on the University website. It should also be mentioned that the UOC has increased the number of channels through which it advertises its job offers (EURAXESS, Academic Positions and ResearchGate).

The UOC is working on a new system for allowing candidates to apply to the job offers on its careers website, with the aim of making job offers easier to access and improving the experience of candidates during the application and selection process.

As regards the development of research staff, together with FECYT-EURAXESS, the UOC forms part of the Odisea project for the development of research careers, and in December 2020 a pilot will be launched. It has also been working on its Training and Development Plan for research staff, to which different areas of the University are contributing.

The UOC has an achievement assessment system which is applied to some of its research staff, and it is currently studying the possibility of including all staff and adjusting it to the R levels.

Lastly, it should be mentioned that the UOC has created a working team that is reviewing the different processes in which research staff are involved during their careers at the UOC so as to introduce pertinent improvements.

### **Comments on the implementation of the OTM-R principles (Internal Review for Award Renewal)**

With regard to the implementation of the OTM-R principles, the UOC has included several improvements:

-The new OTM-R Checklist for the 2021-2023 Action Plan has been added.

-In order to make the UOC's research staff and teaching and research staff aware of the OTM-R principles and how the UOC integrates them into the various processes related to research staff (specifically in relation to attracting, selecting and welcoming research staff), an action plan with various improvements was designed and drawn up.

- Communication of the OTM-R principles to the research staff involved in recruitment processes. From the moment the recruitment process starts with a person's application to join your research team, you have the summary explanation of the OTM-R principles on the personnel recruitment application sheet itself.

-In the briefing provided by the recruitment specialist and the HRBP with the lead researcher or by the



HRBP with the Doctoral School in the case of pre-doctoral students or with the faculties in the case of post-docs, the people responsible who will be involved in the decision of which candidate to accept are also reminded that this must be based on the OTM-R principles.

-With regard to provide attractive working conditions for researches, the criteria for open working have been recently reviewed to adjust them to the university's current circumstances. The working model is based on three principles: 1) autonomy in the choice of job, but taking into account the teams' agreements regarding on-site work, 2) flexible working hours and 3) equal opportunities in relation to access to resources and people, the amount of teleworking and the degree of flexibility in working hours. The percentage must be agreed with the party responsible; teleworking is reversible and voluntary; compensation for expenses will be paid if the percentage of teleworking exceeds 30%. With regard to research staff, an itinerary for hiring international researchers with teleworking has been drawn up and will be validated by the Executive Board individually on a case-by-case basis.

-In parallel with the creation of the OTM-R working group, the UOC worked on implementing the Internal Quality Assurance System (IQAS). The IQAS establishes the basic principles of quality management, the functions, responsibilities and guidelines to be followed in the management of the quality system of the university's academic activity.

-The creation of the new selection tool, Selendalia, has improved usability for external candidates and the Personnel department:

- 1) This tool has made possible to improve the experience of candidates interested in our vacancies, facilitate their registration and simplify the communication process with each candidate throughout the process until it is closed. In addition, candidates who have any questions about the process can also submit their queries by sending an email to [seleccio@uoc.edu](mailto:seleccio@uoc.edu), from where they will receive an answer.
- 2) This tool, makes it possible to fully manage all selection processes from a single tool.
- 3) In all the selection processes, the objective reason for rejecting each candidate is entered in the Selendalia selection tool. The rejected candidates who participated in the process will be given this reason.
- 4) The agility of the new selection tool allows candidates interested in any selection process to easily carry out these administrative registration procedures.
- 5) All candidates who submit an application are informed of its status according to the phase of the process they have reached. Specifically, it is the staff of the Personnel department who inform them of: the status of their application and the date and time of interviews with the Personnel department and the specialist department, research group or faculty. And, in their candidate space, they can monitor their application, knowing at all times if it has been rejected, it is still in process or they have reached the final phase.

-The UOC continues to publish its job offers without any information that could lead to indirect discrimination in the recruitment process. Furthermore, the UOC has implemented a disability services training plan addressed to Personnel members involved in selection processes. Moreover, In the following phases of the selection process, we also mention that the UOC has an Equality Plan.

