



ACUERDO, de 20 de julio de 2018, del Consejo de Gobierno de la Universidad de Burgos por el que se aprueba el proceso para la obtención del sello HR Excellence in Research -HRS4R-, en relación con la adopción de la Carta Europea del Investigador y el Código de Conducta para la contratación de investigadores -Charter and Code-.

El Consejo de Gobierno, en su sesión de 20 de julio de 2018, aprobó el proceso para la obtención del sello *HR Excellence in Research -HRS4R-*, en relación con la adopción de la Carta Europea del Investigador y el Código de Conducta para la contratación de investigadores *-Charter and Code-*.

Contenido

| | |
|---|----|
| 1. HUMAN RESOURCES STRATEGY FOR RESEARCHERS..... | 2 |
| 2. HRS4R IMPLEMENTATION | 3 |
| SUMMARY | 3 |
| HOW WILL THE COMMITTEE/ STEERING GROUP SUPERVISE THE PROCESS?..... | 3 |
| HOW TO INVOLVE THE RESEARCH COMMUNITY, THEIR MAIN STAKEHOLDERS, IN THE PROCESS? | 4 |
| HOW WILL THE POLICIES OF YOUR ORGANIZATION CONNECT WITH THE HRS4R? IT SHOULD INSURE THAT THE HRS4R IS RECOGNIZED WITHIN THE GENERAL STRATEGY OF THE ORGANIZATION, SUCH AS THE GENERAL POLICY FOR HUMAN RESOURCES..... | 4 |
| HOW TO ENSURE THAT THE SUGGESTED ACTIONS WILL BE IMPLEMENTED? | 5 |
| How to CONTROL the process (schedule)? | 5 |
| HOW TO MEASURE THE PROGRESS REGARDING THE NEXT EVALUATION (INDICATORS)? | 5 |
| ADDITIONAL COMMENTS TO THE SUGGESTED IMPLEMENTATION PROCESS..... | 6 |
| 3. TEMPLATE 1 – GAP ANALYSIS - PROCESS | 9 |
| PROCESS..... | 9 |
| 4. TEMPLATE 2 – GAP ANALYSIS - OVERVIEW..... | 12 |
| GAP ANALYSIS | 12 |
| 5. TEMPLATE 3 – OTM-R Checklist | 22 |
| 6. TEMPLATE 4: ACTION PLAN | 27 |
| 1. ORGANISATIONAL INFORMATION | 27 |
| 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:..... | 28 |
| 3. ACTIONS..... | 36 |
| 4. IMPLEMENTATION..... | 44 |

1. HUMAN RESOURCES STRATEGY FOR RESEARCHERS

El 14 de febrero de 2018, la Universidad de Burgos adquirió el compromiso con la Comisión Europea de adoptar la Carta Europea del Investigador y el Código de Conducta para la Contratación de Investigadores -Charter and Code-, documentos que constituyen el marco de referencia a nivel europeo para una óptima gestión del talento de investigación, definiendo en 40 principios los derechos y obligaciones de los investigadores y las entidades que los contratan.

*La adopción del Charter and Code viene regulada por la llamada “Human Resources Strategy for Researchers” –HRS4R- proceso que toda institución debe cumplimentar para la obtención del sello **HR Excellence in Research**, y que incluye la realización de un diagnóstico de situación sobre el grado de cumplimiento de los principios del Charter and Code y la definición de un Plan de Acción para corregir las desviaciones detectadas e implementar actuaciones de gestión de recursos humanos de investigación acordes a los estándares de calidad que representan dichos principios.*

*En nuestra Universidad, este proceso ha sido completado en los últimos meses. Un grupo de trabajo ad-hoc, presidido por el Vicerrector de Investigación José Miguel García, e integrado por responsables de los diferentes servicios implicados en la gestión de los recursos humanos, la investigación y la transferencia de conocimiento, además de una representación de la comunidad investigadora, ha elaborado el **Plan de Acción** para los años 2019-2020 que se muestra en el siguiente enlace. Dicho Plan de Acción ha sido aprobado por Consejo de Gobierno de la Universidad en su reunión del 20 de julio de 2018.*

*La obtención del sello **HR Excellence in Research** acredita a la Universidad de Burgos como entidad comprometida con la calidad en la gestión de los recursos humanos en investigación.*

2. HRS4R IMPLEMENTATION

SUMMARY

The HRS4R process is approached from the highest institutional compromise, in line with the Research and Knowledge Transfer Strategy Plan 2019-2024. All the scheduled actions included in this plan and the HRS4R will share the same calendar and execution mechanisms. The OTM Protocol at University of Burgos is constituted as the tool that regulates the human resources hiring policies for research. The tool for technical supervision would be an ad hoc committee, while a Steering Committee would be used for its institutional supervision. Some of the tools used to ensure its correct implementation are regular meetings, progress reports and scorecard indicators.

HOW WILL THE COMMITTEE/ STEERING GROUP SUPERVISE THE PROCESS?

The supervision of the HRS4R process will be carried out at two levels. Firstly, the University of Burgos will create the so-called “Committee for Strategic Actions”, whose mission is guiding and supervising the implementation of the whole of strategic actions—including knowledge transfer—that would be promoted in research policy in the period 2019-2024. These include the proposals comprised within the HRS4R Action Plan. This Committee will be composed by representatives from different services and units with direct competences in research, including the management of human resources, taking the structure of the Work Group for HRS4R as a point of departure, in charge of the GAP analysis and the Action Plan. It will be led by the Vice-Rector for Research and Knowledge Transfer. The final composition of this Committee will be decided by the end of 2018 and it will be submitted to the approval of the university’s Management Board. It will be provided with the following supervision tools:

- A member of the Committee will act as coordinator of each of the ad hoc working groups (see next section) devoted to the actions listed below. They will participate in the different works and they will supervise the observance of deadlines and tasks:
 - Code of Good Practice in Research
 - Researcher’s Guide
 - Welcome Protocol for New Researchers
 - Career Guide for Researchers
- A member of the Committee will act as a **liaison** with those in charge of each of the remaining actions to supervise their development.
- The Committee will celebrate regular **coordination meetings** (every 4 months maximum) to share the information about the implementation of every action and put forward correcting actions if necessary.

On the other hand, a high-level Steering Committee will be created for the institutional follow-up of the process. It will be composed of:

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

The Vice-Rector for Research and Knowledge Transfer, as head of the Committee for Strategic Actions, will inform regularly of the development of the implementation of the Action Plan to the Management Board and, if necessary, the Governing Board.

HOW TO INVOLVE THE RESEARCH COMMUNITY, THEIR MAIN STAKEHOLDERS, IN THE PROCESS?

The action plan includes heterogeneous actions regarding its scope, duration and technical complexity. Therefore, the necessities and ways of involving researchers will differ depending on the nature of each action.

For the ad hoc working groups in charge of the actions, such as devising the Code of Good Practice in Research and the Career Guide for Researchers, some researchers (mainly from the R3 and R4 levels) will participate in these tasks as members.

For the remaining actions (numbers 1, 2, 4, 7, 8, 9, 10, 11, 12 and 14), in which one unit or service from the University will be the direct responsible of the action implementation (in collaboration with a reduced number from other services), there will be enquiry and evaluation mechanisms with the research community: suggestion boxes about implemented actions, satisfaction surveys about new services and practices, etc.

Other methods for involving the research community in the implementation of the action plan will be:

- Representation of researchers directly in charge of some of the units involved in the implementation of the different actions, such as the Doctorate School, the Commission of Bioethics or the IFIE.
- Representation of researchers in the Governing Board, in charge of the approval of the strategic actions carried out by the university, among others, many of the measures included in the HRS4R Action Plan.

HOW WILL THE POLICIES OF YOUR ORGANIZATION CONNECT WITH THE HRS4R? IT SHOULD INSURE THAT THE HRS4R IS RECOGNIZED WITHIN THE GENERAL STRATEGY OF THE ORGANIZATION, SUCH AS THE GENERAL POLICY FOR HUMAN RESOURCES.

The adoption of the principles of the Charter & Code implies a position in favor of the quality and transparency in the management of their human resources for researchers. The HRS4R process, which would allow the institution to adapt the current practices to the requirements of the 40 principles, is conceived as a structural project, as it vertebrates the future policy and practices for the institution in these matters.

To this end, the preparation and the implementation of the Action Plan are approached from a strategic perspective: through 2018, the University of Burgos has been designing their Research and Knowledge Transfer Strategy Plan 2019-2024, which will draw the strategic lines of the institution in subjects such as the internal organization of their research activity, the transfer of their results to society, the international cooperation in R&D, and talent management. The adopted measures to ensure the alignment of the HRS4D process with the mentioned plan are:

- A **joint work group** for the elaboration of the HRS4R and the strategy plan, with the same members, although they will follow different methodologies while evaluating the the situation of each of them.

- The actions included within the Action Plan for the HRS4R will be introduced in the lines of action of the Strategy Plan to ensure the institutional compromise, the detection of synergies that may appear with different strategic lines during its implementation and the adequate coordination of the actions.
- The planning of the works design in both plans intends on co-occurring with its effective date, January 1st, 2019.
- The implementation of the actions included in both plans will be supervised and coordinated by a single instrument: the Committee for Strategic Actions of the University of Burgos.

HOW TO ENSURE THAT THE SUGGESTED ACTIONS WILL BE IMPLEMENTED?

First, in the **regulating sphere**, the implementation of the suggested actions will be assumed as an institutional compromise by its highest authorities. The acknowledgment and approval of these will be double, as they are programmed within the framework of the HRS4R Action Plan as well as within the Research and Knowledge Transfer Strategy Plan. These projects will be approved by the university Governing Board, the highest decision-making body. These strategic and institutional quality equally affects the compromise and implication of the different actors in charge of its execution, as well as the resources endowment for its implementation.

On the other hand, in the **operative sphere**, UBU is endorsed with the following supervising elements (described in the previous sections) to ensure the implementation of the actions, making a continuous follow-up that allows to identify deviations of the plan and to introduce the necessary corrections:

- Committee for Strategic Actions
- Coordinators of the ad hoc groups
- Liaison agent for the assigned actions to specific units
- Steering Committee

How to CONTROL the process (schedule)?

Measuring the progress of the Action Plan is one of the functions of the Committee for Strategic Actions. This Committee establishes the following control mechanisms:

- **Regular meetings** of its members (at least once every four months) in which the representatives of the units in charge of the specific actions may participate, in case those actions have suffered certain deviations according to the initial plan, to analyze the situation and, if necessary, to put forward additional actions to guarantee their execution.
- At the end of the first year of the Action Plan (2019), a **progress report** will be produced. It will gather the tasks developed within each action, the stage of their implementation and the possible deviations regarding the initial schedule. External experts may help in the report to guarantee the impartiality of the evaluation. The report will be transferred to the Steering Committee for its supervision.

HOW TO MEASURE THE PROGRESS REGARDING THE NEXT EVALUATION (INDICATORS)?

The Committee for Strategic Actions will assume the ongoing task of measuring the progress of the planned actions in the HRS4R process. A **scorecard** will be the point of departure for gathering together the main indicators associated to each programmed action, such as:

- Organized training workshops
- Number of attendees to events and workshops
- Number of users of the services created or expanded (mentoring, attention to disability, etc.)
- Information on the composition of the selection committees
- Published job openings: resources, types...
- Candidates and hired researchers: gender, categories...
- Number of complaints.

Furthermore, regarding the interim assessment, other relevant indicators will be gathered for measuring the development of the indicators associated to the principles of the Charter & Code in which adjustment measures had not been previously detected. This is a way of guaranteeing no backward movements in their compliance.

These measuring tasks will be assigned to a member of the Committee of Strategic Actions, in charge of coordinating the data collection with the different units involved in the Action Plan and the scorecard update. In this process two action contexts have been identified:

- Units involved in mechanisms of data collection, data bases and reference indicators.
- Actions or services that, due to their novelty or other factors, are not measured. For them, indicators and collection mechanisms specially adapted to each case would be defined to collect the information.

The information collected in the scorecard would be part of the report of **Intermediate Progress**, a document that would set the basis for the composition of the forms of the interim assessment.

ADDITIONAL COMMENTS TO THE SUGGESTED IMPLEMENTATION PROCESS

The Action Plan of University of Burgos defined within the HRS4R process is the cornerstone of the Open, Transparent and Merit-based Recruitment (OTM-R) protocol. The toolkit suggested for the GAP analysis has been used as the basic tool for both the analysis of the C&C principles linked to this protocol and the planning of future actions.

Although the University of Burgos has at its disposal a wide frame for internal rules of procedure regarding the principles that affect the OTM-R, in line with the current national and regional legislation, an opportunity to raise its strategic weight has been considered. This way, the rules of procedure and practices on this subject will be collected into an inclusive strategic document—the **OTM Protocol of the University of Burgos**— that would be structured depending on the stages of the recruiting process suggested by the OTM-R toolkit:

1. Advertising and application phase
2. Evaluation and selection phase
3. Appointment phase

Such Protocol would be incorporated to the internal rules of procedure after its approval by the Government Board of the University, becoming a regulatory instrument of the hiring policy of human resources for research of the institution.

The OTM-R Protocol will collect the whole set of internal rules regarding the advertisement, selection and hiring of the research staff at all levels within UBU, as well as the procedures and practices associated to them. For its production, the following work patterns will be considered:

- The aspects of the OTM-R process that already satisfy the requirements of the Charter & Code could be restated or reinforced with the purpose of improving the current practices.
- For those aspects which need adequacy measures for the Charter & Code requirements, the OTM-R Protocol will collect the improvements implemented in the framework of the HRS4R Action Plan.

Some of the suggested improvement actions are:

Training on OTM-R:

The university will organize workshops for the staff involved in the tasks of the Action Plan: members of the Strategic Actions Committee, staff from other involved units, etc. On the following stage, the workshops will be open to the rest of the research community and the service staff.

1.- Advertising and application phase

Central website for R&D openings

A section within the UBU website will be exclusively devoted to the advertisement of the research job openings, whether they are framed within the official announcements in the institution or within R&D projects.

Improve the advertisement of job openings

On the one hand, the number of job openings advertised through external platforms to UBU will increase. The initial target would be the positions associated to R&D projects, mainly those carried out within the framework of international consortia.

On the other hand, forms and sheets would be created for each announcement (whether official or belonging to a project) with the aim of advertising it. Those documents will complement the official announcement, so they will have to include detailed information about the different aspects collected in the Charter & Code, such as the implications of the position in the candidate's professional trajectory, institutional policy of gender equality, rights over the generated IPR, etc.

2.- Evaluation and selection phase

Increase diversity in the composition of the selection committees

Inasmuch as the national and regional regulation allows, certain measures will be analyzed, adapting them to every kind of announcement regarding criteria that affect the appointment of members of the selection committees, such as origin, sector and professional profiles.

Specialized training of the members of the Selection Committees

Within the training provision of the Institute for Training and Educational Innovation there will be courses of interest for those members of the research community participating in selection processes. The educational contents will focus on topics such as interview techniques, assessment of qualifications, etc.

Information about the profile of the members of the selection committee

A transparency measure will be implemented as the profiles of the members of the selection committees at the UBU website will be published in every announcement. The main gaps identified regarding this aspect have been detected in the openings related to projects. There will be other additional transparency measures implemented

Improve the information supplied to the candidates after the selection process

Improvements will be made regarding the information given to the candidates after the selection process, whether they are chosen or not. The R&D programs already published the minutes with their assessment, a practice that will be extended to the rest of the selection processes.

3.- Appointment phase

The OTM-R protocol will include contents approached in other actions of the Action Plan, although overlapping will be avoided, such as number 5 (Research Guide) and number 6 (Welcome protocol). These will reinforce the information and assessment for researchers since the moment in which they are hired in questions such as the terms of contractual and legal rights and obligations, accountability, intellectual property rights and the exploitation of R&D results, complaints, etc.

3. TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: [2018ES311156](#)

Name Organisation under review: [Universidad de Burgos](#)

Organisation's contact details: [C/ D. Juan de Austria nº1 -OTRI-OTC, Burgos, Burgos, 09001](#)

SUBMISSION DATE: PENDING

DATE ENDORSEMENT CHARTER AND CODE: [14TH FEB 2018](#)

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. ¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

| Name | Position | Management line/ Department |
|---|---|--|
| Manuel Pérez Mateos | Rector | Governing Board |
| Jose Miguel García | Vice-Rector for Research and Knowledge Transfer | Governing Board |
| José María Cámara | Vice-Rector for Teaching and Research Staff | Governing Board |
| Joaquín Pacheco | Director | Doctorate School |
| José Ángel Contreras | Vice-General Manager | Management |
| Mª Cruz Atanes | Director | Human Resources |
| Raquel Ortega | Director | Research Management Service |
| Cristina Zaldívar | Director | International Relations Service |
| Francisco Javier Hoyuelos | Director (R3) | Educational Innovation and Training Institute (IFIE) |

| | | |
|------------------------------|-----------------------------|--|
| Jordi Rovira | Delegate of the Rector (R4) | Scientific Culture and Innovation Unit |
| Susana Cámara | Director | Knowledge Transfer Office (OTRI- OTC) |
| José Luis González de Castro | Leading Researcher (R4) | Faculty of Education |
| Juan Bautista Delgado | Established Researcher (R3) | Faculty of Economics |
| Eduardo Montero | Leading Researcher (R4) | Higher Polytechnic School |
| Ana Rosa Rubio | First Stage Researcher (R1) | Faculty of Sciences |

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4³, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

*The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.*

For a description of R1-R4, see

<https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>

Provide information on how the above groups were involved in the GAP-analysis:

| *Stakeholder group | *Consultation format | Outcomes |
|--------------------|--|--|
| R1 | Survey Participation in the Working Group | Identification of strengths and weaknesses Proposal of initiatives for the Action Plan |
| R2 | Survey | Identification of strengths and weaknesses |
| R3 | Survey Participation in the Working Group | Identification of strengths and weaknesses Proposal of initiatives for the Action Plan |
| R4 | Survey Participation in the Working Group | Proposal of initiatives for the Action Plan Proposal of initiatives for the Action Plan |

Please describe how was appointed the Committee overseeing the process and how it worked (meetings, decisions, etc.):

Due to the strategic relevance of the adoption of the Charter and Code and the implementation of the HRS4R process in the University of Burgos, the Steering Committee is directly appointed by the Government Team of the University, with the following premises:

- The Committee is chaired by the Rector, Manuel Pérez Mateos, as the highest institutional representative.
- In order to guarantee the suitable agility in the monitoring of the tasks to be done, it is composed of a small number of members, being all of them high level representatives of the main areas involved,
- Composition: Jose Miguel García (Vice-Rector for Research and Knowledge Transfer), José María Cámara (Vice-Rector for Teaching and Research Staff), and Joaquín Pacheco (Director of the Doctorate School).
- The Vice Chancellor for Research and Knowledge Transfer chairs the Working Group, and plays the role of liaison with the Steering Committee, informing about the progress and proposals coming from the Working Group, and transmitting the decisions adopted by the Steering Committee.
- The Steering Committee holds follow-up meetings the week after each meeting of the working group.

The Gap Analysis and Action Plan are approved in the first instance by the Steering Committee in a meeting held on DATE. With the necessary modifications and adjustments, it is transferred to the university Government Board for final approval (meeting held on DATE-PENDING).

Please describe how was appointed the Working Group responsible for the implementation of the HRS4R process:

The Working Group (WG) has been appointed by the HRS4R Steering Committee (meeting held on 25th JAN 2018). This group, responsible for the diagnosis of the current situation and the design of improvement actions, is chaired by Jose Miguel García (Vice-Rector of Research and Technology Transfer) with the participation of representatives of the research community and stakeholders involved in human resources and research issues. An external advisor (Constantino Martínez) is assigned to the WG for technical support.

Milestones and main tasks executed:

1.- WG Kick-off Meeting (7th FEB 2018)

Issues: work methodology, general planning and allocation of tasks.