-A job description template has been created for the publication and dissemination of job offers for

teaching and research staff in the Join our team section, EURAXESS and other sources if deemed necessary, explaining in the description of each offer that the OTM-R principles apply to all selection processes and providing details of all necessary objective requirements that candidates must meet in order to be eligible for the vacancy.

-The selection process is well-defined and well-structured in terms of its phases and the people involved. With regard to the composition of the selection process, its participants are: the Personnel department specialist who publishes the vacancy, makes the curricular choice, carries out the telephone interview and the first online/face-to-face interview, prepares the report and gives feedback to participants; the relevant person of the Personnel department for the department, research group or faculty with the need to hire; and the manager of the team that the person will join, the lead researcher of the research group or director of the faculty; or other professionals of the group to be joined by the selected person who are specialists in the field.

Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the award renewal phase. The extended version of the reviewed HR strategy including the OTM-R policy and actions should be published on your organisation's website.

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

##### General overview of the implementation process:

The implementation of the HRS4R Action Plan constitutes one of the strategic objectives of the UOC and has been fundamental for [its Research consolidated growth](#).

Since the [presentation of the HRS4R Action Plan](#) (March 2018) and its [approval](#) (October 2018), the UOC's research staff has grown by 16,2%. At the same time, the current annual external funding received for research doubles the 2014 figures and, according to the [CYD ranking](#), the UOC leads the field in research by online universities. As an illustration of the **growth experienced in the last years**, the University's Research and Innovation staff has increased **from 387 professionals in 2014 to 479 last year, giving a growth rate over 24%**. Many of these researchers work in the [research groups](#) within the faculties or the Internet Interdisciplinary Institute ([IN3](#)). Of the 45 research groups existing in 2018, 42 were recognized by the Government of Catalonia in its research group support (SGR) call, compared with 26 out of 46 in 2014. At the end of 2020 the number of groups has increased to 50. In addition, the number of chairs has increased from four in 2014 to seven in 2019.

The increase in R&I activity at UOC has been linked to an institutional **redesign and reorganization, as well as the strengthening of research support structures**. Said restructuring and reinforcement have been accompanied by a change in the governance and organizational structure of the university through which the **R&I activity has been reinforced** since the four main lines of activity of the university have been placed at the same level: regulated university training, tailor-made training for companies, non-regulated training and R&I.

Thus, since the beginning of 2019, the UOC has **strengthened its R&I activity** through a new **Office of the Deputy General Manager (Research and Innovation)**, whose main objective is that the entire organization is oriented towards promoting and responding to the needs of the R&I activity. Within this framework, the UOC has a comprehensive management model for R&I activity that depends structurally on the Vice-Management for Research and Innovation and has, among other objectives, the design and implementation of top-quality services for maintain growth and sustain the important effort that the University has been making in recent years in order to promote the participation of UOC researchers in research projects, especially European ones, as well as to deploy the necessary structure to maximize the development of an R&I aligned with the challenges and objectives of Horizon Europe.

Whilst research at UOC is growing and evolving the University continues acquiring a strong reputation for research. New research activities driven by the research and academic personnel are highly encouraged

while research staff is continuously increasing in number and quality. With internationalization at the core of UOCs current mission, the implementation of HRS4R is timely and a priority. With this in mind, the HRS4R process at UOC is carried out under an inclusive and active-participatory approach, involving the whole research community and with the following main objectives:

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

Since its creation UOC strongly believes that the quality and professionalism of its staff is its main value and, with this in mind, the University is continuously willing to implement its Human Resources practices and policies in order to maintain the best possible quality work and commitment of its staff with the institution. For the development of the HRS4R process, a 360° internal analysis with participation of the whole research community regardless its position or seniority was carried out.

After the analysis, the UOC HRS4R Action Plan design included a carefully designed implementation methodology in order to secure the performance and application of the Plan. In this sense, for each of the actions indicator(s) of implementation and achievement were initially identified, together with the designation of the specific responsible(s) departments and participant(s) in charge of each of the actions deployment.

The UOC HRS4R Implementation and Monitoring Committee is in charge of internally monitoring the development and compliance of the Action Plan. The UOC HRS4R Advisory and Working Group is responsible for providing advice and support in the implementation of the process and the Steering Committee leads the process (see members here).