2.- Collection of Information (FEB-APR 2018)

a. From UBU stakeholders:

- Information gathered through questionnaires and interviews from relevant stakeholders.
- 4 meetings held (one per C & C thematic heading) between members of the WG and stakeholders for the processing of information, engaging 28 persons.

b. Survey for researchers on the principles of the C & C (data gathering period 12 April-17 May): 181 researchers (34 R1, 66 R2, 59 R3 and 22 R4) filled out the survey. Participation rate 43.6%.

3.- WG Progress Meeting (24th MAY 2018)

Issues: approval of the gap analysis and proposal of initiatives for the Action Plan.

4.- Writing of Templates 1 and 2 (28th MAY-29th JUN)

5.- Final writing after feed-back received from the Steering Committee (2nd JUL-13th JUL)

4. TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2018ES311156

Name Organisation under review: Universidad de Burgos

Organisation's contact details: C/ D. Juan de Austria nº1 -OTRI-OTC, Burgos, Burgos, 09001

SUBMISSION DATE: PENDING

DATE ENDORSEMENT CHARTER AND CODE: [14TH FEB 2018](#)

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

| European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview | | | |
|---|--|--|---|
| Status: to what extent does this organisation meet the following principles? | + = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented | In case of -, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation | Initiatives already undertaken and/or suggestions for improvement |
| Ethical and Professional Aspects | | | |
| 1. Research freedom | + | | Strengthen the disclosure on the financial and legal principles. |
| 2. Ethical principles | + | | The UBU is an active member of the Network of Ethical Committees of Universities and Public Research Centers, which allows direct access to protocols, regulations, good practices and other relevant information for the updating of procedures: http://www.ub.edu/rceue/index.htm |
| 3. Professional responsibility | -/+ | A significant number of researchers are not aware about the internal regulations on industrial and intellectual property in force. Awareness-raising on good research practices should be reinforced for R1 and R2. | <ul style="list-style-type: none"> - Organization of training workshops on Industrial and Intellectual Property focused on patents: state of the art, avoiding redundant research, innovative results... - Information and awareness-raising actions on good practices in research aimed at newly recruited researchers, PhD students, etc. - Create and apply a Code of Good Practices in Research. |

| | | | |
|---|-----|--|--|
| | | <p>There is no code of good practices in research for levels other than R1.</p> <p>Nowadays, the TURNITIN software to control plagiarism only applies for teaching purposes.</p> | <ul style="list-style-type: none"> - TURNITIN tool should be extended to research purposes. |
| 4. Professional attitude | +/- | <p>A lack of knowledge about regulations and supporting available services concerning the principle has been detected, mainly among R1 and R2 levels.</p> | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. - Welcome service for new researchers. |
| 5. Contractual and legal obligations | +/- | <p>Lack of knowledge about regulations and supporting available services concerning the principle, mainly among R1 and R2 levels.</p> | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. - Welcome service for new researchers. |
| 6. Accountability | + | | <ul style="list-style-type: none"> - The UBU is subject to external audits and control by the General Audit of the regional government (Junta de Castilla y León), the National State Research Agency and the Council of Accounts of Castilla y León. |
| 7. Good practice in research | +/- | <p>There is neither document nor information tools integrating the current regulations and services.</p> | <ul style="list-style-type: none"> - Implement a guide that collects useful and updated information on the contents concerning this principle. |
| 8. Dissemination, exploitation of results | +/- | <p>Lack of knowledge of the regulations and services regarding the exploitation of research results, especially by R1 and R2 researchers.</p> | <ul style="list-style-type: none"> - Workshops on IPR exploitation: rights and privileges for researchers with respect to the exploitation of the results generated. - Guide and/or other information tools on IPR exploitation. |
| 9. Public engagement | + | | |

| | | | |
|---|-----|--|---|
| 10. Non discrimination | +/- | The Diversity Unit provides support to disabled students, giving attention to the demand for researchers in a non-systematic way. | <ul style="list-style-type: none"> - II Equal Opportunities Plan under development. - Extension of the scope of the Diversity Unit in order to provide service to researchers on a regular basis. |
| 11. Evaluation/ appraisal systems | +/- | The UBU has not yet an own evaluation tool/programme for professional performance assessment of researchers. | <ul style="list-style-type: none"> - Implementation of OGMIOS programme for registration and evaluation of the scientific productivity of researchers. - Institutional Project for the allocation of internal funds linked to scientific productivity of researchers and research groups (scheduled for 2019). |
| Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition , your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles. | | | |
| 12. Recruitment | +/- | <p>Access to information about job offers could be improved: it is disseminated through different sections of the web. There is a compilation section for all job offers, including research ones.</p> <p>The dissemination of job offers at international level for the recruitment of researchers is not systematized.</p> | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. - Setting up of a web section devoted to research job offers. - Disseminate job offers, especially those linked to international collaborative projects, on international platforms. |
| 13. Recruitment (Code) | +/- | Limitations to attract researchers from abroad: there are no systematic procedures to manage neither the international dissemination of offers nor recruitment | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. - Disseminate job offers, especially those linked to international collaborative projects, on international platforms. |

| | | | |
|-------------------------|-----|---|---|
| | | <p>processes, most offers are not translated into other languages...</p> <p>Legislation limiting implementation:</p> <p>Low stability of employment conditions for researchers with temporary contracts, mainly those linked to public funding projects.</p> <p>National regulations slow down the hiring of foreign researchers.</p> | |
| 14. Selection (Code) | +/- | <p>Compliance with national and regional legislation regarding the composition of the selection committees for internal calls, with a balanced rate in parity between men and women, and following the principles of impartiality and professionalism.</p> <p>Nevertheless, a greater diversity in the composition of the committees in terms of sectors and international origin could be reached.</p> | <ul style="list-style-type: none"> - Ad-hoc training actions for participants in selection committees in transversal skills, interviewing methods, etc. - Review of current internal regulations in order to incorporate new selection criteria for committees' members when possible, within the framework of current legislation. - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 15. Transparency (Code) | +/- | <p>Information after the selection process to candidates in recruitment calls linked to R&D projects.</p> <p>Career development prospects are not usually mentioned in the descriptions of working conditions.</p> | <ul style="list-style-type: none"> - Implement procedures to improve the information to candidates after the selection processes, especially for those linked to R&D projects: publication of the minutes (practice already followed in the rest of the selection processes), more information about the complaint instruments in force... - Incorporate information about career development in the descriptions of working conditions. |

| | | | |
|---|---|---|--|
| | | <p>In recruitment processes linked to specific R&D projects, more detailed information about the members of selection committees could be given.</p> <p>For fixed-terms contracts (usually linked to R&D projects or those funded within the framework of public programs such as Juan de la Cierva, Ramón y Cajal... for R2 researchers), the automatic stabilization of the contract is not considered, once the public financing has been completed.</p> | <ul style="list-style-type: none"> - Make detailed information about the members of the selection committees available (UBU website). - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 16. Judging merit (Code) | + | | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 17. Variations in the chronological order of CVs (Code) | + | | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 18. Recognition of mobility experience (Code) | + | | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 19. Recognition of qualifications (Code) | + | | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |
| 20. Seniority (Code) | + | | <ul style="list-style-type: none"> - Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment. |

| | | | |
|--|-----|---|---|
| 21. Postdoctoral appointments (Code) | + | | <p>The UBU does not have regulations for postdoctoral contracts since there are no own calls for this profile. The selection rules and procedures are those of the funding institutions.</p> <p>Suggestions for improvement: Develop a guide for researchers with relevant information on all the aspects concerning OTM recruitment.</p> |
| Working Conditions and Social Security | | | |
| 22. Recognition of the profession | + | | |
| 23. Research environment | + | | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. |
| 24. Working conditions | +/- | | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. - Welcome service for new researchers. |
| 25. Stability and permanence of employment | +/- | <p>Lack of knowledge about regulations and supporting available services concerning the principle.</p> <p>Legislation limiting implementation:</p> <p>The Organic Law 2/2012, of April 27, on Budgetary Stability and Financial</p> | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. |

| | | | |
|--------------------------|-----|---|--|
| | | <p>Sustainability limits the replacement rate of teaching and research staff.</p> <p>Related to public funding programmes: limited duration of contracts, delays in the availability of grants, continuity between calls for proposals....</p> | |
| 26. Funding and salaries | +/- | The regulation and other information on the subject is spread across different sections of the web. | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. - Improvements in the UBU website to facilitate the access to the regulation and other information about the different aspects regarding the principle. |
| 27. Gender balance | + | | <ul style="list-style-type: none"> - II Equal Opportunities Plan under development. |
| 28. Career development | -/+ | Although there are many regulations that affect the different stages of the researcher's professional development, there is no internal strategic document. This is not the case for R1 level, with a well-defined strategy and procedures defined by the Doctorate School. | <ul style="list-style-type: none"> - Develop a Research Career guide for the UBU. |
| 29. Value of mobility | + | | <ul style="list-style-type: none"> - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. |

| | | | |
|---|-----|--|---|
| 30. Access to career advice | -/+ | The University Employment Unit provides guidance on professional development, especially to students and graduates, including individualized coaching services (UBUEMPLEA action). Additional coaching services should be addressed to researchers dully adapted to their context and needs. | <ul style="list-style-type: none"> - Extension of the scope of the University Employment Unit in order to provide mentoring and coaching services to researchers. - New tools (guides, brochures...) to improve the dissemination of information on existing regulations, services and procedures concerning the principle. |
| 31. Intellectual Property Rights | +/- | Lack of knowledge of the regulations and services regarding the IPR legislation and the exploitation of research results. | <ul style="list-style-type: none"> - Workshops on IPR management and the exploitation of research results. - Guide and/or other information tools on IPR management. |
| 32. Co-authorship | +/- | Lack of knowledge of the legislation and internal regulations, especially among R1 and R2 researchers. | <ul style="list-style-type: none"> - Workshops on co-authorship - Guide and/or other information tools on co-authorship. |
| 33. Teaching | + | | |
| 34. Complains/ appeals | + | | <ul style="list-style-type: none"> - Dissemination of information on current complaint procedures and services concerning the principle. |
| 35. Participation in decision-making bodies | + | | |
| Training and Development | | | |
| 36. Relation with supervisors | + | | |

| | | | |
|--|-----|--|---|
| 37. Supervision and managerial duties | +/- | The Doctorate School has implemented specific rules and good practices (a supervision commitment model included) to regulate supervisors-PhD students relationships. Nevertheless, no supervision or mentoring instruments have been put in place for R2 researchers. | - Implement supervision and mentoring regulations addressed to postdoctoral researchers. |
| 38. Continuing Professional Development | + | | |
| 39. Access to research training and continuous development | +/- | The University Employment Unit provides guidance on professional development, especially to students and graduates, including individualized coaching services (UBUEMPLEA action). Additional coaching services should be addressed to researchers dully adapted to their context and needs. | - Extension of the scope of the University Employment Unit in order to provide guidance on professional development to researchers. |
| 40. Supervision | +/- | | - Implement supervision and mentoring regulations addressed to postdoctoral researchers. |
| Any additional issues | | | |
| | | | |
| | | | |

5. TEMPLATE 3 – OTM-R Checklist

Case number: [2018ES311156](#)

Name Organisation under review: [Universidad de Burgos](#)

Organisation's contact details: [C/ D. Juan de Austria nº1 -OTRI-OTC, Burgos, Burgos, 09001](#)

SUBMISSION DATE: PENDING

DATE ENDORSEMENT CHARTER AND CODE: [14TH FEB 2018](#)

OTM-R Checklist

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

| Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list⁴ | | | | | |
|---|-------------|------------------------------------|------------------------------|--|--|
| OTM-R checklist for organisations | | | | | |
| | Open | Trans - paren t | Merit- base d | Answer: ++ Yes, <i>completely</i> +/- Yes, <i>substantially</i> -/+ Yes, <i>partially</i> | Suggested indicators (or form of measurement) |
| OTM-R system | | | | | |
| 1. Have we published a version of our OTM-R policy online (in the national language and in | x | x | x | -- | OTM-R policy published |
| 2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of | x | x | x | -- | OTM-R Guide published |
| 3. Is everyone involved in the process sufficiently trained in the area of OTM-R? | x | x | x | -/+ | Existence of training actions for OTM-R Number of staff following training in |
| 4. Do we make (sufficient) use of e-recruitment tools? | x | x | | +/- | Web-based tool for (all) the stages in the recruitment process |
| 5. Do we have a quality control system for OTM-R in place? | x | x | x | -- | Measures to be incorporated into the action plan |
| 6. Does our current OTM-R policy encourage external candidates to apply? | x | x | x | -/+ | Job offers translated into foreign languages Advertisements published on this international |
| 7. Is our current OTM-R policy in line with policies to attract researchers from abroad? | x | x | x | -/+ | Trend in the share of applicants from abroad |
| 8. Is our current OTM-R policy in line with policies to attract underrepresented groups? | x | x | x | ++ | Trend in the share of applicants among underrepresented groups (frequently women) |

⁴ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

| | | | | | |
|--|---|---|---|-----|--|
| | | | | | Awareness actions on gender equality, |
| 9. Is our current OTM-R policy in line with policies to provide attractive working conditions for | x | x | x | ++ | Trend in the share of applicants from outside the |
| 10. Do we have means to monitor whether the most suitable researchers apply? | | | | -- | Measures to be incorporated into the |
| Advertising and application phase | | | | | |
| 11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions? | x | x | | ++ | Existence of templates adapted to all types of job |
| 12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report ⁵] | x | x | | +/- | Links to explanatory web sections |
| 13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience? | x | x | | -/+ | The share of job adverts posted on EURAXESS |
| 14. Do we make use of other job advertising tools? | x | x | | -/+ | Advertising tool to be used |
| 15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)] | x | | | +/+ | Indicators of users satisfaction |
| Selection and evaluation phase | | | | | |
| 16. Do we have clear rules governing the appointment of selection committees? [see Chapter | | x | x | ++ | Written regulations |
| 17. Do we have clear rules concerning the composition of selection committees? | | x | x | +/- | Written regulations |
| 18. Are the committees sufficiently gender-balanced? | | x | x | ++ | Statistics |
| 19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected? | | | x | ++ | Written guidelines |
| Appointment phase | | | | | |

⁵ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

| | | | | | |
|---|--|---|--|-----|--|
| 20. Do we inform all applicants at the end of the selection process? | | x | | -/+ | Selection process minutes published on website |
| 21. Do we provide adequate feedback to interviewees? | | x | | +/- | Indicators of users satisfaction |
| 22. Do we have an appropriate complaints mechanism in place? | | x | | ++ | Statistics on complaints |
| Overall assessment | | | | | |
| 23. Do we have a system in place to assess whether OTM- R delivers on its objectives? | | | | -- | To be incorporated into the action plan |

6. TEMPLATE 4: ACTION PLAN

Case number: 2018ES311156

Name Organisation under review: Universidad de Burgos

Organisation's contact details: C/ D. Juan de Austria nº1 -OTRI-OTC, Burgos, Burgos, 09001

SUBMISSION DATE: PENDING

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

| STAFF & STUDENTS | FTE |
|---|------------|
| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research | 429 |
| Of whom are international (i.e. foreign nationality) | 15 |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) | 26 |
| Of whom are women | 187 |
| Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or | 213 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level | 181 |
| Of whom are stage R1 = in most organisations corresponding with doctoral level | 35 |
| Total number of students (if relevant) | 6,754 |
| Total number of staff (including management, administrative, teaching and research staff) | 1,327 |
| RESEARCH FUNDING (figures for most recent fiscal year) | € |
| Total annual organisational budget | 56,339,518 |
| Annual organisational direct government funding (designated for | 18,912,387 |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) | 886,626 |
| Annual funding from private, non-government sources, designated for research | 755,970 |
| ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words) | |
| <p>The University of Burgos is a public university established in 1994, with 7 official centers: 6 faculties - Sciences, Health Sciences, Economic and Business, Law, Education, Humanities and Communication- and a Higher Polytechnic School, offering 25 degrees, 5 dual degrees, 19 master's degrees and 11 doctoral programs. The UBU has 8 centers devoted to R&D: the Doctoral School, the Technological Science Park, the International Center in Critical Raw Materials for Advanced Industrial Technologies (ICCRAM), the R&D Center and the Hydraulics Laboratory, the Center for Research in Industrial</p> | |

Technologies, the Center for Food Biotechnology, the Virtual Teaching Center and the Center for Modern Languages.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the Charter and Code 1.-

Ethical and professional aspects

The UBU complies with ethical principles thanks to the activity of the Bioethics Commission, member of the Network of Ethical Committees of Universities and Public Research Centers, which allows access to the continuous improvement in the existing protocols. The UBU has implemented internal regulations and specialized services to support researchers in the search and management of external funding (including the justification of executed funds), as well as in **contractual issues** related to the IPR. However, an additional effort to improve the knowledge of these assets among the research community must be done, especially for newly recruited researchers.

The **dissemination and exploitation of results**, as well as the **commitment to society**, are supported by two consolidated structures: the OTRI-OTC (Knowledge Transfer Office of the University), with 6 full-time specialized practitioners devoted to a wide range of services and actions such as UBUEMPRENDE, in-house program for the exploitation of IPR through the creation of spin-off companies. On the other hand, the Scientific Culture Unit develops a key role in bringing the UBU's research activity closer to society through informative and training projects such as UBU-Investiga, Cien&Cia (regional TV show), scientific talks with the participation of researches...

In the field of **good research practices**, the UBU has made in recent years a remarkable effort in occupational risk prevention and protection of personal data policies, with procedures and protocols firmly in place. Concerning **non-discrimination**, specific support services such as the Equal Opportunities Unit and the Diversity Attention Unit are active. However, the latter, more focused on students, must be reinforced to offer regular service to the research community.

Although the UBU complies with and supports the evaluation and **assessment procedures** established by the current regional and national regulations (General Audit of the regional government -Junta de Castilla y León-, the National State Research Agency and the Council of Accounts of Castilla y Leon) for R2, R3 and R4 levels, and provides advisory services to researchers on the matter, it lacks an **internal assessment system** for evaluating the professional performance of researchers. The UBU adheres to ORCID, unique, international and independent identification system of the research staff. It is the first step for the implementation of a record of scientific productivity (OGMIOS), which will be put in place in the next years.

Links to the main current rules and practices concerning the heading:

- Economic and financial regulations of the University of Burgos (June 2006):
<http://bocyl.jcyl.es/boletines/2006/07/28/pdf/BOCYL-D-28072006-14.pdf>
- IPR Regulations (March 2012), including exploitation:
<http://www.ubu.es/otri/propiedad-industrial-e-intelectual/reglamento-de-patentes-de-la-ubu>
- Bioethics Commission Regulation (January 2018):
http://www.ubu.es/sites/default/files/portal_page/files/reglamento_comision_bioetica_boc_yl_2017-01-02.pdf
- Code of good practices of the Doctorate School (February 2013):
http://www.ubu.es/sites/default/files/portal_page/files/codigo_buenas_practicas_doctorado.pdf
- Strategy in Research and Doctoral Training at the University of Burgos (July 2012):
https://www.ubu.es/sites/default/files/portal/files/estrategia_investigacibrvbar_n_ubu_-_julio_2012_final_1.pdf
- Inspection Service Regulations (January 2011):
<http://www.ubu.es/servicio-de-inspeccion/regimen-juridico/regulacion-del-servicio-de-inspeccion>
- Occupational Hazards Prevention Plan (January 2011):
http://www.ubu.es/sites/default/files/portal_page/files/bocyl-d-13012011-9.pdf
- Procedure for the integration of occupational hazards prevention in research activities:
http://www.ubu.es/sites/default/files/portal_page/files/upri-pr-ps-032-00_definitivo_definitivo_6.pdf
- Annual Training Plan on Occupational Hazards Prevention:
<http://www.ubu.es/unidad-de-prevencion-de-riesgos-laborales/prevencion-de-riesgos-laborales/plan-de-formacion>
- Information Security Policy (November 2013):
<http://bocyl.jcyl.es/boletines/2013/11/18/pdf/BOCYL-D-18112013-16.pdf>
- Regulations for the use of Information Systems (March 2014):
https://www.ubu.es/sites/default/files/portal_page/files/2014_03_31_normativa_de_uso_de_los_sistemas_de_informacion_de_la_ubu_-_consolidada.pdf
- UBUEMPRENDE: Specific program for the research results exploitation through spin-off companies: <http://www.ubu.es/ubuemprende>
- Scientific Culture and Innovation Unit (UCC+i):
<http://www.ubu.es/divulgacion-cientifica-ucci-ubu>
- I Equal Opportunities Plan:
<http://www.ubu.es/unidad-de-igualdad-de-oportunidades/informacion-general/i-plan-de-igualdad-de-oportunidades>
- Diversity Unit:
<http://www.ubu.es/unidad-de-atencion-la-diversidad>
- Protocol of action in situations of sexual harassment or harassment by reason of gender:
http://www.ubu.es/sites/default/files/portal_page/files/3_2_protocolo_de_actuacion_en_caso_de_acoso_sexual_v4_0.pdf