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

Communication efforts are done in order to keep gaining awareness from all UOCs staff. A specific webpage section is maintained with all HRS4R related documentation.

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

The monitoring procedure includes the review of:

- Monitoring meetings with people in charge of the actions.
- Assessment reports prepared by the UOC HRS4R Implementation and Monitoring Committee. The UOC HRS4R Advisory and Working Group will take part and assess the progress.
- The Steering Committee is regularly updated about the progress, at least once every four months.

The action plan is fully aligned with the UOC Strategic Plan to the point that all the actions have been included as Strategic Plan actions.

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

The community is involved through both electronic communications (emails, newsletters, etc.) and HRS4R-specific information on the website, the welcome website for researchers, the Services for research catalogue.

With these actions, the research community becomes aware that HRS4R is a strategic commitment that involves all stakeholders that take part in the research activities of the University.

## How have you prepared the internal review?

As already highlighted, the UOC HRS4R Implementation and Monitoring Committee is in charge of internally monitoring the development of and compliance with the action plan. The UOC HRS4R Advisory and Working Group is responsible for providing advice and support in the implementation of the process, and the Steering Committee leads the process ([see members here](#)).

These three committees successfully worked together in the development of the Gap Analysis and Action Plan and their role in the execution of the Action Plan was and is essential in ensuring that the whole research community, the governing bodies, all management departments and administrative and services staff are involved in its implementation. Further details on the process are shown here.

Specifically, for the preparation of the internal review, the UOC HRS4R Implementation and Monitoring Committee conducted an exhaustive review of all the actions implemented as well as any additional related initiatives that have been carried out. This review included an evaluation of the actions that are considered to have been completed and those that still need to be worked on in the next action plan. Other additional actions have also been identified, to be taken into consideration for the Action Plan, 2021-2023 that are important in terms of continuing to make improvements for researchers within the framework of the HRS4R.

After this initial evaluation, the results were shared with the UOC HRS4R Advisory and Working Group responsible for providing advice and support in the implementation of the process, to keep them up to date with the process and to obtain their feedback as well as information on additional aspects to be taken into consideration in the Action Plan 2021-2023.

Finally, the results were shared with the Steering Committee, which is the maximum body responsible for evaluation and for the implemented action plan, which it reviews and validates, completing the evaluation of the actions that need to be continued and the new actions to be included for the period 2021-2023.

Workshops were held in May 2023 to report on the assessment of the Action Plan 2021-2023 and to start a working proposal for the preparation of the new action plan for 2024-2026. Before June, a survey was sent out asking about the status of the actions and their degree of implementation and performance.

The Implementation and Monitoring Committee (IMC) reported to the Advisory Working Group, the CRIT and the Steering Committee on the overall status of the Action Plan 2021-2023, indicating the current status of the actions in the areas of Talent Attraction, Training and Development, Research Staff Policy, Equality Plan, and Plagiarism Detection.

Regarding the Action Plan 2024-2026, the IMC also explained to the Advisory Working Group, the CRIT and the Steering Committee the renewal phase of the accreditation and the working proposal for the development of the new plan.

The first phase of the new action plan was a survey of the entire UOC research community and administrative staff to find out their perceptions of HRS4R.

The second phase was a face-to-face workshop to further explore the strengths and areas for improvement of the Charter & Code principles, with the aim of compiling and defining a proposal for specific actions to be included in the Action Plan 2024-2026, to be validated by the Research Committee and the Executive Board in early 2024.

The IMC's first action in relation to the workshop was to send the participation email to the 45 members of the AWC, with instructions, relevant background information and recommendations on how to achieve the programmed objectives.

The second step was to explain the workshop. This included a general introduction, a specific introduction to the current HRS4R phase, an explanation of the objectives of the meeting and an explanation of the main objectives of the workshop. The workshop lasted three hours plus the time needed to prepare the

activity (between thirty minutes and one hour). Participants were given the opportunity to sign up for two sessions, on 5 and 9 October 2023. A number of ideas were collected that did not come out of the workshop itself because some people were unable to attend.

Four working groups were formed, made up of members of the AWG, the Research Committee, the UOC spin-off and the Equality, Economics and Legal Unit.