Survey for researchers on the principles of this heading: values per researcher category and total:

| | Question | R1 | R2 | R3 | R4 | TOTAL |
|----|--|------|------|------|------|-------|
| Q1 | The UBU promotes the adaptation of my research activity to the ethical principles of the related scientific disciplines | 3,63 | 3,82 | 3,82 | 4,00 | 3,80 |
| Q2 | The UBU provides adequate information about the national, sectorial or institutional regulations related to my training and working conditions, including Intellectual Property Rights regulations and requirements funders and/or sponsors. | 3,42 | 3,89 | 3,74 | 4,14 | 3,78 |
| Q3 | My research activity is carried out in adequate conditions of safety and health, including data protection and computer accident measures (backup strategies...) | 3,63 | 3,98 | 3,84 | 3,95 | 3,87 |
| Q4 | The UBU facilitates and promotes the dissemination of my research and the exploitation of its results. | 3,39 | 3,88 | 3,75 | 4,27 | 3,80 |
| Q5 | The UBU facilitates that the results of my research are made known to a non-specialized public and society in general. | 3,06 | 3,66 | 3,63 | 3,82 | 3,56 |
| Q6 | The UBU does not discriminate against researchers on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition. | 4,50 | 4,38 | 4,20 | 4,55 | 4,36 |
| Q7 | The UBU should have its own system for evaluating the researcher's professional performance. | 4,12 | 3,71 | 3,48 | 3,45 | 3,68 |

Questionnaire based on Likert scale with 5 levels: Strongly disagree, Disagree, Neither agree nor disagree, Agree and Strongly agree (1 to 5 points assigned respectively)

2.- Recruitment and selection

The UBU has established **well-defined internal selection and hiring processes**, in accordance with national and regional regulations:

- For R1 the process is defined in an annual call within the framework of the UBU internal program. The UBU also welcomes doctoral students selected by different public programs according to their own rules and procedures.

- For R2, R3 and R4: recruitment for different categories of teaching and research staff according to internal regulations. Specific calls linked to specific R&D projects are also implemented. The selection rules and conditions for R2 researchers hired in the framework of public programs (Juan de la Cierva, Ramón y Cajal, etc.), are defined by the funder organizations.

The recruitment procedures are aligned in their main aspects with the OTM-R principles: **transparency** in terms of detailed information on the requirements of each position, procedures and information about the results of the processes (through detailed minutes published on the UBU website), especially in calls addressed to teaching and research staff. The assessment of the **merits** includes aspects of **mobility**, **seniority** and **special qualifications**. Current institutional regulations guarantee **non-discrimination** and complaint mechanisms are available.

The offers are advertised through the university website mainly, being disseminated through different sections. Nevertheless, there are **no systematic procedures** to manage neither the international dissemination of offers nor recruitment processes. Only specific job offers, normally linked to international R&D projects, are translated into other languages and disseminated at European level, according to the criteria of the researcher in charge of the project. In general, the access to the information about job offers could be improved with a **specific section** devoted to research vacancies.

The UBU **complies with national and regional legislation regarding the composition of the selection committees for internal calls**, with a balanced rate in parity between men and women, and following the principles of impartiality and professionalism. Additionally, particular actions can be done to provide more information on the profiles of the members of the selection committees in recruitment processes linked to specific R&D projects, promote greater diversity in their composition within the current national regulation, and in the ex-post communication to candidates for selection processes linked to R&D projects.

With regard to **postdoctoral appointments**, the UBU does not have in-house calls for R2, so related regulations have not been developed. Postdoctoral researchers are selected according to the public funding programs rules. For fixed-terms contracts (usually linked to R&D projects or those funded within the framework of public programs such as Juan de la Cierva, Ramón y Cajal... for R2 researchers), the automatic stabilization of the contract is not considered, once the public financing has been completed.

Links to the main current rules and practices concerning the heading:

- Regulations on Sabbatical Leave (Mars 2009):
www.ubu.es/sites/default/files/portal_page/files/reglamento_de_ano_sabatico_de_la_ubu_t exto_refundido.pdf
- Regulation of Functions and Exams of Associated Health Professors and Health Collaborators (September 2015):
https://www.ubu.es/sites/default/files/portal_page/files/reglamento_de_profesores_asociados_sanitarios_bocyl_21-09-2015.pdf
- Regulation for the vacancies provision of Assistant, Assistant Professor Doctor and Associate Professor (March 2016): http://www.ubu.es/sites/default/files/portal_page/files/reglamento_concurso_profesorado.pdf
- Regulations and call for proposals for predoctoral contracts (January 2008):
<http://www.ubu.es/sites/default/files/articles/files/predotorales2018.pdf>
- Regulation for the access to UBU of Teaching Officials (May 2009):
http://www.ubu.es/sites/default/files/portal_page/files/reglamento_concursos_acceso_pdi_f unc_ac_gons_gob._18-05-09_bocyl_28_mayo_0.pdf
- Job stability plan for Teaching and Research Staff and Administrative Staff (February 2007):
http://www.ubu.es/sites/default/files/portal_page/files/plan_especial_estabiliza_pdi_contrat_ado_ubu.pdf

Survey for researchers on the principles of this heading: values per researcher category and total:

| | Question | R1 | R2 | R3 | R4 | TOTAL |
|------------|--|------|------|------|------|-------------|
| Q8 | The UBU procedures for recruiting researchers: | | | | | |
| | 1- Are open | 3,55 | 4,27 | 3,98 | 4,14 | 4,04 |
| | 2- Are transparent | 3,41 | 4,09 | 3,83 | 3,95 | 3,87 |
| | 3- Are Internationally comparable | 3,15 | 3,64 | 3,30 | 3,65 | 3,43 |
| | 4- Include a broad description of knowledge and competencies required. | 3,47 | 4,03 | 3,71 | 3,86 | 3,78 |
| | 4- Include proper information about working conditions and entitlements. | 3,70 | 3,94 | 3,71 | 3,95 | 3,82 |
| | 5- Are realistic in terms of call for applications and reply | 3,90 | 4,25 | 4,00 | 4,18 | 4,10 |
| Q9 | The UBU ensures that the selection committees bring together diverse expertise and competences and have an adequate gender balance and, where appropriate and feasible, include members from different sectors and disciplines (including international experts) and with relevant | 3,47 | 3,87 | 3,29 | 3,82 | 3,60 |
| Q10 | The evaluation of the merits in the selection processes of the UBU is balanced between criteria based on bibliometric indices and others such as teaching, knowledge transfer, management, supervision and awareness activities. | 3,43 | 3,83 | 3,41 | 4,05 | 3,67 |
| Q11 | Mobility experiences (stays in another country/region, changes in discipline, or between the public and private sectors) are recognized by the UBU as a valuable contribution to the professional development of a researcher. | 3,80 | 3,89 | 3,28 | 3,64 | 3,63 |
| Q12 | The UBU provides for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. | 3,63 | 3,78 | 3,36 | 3,50 | 3,57 |

Questionnaire based on Likert scale with 5 levels: Strongly disagree, Disagree, Neither agree nor disagree, Agree and Strongly agree (1 to 5 points assigned respectively)

3.- Working conditions

The UBU offers a **suitable working environment** in terms of health and safety conditions, facilities and infrastructures (including access to equipment from the other regional universities of Castilla y León thanks to INFRARED program), and compliance with current regulations for **working conditions** in salaries, flexible hours, part-time work, tele-working, sabbaticals, etc. The dissemination of information on these regulations, services and procedures has to be improved.

There is a **wide normative affecting the different stages of the researcher's professional development** (academic dedication, sabbaticals, provision of places, internal promotion, creation of spin-off, appointment of profesors emeritus, etc.), but they are not compiled in a **consolidated document**. This is not the case for R1 level, with a well-defined strategy and procedures implemented by the Doctorate School. The UBU also has its **own stability plan** for hired teaching and research staff (for R2 and R3). However, continuity of post-doc researchers hired in the framework of public funding programs can not be guaranteed.

The University Employment Unit provides guidance on professional development, especially to students and graduates, Nevertheless, support on professional guidance for researchers must be reinforced. With this aim, the University Employment Unit will extend their services to the research community, among them **individualized coaching activities** (UBUEMPLEA action, already in place for students).

Additionally, **training on transversal skills** is guaranteed through specific annual plans designed and implemented by the Educational Innovation and Training Institute (IFIE). The UBU encourages and facilitates the **mobility of researchers through internal calls** for financial support for mobility actions, the compatibility of the research career with teaching by means of specific internal regulations (from R1 to R4 levels).

Co-authorship is widely recognized in the regulations of the UBU: the Statutes of the University regulate authorship and co-authorship for all categories of researchers, including R1 (Chapter II). However, there is a **lack of knowledge** about the legislation and internal regulations, especially among R1 and R2 researchers.

The university ombudsman -independent figure devoted to the defense of the interests of researchers with regard of work-related and professional development issues, among other tasks and areas of activity- and the protocols in force guarantee the **right of claiming and appealing** in a wide range of issues concerning researchers.

Finally, the Statutes of the University of Burgos guarantee the participation of researchers of all levels in the Governing Council (the highest governing body of the institution), the boards of centers, the commissions of departments (composed of R2, R3 and R4 researchers, with a representation of PhD students), among other bodies.

Links to the main current rules and practices concerning the heading:

- Occupational Hazards Prevention Plan (January 2011):
http://www.ubu.es/sites/default/files/portal_page/files/bocyl-d-13012011-9.pdf
- Procedure for the integration of occupational hazards prevention in research activities:
http://www.ubu.es/sites/default/files/portal_page/files/uprl-pr-ps-032-00_definitivo_definitivo_6.pdf
- Technical prevention instructions for the use of machines and work equipment
(http://www.ubu.es/sites/default/files/portal_page/files/uprl_pr_it_006_firmada.pdf)
- PAMEL Equipment Maintenance Programme:
<http://www.ubu.es/parque-cientifico-tecnologico/informacion-general/para-los-investigadores-de-la-ubu/programa-pamel>
- INFRARED program to share equipment among the universities of Castilla y León:
<http://www.ubu.es/investigacion/convocatorias-y-ayudas/fondos-de-la-ue/financiacion-feder-de-la-ubu/programa-operativo-2014-2020/proyectos-con-fondos-feder-2018/proyectos-con-fondos-feder-regional-0>
- Educational innovation and training Institute (IFIE): <http://www.ubu.es/instituto-de-formacion-e-innovacion-educativa-ifie>

- Regulations on Sabbatical Leave (Mars 2009):
www.ubu.es/sites/default/files/portal_page/files/reglamento_de_ano_sabatico_de_la_ubu_texto_refundido.pdf
- I Equal Opportunities Plan:
<http://www.ubu.es/unidad-de-igualdad-de-opportunidades/informacion-general/i-plan-de-igualdad-de-opportunidades>
- Strategy in Research and Doctoral Training at the University of Burgos (July 2012):
https://www.ubu.es/sites/default/files/portal/files/estrategia_investigacibrvbar_n_ubu_-_julio_2012_final_1.pdf
- Job stability plan for Teaching and Research Staff and Administrative Staff (February 2007):
http://www.ubu.es/sites/default/files/portal_page/files/plan_especial_estabiliza_pdi_contratado_ubu.pdf
- Regulations for the appointment of professors emeritus (July 2006):
http://www.ubu.es/sites/default/files/portal_page/files/2006_06_23_reglamento_nombramiento_profesores_emeritos_-_consolidado_0.pdf
- Annual call for grants for mobility of PhD students:
<http://www.ubu.es/te-interesa/convocatoria-ayudas-para-movilidad-de-alumnos-de-doctorado-de-la-universidad-de-burgos-ano-2018>.
- Call for mobility grants for research staff involved in European consortiums:
<http://www.ubu.es/te-interesa/convocatoria-para-financiar-gastos-de-movilidad-del-personal-investigador-modalidad-viajes-relacionados-con-el-establecimiento-de-consorcios-europeos>
- University Ombudsman: <http://www.ubu.es/defensora-universitaria>
- Interpersonal Conflict Commission:
<http://www.ubu.es/unidad-de-prevencion-de-riesgos-laborales/gestion-de-la-prevencion/comision-para-la-resolucion-de-conflictos-interpersonales>
- Protocol for the resolution of interpersonal conflicts (November 2010):
http://www.ubu.es/sites/default/files/portal_page/files/proocolo_resolucion_conflictos_interpersonales.pdf
- Protocol of action in situations of sexual harassment or harassment by reason of gender:
http://www.ubu.es/sites/default/files/portal_page/files/3_2_protocolo_de_actuacion_en_caso_de_acoso_sexual_v4_0.pdf

Survey for researchers on the principles of this heading: values per researcher category and total:

| | Question | R1 | R2 | R3 | R4 | TOTAL |
|------------|--|------|------|------|------|-------------|
| Q13 | The UBU provides me with a favorable environment to develop my research activity in terms of facilities and equipment, health and safety conditions ... | 3,70 | 3,86 | 3,64 | 4,00 | 3,78 |
| Q14 | The UBU guarantees, as appropriate, flexibility for a successful research performance in accordance with existing national legislation, in order to combine family and work, and other aspects such as flexible working hours, teleworking, sabbatical periods | 3,66 | 3,65 | 3,46 | 3,81 | 3,60 |
| Q15 | The UBU provides me with specialized support and guidance on aspects related to my scientific career and my professional development. | 3,30 | 3,62 | 3,53 | 3,68 | 3,54 |
| Q16 | The UBU has established appropriate procedures to deal with appeals and complaints related to working conditions of researchers and conflicts concerning supervisor(s) and early-stage researchers. | 3,23 | 3,49 | 3,33 | 3,70 | 3,42 |

| | | | | | | |
|------------|---|------|------|------|------|-------------|
| Q17 | The UBU allows researchers to be legitimately represented in relevant information, consultation and decision-making bodies of the institution, to protect and promote their individual and collective interests as professionals and to actively contribute to workings of the institution. | 3,48 | 3,84 | 3,60 | 3,68 | 3,67 |
|------------|---|------|------|------|------|-------------|

Questionnaire based on Likert scale with 5 levels: Strongly disagree, Disagree, Neither agree nor disagree, Agree and Strongly agree (1 to 5 points assigned respectively)

4.- Training and development

The Doctoral School has developed a broad regulation on the role of **supervisors** and their interaction with students, including mechanisms such as the "supervision commitment agreement": accepted and signed by both parties, regulates the key aspects of their relationships. Nevertheless, no supervision or mentoring instruments have been put in place for R2 researchers.

With regard to **continuous professional development**, the UBU has a large training offer on transversal skills, both through the Doctoral School's training actions for R1 (including financial support to attend training actions) and from the Educational Innovation and Training Institute (IFIE) for any level. The extension and intensification of the services provided by the University Employment Unit will complete the support for these principles.

Links to the main current rules and practices concerning the heading:

- Regulations of the Doctoral School's Internal Regime (March 2013):
<http://bocyl.jcyl.es/boletines/2013/03/18/pdf/BOCYL-D-18032013-2.pdf>
- Doctorate Regulations (March 2013):
<http://bocyl.jcyl.es/boletines/2013/03/18/pdf/BOCYL-D-18032013-1.pdf>
- Regulations and call for proposals for predoctoral contracts (January 2008):
<http://www.ubu.es/sites/default/files/articles/files/predoctorales2018.pdf>
- Educational Innovation and Training Institute (IFIE):
<http://www.ubu.es/instituto-de-formacion-e-innovacion-educativa-ifie>
- Doctorate School:
<http://www.ubu.es/escuela-de-doctorado>
- Training in Research of the Doctoral School; permanent and continuous training for professional development, including transversal activities for R1 researchers:
<http://www.ubu.es/escuela-de-doctorado/programas-de-doctorado/formacion-en-investigacion-actividades-transversales>
- Training Plan for Teaching and Research Staff (November 2015):
http://www.ubu.es/sites/default/files/portal_page/files/pfp_texto_consolidado.pdf
- Training Plan for New Teaching Staff (November 2015):
http://www.ubu.es/sites/default/files/portal_page/files/plan_formacion_profesorado_novel_modificado_cg_12_nov_2015.pdf
- Training Plan for Virtual Teaching (February 2015):
http://www.ubu.es/sites/default/files/portal_page/files/plan_de_formacion_para_la_ensenanza_virtual.pdf
- Call for grants for on-demand training (2018):

https://www.ubu.es/sites/default/files/highlight/files/convocatoria_ayudas_formacion_2018.pdf

Survey for researchers on the principles of this heading: values per researcher category and total:

| | Question | R1 | R2 | R3 | R4 | TOTAL |
|-----|--|------|------|------|------|-------|
| Q18 | The UBU promotes and evaluates good practices between the supervisors and the researchers in their training phase in terms of ensuring structured/regular follow-up, records keeping of the work progress and research findings, feedback by means of reports and seminars, working in accordance with agreed schedules, milestones, deliverables and/or research outputs. | 3,38 | 3,50 | 3,31 | 3,74 | 3,44 |
| Q19 | The UBU provides adequate means, such as formal training, workshops, conferences and e-learning, for researchers at all career stages to continually improve themselves by regularly updating and expanding their skills and competencies. | 3,94 | 4,09 | 3,85 | 4,32 | 3,99 |

Questionnaire based on Likert scale with 5 levels: Strongly disagree, Disagree, Neither agree nor disagree, Agree and Strongly agree (1 to 5 points assigned respectively)