In terms of activities, each group had to work on a section of the C&C (ethical and professional aspects, recruitment and selection, working conditions and social security, and training and development), identifying strengths and areas for improvement, and ending with a presentation to all participants and in drawing up the proposal for the new Action Plan.

The final phase of the workshop was to provide information on the next steps to continue with the development of the Action Plan 2024-2026, its presentation to the research community, governing bodies and administrative departments, and its final approval by the Committee of Experts. The proposal drafted by the AWG was approved by the CRiT and the Steering Committee on 19 February 2024.

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

Thanks to the HRS4R process, a 360° internal analysis with the participation of the whole research community, regardless of its position or seniority, was carried out. For the preparation of the initial Gap Analysis and Action Plan, this participatory process was of tremendous help, allowing us to better analyse, prioritize and identify areas for improvement. The results of the consultation, gathered through six workshops and a survey, as well as the internal analysis of policies and regulations and the working group meetings were all fundamental to the action plan's design and follow up.

With this information, the UOC HRS4R Implementation and Monitoring Committee, the UOC HRS4R Advisory and Working Group and the Steering Committee have elaborated the internal review and defined the implemented action plan with new actions for the next 3 years.

Apart from the six above-mentioned workshops, we also held two additional workshops specifically designed to obtain further insight into the review of the actions already developed, the actions that have been extended and the actions incorporated into the implemented action plan. These additional workshops, involving staff representing the entire UOC research and innovation community, have been very helpful in finalizing the evaluation of the actions carried out as well as in assessing the actions included in the implemented action plan. The workshops also allowed us to get a better overall view of the outcome of the 's implementation and to ensure the 360° involvement of the whole research and innovation community in the self-assessment process.

Additionally, during the implementation process, electronic notifications have been sent out (emails, newsletters, etc.), various participative information sessions have been held, as previously mentioned, and website sections have been created to keep the entire community informed (HRS4R website, Services for research catalogue, welcome website). Furthermore, during implementation of the actions, measures aimed at specific groups have been carried out to obtain information on each specific question (for example interviews with researchers and faculty to identify employer branding value propositions, participation of these staff members in video testimonials, monitoring meetings for the working groups involved in the strategic plan, meetings of the Research and Innovation Committee, development of the Services for research catalogue, etc.).

Within the context of monitoring the implemented action plan, all these measures will be continued to ensure 360° involvement, and we also plan to conduct a new general survey.

In order to involve members of the research community, administrative staff and stakeholders, we carried out cross-cutting actions such as a survey to collect qualitative and quantitative information on people's perceptions of the UOC's HRS4R and face-to-face workshops to identify, define, explain and improve the actions in the actions plans for 2021-2023 and 2024-2026.

With regard to the new survey on people's perceptions of the UOC's HRS4R, a notice was published on the intranet (in Catalan, Spanish and English) and in the weekly round-up, indicating the target group (teaching staff of the faculties and research centres, researchers from the research centres, doctoral students with grants, deans of the faculties, directors of the research centres and the Doctoral School, associate deans of the faculties and members of the AWG who are not teaching or research staff) and the time available to respond (nine weeks from 17 July to 26 September to ensure the highest possible response rate). A reminder was also published before the deadline. The faculty administrators and research area directors' support staff were also asked to assist in increasing participation.

The survey consisted of four main sections: (1) an introduction for general context; (2) segmentation variables: gender, age group, area (department, faculty or research centre), place of residence, contract type and research role or profile; (3) general questions about the respondent's knowledge of the UOC's HRS4R; and (4) questions about the level of knowledge, implementation and importance of the Charter & Code principles in the four areas: ethical and professional aspects, recruitment and selection, working conditions and social security, and training and development.

Additionally, during the implementation process, electronic notifications have been sent out (emails, newsletters, etc.), various participative information sessions have been held, as previously mentioned, and website sections have been created to keep the entire community informed (HRS4R website, Services for research catalogue, welcome website).

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

The UOC HRS4R Implementation and Monitoring Committee is in charge of the internal monitoring of the development of and compliance with the action plan. This committee works as a team on an ongoing basis to share information and developments in relation to the different areas and to monitor the implementation of the various actions. It also keeps the Steering Committee informed of the general status of implementation of the plan.

Specifically, the members of the IMC were responsible for designing the survey to gather information on people's perceptions of the HRS4R; creating, coordinating, hosting and defining the phases and activities of the face-to-face workshops; and presenting the Action Plan 2021-2023 and the proposed Action Plan 2024-2026 to the teaching and research community, governing bodies and administrative departments.

### **Is there any alignment of organizational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?**

This action plan is fully aligned with the UOC's Strategic Plan to the point that all the actions were and will be included as Strategic Plan actions.

With internationalization at the core of UOCs current mission, the implementation of HRS4R is timely and a priority. With this in mind, the HRS4R process at the UOC is following these main objectives:

1. Continuous improvement guaranteeing that the UOC's policies and practices are aligned with European standards.
2. To attract high-quality researchers and professionals and retain the UOC's current research talent, offering the best possible working conditions.

3. To better compete in local, national, European and international funding calls.

Since its creation, the UOC has strongly believed that the quality and professionalism of its staff is its main value and, with this in mind, the University is continuously striving to implement its HR practices and policies in order to offer the best possible quality work and ensure its staff's commitment to the institution.

### **How has your organisation ensured that the proposed actions would be also implemented?**

It is very important for the UOC to ensure that the actions are implemented, which is why the action plan includes details of the party responsible for each action and the indicators that allow each action to be monitored.

Additionally, the three above-mentioned groups (UOC HRS4R Implementation and Monitoring Committee, UOC HRS4R Advisory and Working Group and the Steering Committee) monitor the progress of the action plan and ensure that the proposed actions are being implemented according to the established timeline, achieving the expected results. Corrective actions are taken if the UOC does not comply with the established deadlines or the new regulatory conditions or strategic decisions that could affect the strategy.

The HRS4R Action Plan is promoted and approved by the highest representatives of the organization and all the actions are included as Strategic Plan actions.

A new monitoring committee has been added, the UOC Research and Knowledge Transfer Committee (CRiT), which validates the working methods and action plans each year. This committee is made up of academic and research staff, and staff from the Office of the Deputy General Manager for Research and Knowledge Transfer.

### **How are you monitoring progress?**

For the purpose of monitoring implementation, action plan monitoring meetings are held each quarterly with the UOC HRS4R Implementation and Monitoring Committee, which is in charge of regular monitoring. In these meetings, the members share and record information on the progress of implementation of the various actions set out in the action plan and any changes that might need to be made. This information is shared with the members of the Steering Committee each semester. The UOC community is also informed of the measures that are carried out by means of the specific communication plans for each action defined within the action plan, with regular news articles on the action plan and the measures it includes. Information on the progress of the action plan is also published on the HRS4R section of the UOC's corporate website as well as on the UOC's website section for monitoring the strategic action plan.

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

Timeline of the actions has been thoroughly discussed with the responsible persons, who have actively participated in the design of the Action Plan and provided more information about milestones and indicators of success. All the actions include specific indicator(s) for achievement.

The monitoring procedure will include:

Monitoring meetings and follow-up with people in charge of the actions.

Assessment reports prepared by the UOC HRS4R Implementation and Monitoring Committee. The UOC HRS4R Advisory and Working Group will take part and assess the progress.

The Steering Committee and the UOC Research and Knowledge Transfer Committee (CRiT) will be regularly updated about the progress.

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

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

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

For the purpose of preparing the external review, the UOC HRS4R Implementation and Monitoring Committee will provide the reviewer or reviewers with all requested evidence and results of the actions implemented.

In addition, the report provided by the Commission following assessment of this implemented action plan will be reviewed in detail and, if necessary, corrective actions that take this feedback into account will be implemented, before the external review.

Furthermore, in order to facilitate an in-depth external review, a complete dossier will be prepared and will be made available to the reviewer(s) for their initial assessment. A specific person will be designated in order to welcome the reviewer(s) and facilitate the review process, providing all needed information and documentation. Any staff that might be able to provide further information about the HRS4R implementation process and/or the actions developed and their status will also be made available to the reviewer(s) for personal consultation.

### **Additional remarks/comments about the proposed implementation process:**

Final report 2021-2023  
Checklist OTM-R 2021-2023  
Indicators 2021-2023  
Survey 23





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