3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: FALTA

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

| Proposed ACTIONS | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|-------------------------|---|----------------------------------|--|
| <p>1.- Training on IPR addressed to researchers. <i>Training actions will be focused on two objectives. Firstly, to address technical issues related to intellectual property rights such as how to identify, protect, manage and exploit IP assets, including licensing and spin-off companies. Secondly, to inform about in house regulations and</i></p> | 3, 8, 31 | Continuous | OTRI (Knowledge Transfer Office) | Number of workshops (2). Number and satisfaction of attenders (90). |

| | | | | |
|---|---------------|----------|-----------------------------------|--|
| <p>available support services on the subject.</p> <p>The Workshops will be organized within the annual training plan of the IFIE in collaboration with other units of the UBU. Speakers will be both external experts and professionals coming from the internal support units.</p> | | | | |
| <p>2.- Anti-plagiarism tool.</p> <p>Over the last few years, the UBU has been using the TURNTIN software to control plagiarism in academic works. This technology will be applied for the same purpose in the field of research. During the action plan, the main tasks will be focused on the development of the protocols to be used and their implementation.</p> <p>In addition to it, it will also be adapted to the needs of the Publications Service of the UBU, responsible for publishing and managing the production of the research and cultural creation works at UBU.</p> | 3 | Q2 to Q4 | Vice-Rector for Academic Policies | Tool implemented. Number of users (67). |
| <p>3.- Code of Good Practices in Research.</p> <p>The code should be understood as a collective self-regulation instrument that will reinforce and complement the commitments and recommendations included in the internal regulations, both the ones already in form at the UBU and those to be defined and incorporated during the HRS4R action plan.</p> <p>It would gather questions such as: honesty, conflicts of interest, research protocols, team leadership, supervision of personnel in training, use of facilities, safekeeping of</p> | 2, 3, 4, 7, 8 | Q3 to Q7 | Doctorate School | Document published, available and e-mailed to researchers. |

| | | | | |
|--|--|------------|---|---|
| <p>information and protection of results, authorship, safety and environment, experimentation with humans and animals... The code will be submitted for the approval of the governing council.</p> | | | | |
| <p>4.- Awareness-raising workshops on good practices in research. Once the Code of Good Practices in Research has been approved, presentation sessions and awareness-raising workshops will be organized on the subject.</p> | 2, 3, 4, 7, 8 | Continouos | Vice-Rector for Research and Knowledge Transfer | Number of workshops (2). Number and satisfaction of attenders (200). |
| <p>5.- Researcher's Guide. It will be a tool specifically designed to help researchers to manage the services and resources available at the UBU, such as the university library, the knowledge transfer office, the human resources service, the research management service, complaining and appeals instruments, training offers, among others. The guide will be available on the university website.</p> | 4, 5, 8, 12, 13, 14 15, 23, 24, 25, 26, 30, 31, 32 | Q1 to Q4 | Research Management Service | Document approved. |
| <p>6.- Welcome protocol for new researchers. This protocol would complement the Researcher Guide, aimed at providing new employees with the basic necessary information to facilitate a proper and quick integration into the university work environment, including aspects related to their contracting conditions, access to facilities, labor rights and research activity performance.</p> | 4 | Q2 to Q4 | International Relations Service | Document approved. Number of users (20). |
| <p>7.- Service to researchers on diversity issues.</p> | 10 | Continouos | Diversity Unit | Service available. |

| | | | | |
|--|--------|----------|---|---|
| <p><i>The Diversity Unit, created in 2002, provides support to students with disabilities, having developed a service charter, which includes the management of their accessibility needs and awareness activities. The objective of this action is to expand the scope of the Diversity Unit to provide services to researchers on a regular basis.</i></p> | | | | |
| <p>8.- II Equal Opportunities Plan. <i>Strengthening and updating of the measures currently in force within the framework of the I Equal Opportunities Plan, whose objective is to achieve equal treatment and opportunities between women and men and to eliminate discrimination based on sex.</i></p> | 10, 27 | Q1 | Equal Opportunities Unit | Document approved and disseminated. |
| <p>9.- Programme for registration and evaluation of the scientific productivity of researchers. <i>Since December 2017, the UBU has been assigned to ORCID, a unique, international and independent identification system for research personnel, the first step for the registration and subsequent evaluation of the scientific activity of researchers of the UBU.</i> <i>This evaluation will be managed through the OGMIOS tool, technology developed by the University of Málaga, which collects, classifies and updates the most relevant indicators of scientific production.</i></p> | 11 | Q1 to Q4 | Vice-Rector for Research and Knowledge Transfer | Tool implemented. Number of researchers registered and evaluated (400). |
| <p>10.- Productivity-based Research Financing Programme. <i>In order to stimulate and assess the professional</i></p> | 11 | Q2 to Q4 | Vice-Rector for Research and Knowledge Transfer | Programme implemented. Number of Researchers and |

| | | | | |
|--|----------------|------------|------------------|---|
| <p>performance of researchers, the UBU will implement a program to allocate internal economic funds on a scientific productivity-based basis. The action will be addressed both to individual researchers and to the 67 recognized research groups at the UBU.</p> | | | | <p>research groups funded (30).</p> |
| <p>11.- Guidance services on professional development. The University Employment Unit already provides guidance on professional development to students and graduates, including individualized coaching services. This action is focused on to extending the scope of this unit in order to provide coaching services to researchers. A key task will consist of reviewing and adapting the current protocols. One of the main targets of this action will be researchers with a fixed-term contract.</p> | 25, 30, 29 | Continuous | UBUEMPLEA Unit | <p>Service available. Number of researchers using the service (30).</p> |
| <p>12.-Regulations for the supervision and mentoring of postdoctoral researchers. The objective of the action is to support R2-level researchers in their research performance and the further development of their professional careers through supervision and mentoring. The specific protocols and practices already developed by the Doctorate School, addressed to PhD researchers, will be a reference to define the different aspects of this action. For instance, an ad-hoc commitment will be set up to regulate supervisors/mentors-postdoctoral researcher relationships.</p> | 28, 37, 39, 40 | Q5 to Q8 | Doctorate School | <p>Regulation approved. Number of researchers using the service (20).</p> |

| | | | | |
|--|----|----------|---|-------------------------------------|
| <p>13.- Research Career Guide. The guide will include general information on the map of the scientific career in Spain, grants, support units... as well as the UBU's own actions: advisory services, training for different stages, types of recruitment calls, etc.</p> | 28 | Q1 to Q6 | Vice-Rector for Teaching and Research Staff | Document approved and disseminated. |
|--|----|----------|---|-------------------------------------|

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment.

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R, based on the weaknesses identified in the OTM-R:

| Proposed ACTIONS | OTM-R Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---------------------------|---|---|---------------------------------|
| <p>1.- OTM-R Protocol. It will collect the whole set of internal rules regarding the advertisement, selection and hiring of the research staff at all levels within UBU, as well as the procedures and practices associated to them. For its production, the following work patterns will be considered: -The aspects of the OTM-R process that already satisfy the requirements of the Charter & Code could be restated or reinforced with the purpose of improving the current practices. -For those aspects which need adequacy measures for the Charter & Code requirements, the OTM-R Protocol will collect the improvements implemented in the framework of the HRS4R Action Plan.</p> | | | <ul style="list-style-type: none"> - Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources | Protocol approved. |
| <p>2.- Training on OTM-R.</p> | | Continuous | - Vice-Rector for Research and | Number of workshops (2). |

| | | | | |
|--|--|-----------------|--|--|
| <p>The university will organize workshops for the staff involved in the tasks of the Action Plan: members of the Strategic Actions Committee, staff from other involved units, etc. On the following stage, the workshops will be open to the rest of the research community and the service staff.</p> | | | <p>Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources .</p> | <p>Number and satisfaction of attenders (200).</p> |
| <p>3.-Central website for R&D offers. A section within the UBU website will be exclusively devoted to the advertisement of the research job offers, whether they are framed within the official announcements in the institution or within R&D projects.</p> | | <p>Q2 to Q4</p> | <p>- Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources .</p> | <p>Web section available.</p> |
| <p>4.- Improve the advertisement of job offers. On the one hand, the number of job offers advertised through external platforms to UBU will increase. The initial target would be the positions associated to R&D projects, mainly those carried out within the framework of international consortia. On the other hand, forms and sheets would be created for each announcement (whether official or belonging to a project) with the aim of advertising it. Those documents will complement the official announcement, so they will have to include detailed information about the different aspects collected in the Charter & Code, such as the implications of the position in the candidate's professional trajectory, institutional policy of gender equality, rights over the generated IPR, etc.</p> | | <p>Q1 to Q4</p> | <p>- Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources .</p> | <p>Complementary templates. Job adverts in national and international platforms (40% increased).</p> |

| | | | | |
|---|--|------------|--|---|
| <p>5.- Increase diversity in the composition of the selection committees. <i>Inasmuch as the national and regional regulation allows, certain measures will be analyzed, adapting them to every kind of announcement regarding criteria that affect the appointment of members of the selection committees, such as origin, sector and professional profiles.</i></p> | | Q2 to Q8 | <ul style="list-style-type: none"> - Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources . | <p>Number of members coming from other institutions, companies, etc (40% increased)..</p> |
| <p>6.- Specialized training of the members of the Selection Committees. <i>Within the training provision of the Institute for Training and Educational Innovation there will be courses of interest for those members of the research community participating in selection processes. The educational contents will focus on topics such as interview techniques, assessment of qualifications, etc.</i></p> | | Continuous | <ul style="list-style-type: none"> - Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources . | <p>Number of workshops (4). Number and satisfaction of attenders (60).</p> |
| <p>7.- Information about the profile of the members of the selection committee. <i>A transparency measure will be implemented as the profiles of the members of the selection committees at the UBU website will be published in every announcement. The main gaps identified regarding this aspect have been detected in the openings related to projects. There will be other additional transparency measures implemented.</i></p> | | Q2 to Q8 | <ul style="list-style-type: none"> - Vice-Rector for Research and Knowledge Transfer. - Vice-Rector for Teaching and Research Staff. - Human Resources . | <p>Number of profiles published on the UBU website (40).</p> |
| <p>8.-Improve the information supplied to the candidates after the selection process. <i>Improvements will be made regarding the information given to the candidates after</i></p> | | Q3 to Q8 | <ul style="list-style-type: none"> - Vice-Rector for Research and Knowledge Transfer. | <p>Minutes of the selection processes published (40% increased).</p> |

| | | | | |
|---|--|--|---|--|
| <p><i>the selection process, whether they are chosen or not. The R&D programs already published the minutes with their assessment, a practice that will be extended to the rest of the selection processes.</i></p> | | | <p>- Vice-Rector for Teaching and Research Staff. - Human Resources</p> | |
|---|--|--|---|--|

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

4. IMPLEMENTATION

General overview of the expected implementation process:

The HRS4R process is approached from the highest institutional compromise, in line with the Strategic Research and Knowledge Transfer Plan 2019-2024. All the scheduled actions included in this plan and the HRS4R will share the same calendar and execution mechanisms. The OTM Protocol at University of Burgos is constituted as the tool that regulates the human resources hiring policies for research. The tool for technical supervision would be an ad hoc committee, while a Steering Committee would be used for its institutional supervision. Some of the tools used to ensure its correct implementation are regular meetings, progress reports and scorecard indicators.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

| Checklist | *Detailed description and duly justification |
|--|--|
| <p>How will the implementation committee and/or steering group regularly oversee progress?</p> | <p>The supervision of the HRS4R process will be carried out at two levels. Firstly, the University of Burgos will create the so-called “Committee for Strategic Actions”, whose mission is guiding and supervising the implementation of the whole of strategic actions—including knowledge transfer—that would be promoted in research policy in the period 2019-2024. These include the proposals comprised within the HRS4R Action Plan. This Committee will be composed by representatives from different services and units with direct competences in research, including the management of human resources, taking the structure of the Working Group for HRS4R as a point of departure, in charge of the GAP analysis and the Action Plan. It will be led by the Vice-Rector for Research and Knowledge Transfer. The final composition of this Committee will be decided by the end of 2018 and it will be submitted to the</p> |

| | |
|--|---|
| | <p>approval of the university's Management Board. It will be provided with the following supervision tools:</p> <ol style="list-style-type: none"> 1. A member of the Committee will act as coordinator of each of the ad hoc working groups (see next section) devoted to the following actions: Code of Good Practice in Research, Researcher's Guide, Welcome Protocol for New Researchers, and the Research Career Guide. They will participate in the different works and they will supervise the observance of deadlines and tasks 2. A member of the Committee will act as a liaison with those in charge of each of the remaining actions to supervise their development. 3. The Committee will celebrate regular coordination meetings (every 4 months maximum) to share the information about the implementation of every action and put forward correcting actions if necessary. <p>On the other hand, a high-level Steering Committee will be created for the institutional follow-up of the process. It will be composed of:</p> <ul style="list-style-type: none"> - Manuel Pérez Mateos (Rector) - Jose Miguel García (Vice-Rector for Research and Knowledge Transfer) - José María Cámara (Vice-Rector for Teaching and Research Staff) - Joaquín Pacheco (Director of the Doctorate School) - Begoña Prieto (Vice-Rector for Academic Policies) <p>The Vice-Rector for Research and Knowledge Transfer, as head of the Committee for Strategic Actions, will inform regularly of the development of the implementation of the Action Plan to the Management Board and, if necessary, the Governing Board.</p> |
| <p>How do you intend to involve the research community, your main stakeholders, in the implementation process?</p> | <p>The action plan includes heterogeneous actions regarding its scope, duration and technical complexity. Therefore, the necessities and ways of involving researchers will differ depending on the nature of each action.</p> <p>For the ad hoc working groups in charge of the actions, such as devising the Code of Good Practice in Research and the Research Career Guide, some researchers (mainly from the R3 and R4 levels) will participate in these tasks as members.</p> <p>For the remaining actions (numbers 1, 2, 4, 7, 8, 9, 10, 11, 12 and 14), in which one unit or service from the University will be the direct responsible of the action implementation (in collaboration with a reduced number from other services), there will be enquiry and evaluation mechanisms with the research community: suggestion boxes about implemented actions, satisfaction surveys about new services and practices, etc.</p> |

| | |
|--|---|
| | <p>Other methods for involving the research community in the implementation of the action plan will be:</p> <ul style="list-style-type: none"> - Representation of researchers directly in charge of some of the units involved in the implementation of the different actions, such as the Doctorate School, the Commission of Bioethics or the IFIE. - Representation of researchers in the Governing Board, in charge of the approval of the strategic actions carried out by the university, among others, many of the measures included in the HRS4R Action Plan. |
| <p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p> | <p>The adoption of the principles of the Charter & Code implies a position in favor of the quality and transparency in the management of their human resources for researchers. The HRS4R process, which would allow the institution to adapt the current practices to the requirements of the 40 principles, is conceived as a structural project, as it vertebrates the future policy and practices for the institution in these matters.</p> <p>To this end, the preparation and the implementation of the Action Plan are approached from a strategic perspective: through 2018, the University of Burgos has been designing their Strategic Research and Knowledge Transfer Plan 2019-2024, which will draw the strategic lines of the institution in subjects such as the internal organization of their research activity, the transfer of their results to society, the international cooperation in R&D, and talent management. The adopted measures to ensure the alignment of the HRS4D process with the mentioned plan are:</p> <ul style="list-style-type: none"> - A joint working group for the elaboration of the HRS4R and the strategy plan, with the same members, although they will follow different methodologies while evaluating the situation of each of them. - The actions included within the Action Plan for the HRS4R will be introduced in the lines of action of the Strategic Plan to ensure the institutional compromise, the detection of synergies that may appear with different strategic lines during its implementation and the adequate coordination of the actions. - The planning of the works design in both plans intends on co-occurring with its effective date, January 1st, 2019. - The implementation of the actions included in both plans will be supervised and coordinated by a single instrument: the Committee for Strategic Actions of the University of Burgos. |
| <p>How will you ensure that the proposed</p> | <p>First, in the regulating sphere, the implementation of the suggested actions will be assumed as an institutional compromise by its highest authorities. The acknowledgment and approval of these will be double, as they are programmed within the framework of the HRS4R Action Plan as well as within</p> |

| | |
|---|---|
| <p>actions are implemented?</p> | <p>the Strategic Research and Knowledge Transfer Agenda. These projects will be approved by the university Governing Board, the highest decision-making body. These strategic and institutional quality equally affects the compromise and implication of the different actors in charge of its execution, as well as the resources endowment for its implementation.</p> <p>On the other hand, in the operative sphere, the UBU is endorsed with the following supervising elements (described in the previous sections) to ensure the implementation of the actions, making a continuous follow-up that allows to identify deviations of the plan and to introduce the necessary corrections:</p> <ul style="list-style-type: none"> - Committee for Strategic Actions - Coordinators of the ad hoc groups - Liaison agent for the assigned actions to specific units - Steering Committee |
| <p>How will you monitor progress (timeline)?</p> | <p>Measuring the progress of the Action Plan is one of the functions of the Committee for Strategic Actions. This Committee establishes the following control mechanisms:</p> <ol style="list-style-type: none"> 1. Regular meetings of its members (at least once every four months) in which the representatives of the units in charge of the specific actions may participate, in case those actions have suffered certain deviations according to the initial plan, to analyze the situation and, if necessary, to put forward additional actions to guarantee their execution. 2. At the end of the first year of the Action Plan (2019), a progress report will be produced. It will gather the tasks developed within each action, the stage of their implementation and the possible deviations regarding the initial schedule. External experts may help in the report to guarantee the impartiality of the evaluation. The report will be transferred to the Steering Committee for its supervision. |
| <p>How will you measure progress (indicators) in view of the next assessment?</p> | <p>The Committee for Strategic Actions will assume the ongoing task of measuring the progress of the planned actions in the HRS4R process. A scorecard will be the point of departure for gathering together the main indicators associated to each programmed action, such as:</p> <ul style="list-style-type: none"> - Organized training workshops - Number of attendees to events and workshops - Number of users of the services created or expanded (mentoring, attention to disability, etc.) - Information on the composition of the selection committees |

| | |
|--|---|
| | <ul style="list-style-type: none"> - Published job openings: resources, types... - Candidates and hired researchers: gender, categories... - Number of complaints. <p>Furthermore, regarding the interim assessment, other relevant indicators will be gathered for measuring the development of the indicators associated to the principles of the Charter & Code in which adjustment measures had not been previously detected. This is a way of guaranteeing no backward movements in their compliance.</p> <p>These measuring tasks will be assigned to a member of the Committee of Strategic Actions, in charge of coordinating the data collection with the different units involved in the Action Plan and the scorecard update. In this process two action contexts have been identified:</p> <ul style="list-style-type: none"> 1- Units involved in mechanisms of data collection, data bases and reference indicators. 2- Actions or services that, due to their novelty or other factors, are not measured. For them, indicators and collection mechanisms specially adapted to each case would be defined to collect the information. <p>The information collected in the scorecard would be part of the report of Intermediate Progress, a document that would set the basis for the composition of the forms of the interim assessment.</p> |
|--|---|

Additional remarks/comments about the proposed implementation process:

| |
|---|
| <p>The Action Plan of University of Burgos defined within the HRS4R process is the cornerstone of the Open, Transparent and Merit-based Recruitment (OTM-R) protocol. The toolkit suggested for the GAP analysis has been used as the basic tool for both the analysis of the C&C principles linked to this protocol and the planning of future actions.</p> <p>Although the University of Burgos has at its disposal a wide frame for internal rules of procedure regarding the principles that affect the OTM-R, in line with the current national and regional legislation, an opportunity to raise its strategic weight has been considered. This way, the rules of procedure and practices on this subject will be collected into an inclusive strategic document —the OTM Protocol of the University of Burgos— that would be structured depending on the stages of the recruiting process suggested by the OTM-R toolkit:</p> <ol style="list-style-type: none"> 1. Advertising and application phase 2. Evaluation and selection phase 3. Appointment phase |
|---|

Such Protocol would be incorporated to the internal rules of procedure after its approval by the Government Board of the University, becoming a regulatory instrument of the hiring policy of human resources for research of the institution.

Some of the suggested improvement actions are:

1.- Advertising and application phase

Central website for R&D offers

Improve the advertisement of job offers

2.- Evaluation and selection phase

Increase diversity in the composition of the selection committees

Specialized training of the members of the Selection Committees

Information about the profile of the members of the selection committee

Improve the information supplied to the candidates after the selection process

3.- Appointment phase

The OTM-R protocol will include contents approached in other actions of the Action Plan, although overlapping will be avoided, such as number 5 (Research Guide) and number 6 (Welcome protocol). These will reinforce the information and assessment for researchers since the moment in which they are hired in questions such as the terms of contractual and legal rights and obligations, accountability, intellectual property rights and the exploitation of R&D results, complaints, etc.

BOUBU

BOLETÍN OFICIAL DE LA UNIVERSIDAD DE BURGOS

SECRETARÍA GENERAL
Hospital del Rey, s/n
09001 Burgos

<http://www.ubu.es>

boubu@ubu.es - Tel.: 947258945 - Fax: 947258744

Depósito Legal: BU.-222.-2005 - ISSN: 1885-0537