UNIVERSIDADE
DE VIGO

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: **Universidade de Vigo**

Organisation's contact details: María Belén Rubio (Vicerrector for Research) Campus universitario, s/n, Vigo, Pontevedra (Galicia), 36310, vicinv@vigo.es Tel.: +34 986 813 597

Web-link to published version of organisation's HR Strategy and Action Plan: …https://www.uvigo.gal/sites/uvigo.gal/files/contents/paragraph-file/2018-12/HRS4R_UVigo_Action_Plan.pdf ……………………………………………………………..

Web-link to organisational recruitment policy (OTM-R principles):[45]
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SUBMISSION DATE TO THE EUROPEAN COMMISSION: ………30TH OF MAY, 2019……

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	1.709
Of whom are international (i.e. foreign nationality)	52
Of whom are externally funded (i.e. for whom the organisation is host organisation)	476
Of whom are women	766
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	993
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	193
Of whom are stage R1 = in most organisations corresponding with doctoral level	522
Total number of students (if relevant)	20.283
Total number of staff (including management, administrative, teaching and research staff)	2.565
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	172.552.088,00 €
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure, …)	122.644.360,00 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	16.167.876,00 €
Annual funding from private, non-government sources, designated for research	6.600.000,00 €

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

ORGANISATIONAL PROFILE *(a very brief description of your organisation, max. 100 words)*

Established in 1990, the University of Vigo is a public university with three campuses (Ourense, Pontevedra and Vigo). The structure of the research is conformed in research groups which merge into Clusters and Research Centres: CINBIO (Biomedical Centre), CIM (Marine Centre) and AtlanTTIC (Technology of the Information and Communication Centre).

The infrastructure map is formed by CACTI (Scientific-Technical support Centre for Research), ECIMAT (Marine Station), CITI (Technological and Industrial centre) and MTI (Technological Module for Research).

The University of Vigo has been ranked sixth in the U-ranking classification and fourteenth in the Shanghai´s ranking of the 62 Spanish universities

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

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

Ethical and professional aspects (1-11)

Strengths and Weaknesses (Interim Assessment, max 500 words) 567

Some of the C&C principles, (numbered between brackets) are **fully implemented**:

- (1) Research freedom is guaranteed within the framework of the principle of autonomy of the Universities - Organic Law 6/2001, art. 2 University Autonomy-, and in art.1 Nature of the University of Vigo of its new Statutes (approved by Decree 13/2019, January 24, Xunta de Galicia).

- (2) The Research Commission and the Board of Guarantees are the appropriate framework to develop ethical and professional aspects. Currently, UVIGO has different mechanisms to ensure ethical principles (https://www.uvigo.gal/es/investigar/idi-uvigo/estrategia-investigadora/etica-investigacion):

    o Ethics committee for animal experimentation, created in 2010, was designated in 2016 as authorized organ by the Xunta de Galicia. https://www.uvigo.gal/es/universidad/gobierno-uvigo/organos-colegiados/comisiones-universitarias/comite-etico

    o The mission of the Ethics committee at Faculty of Education and Sports Sciences is to promote an ethical behaviour in research and control of compliance with deontological standards for different activities http://fcced.uvigo.es/es/investigacion/comision-de-etica https://www.uvigo.gal/en/university/university-government/collegiate-bodies/university-commissions/ethics-committee

    o The Research Commission and the Tribunal of Guarantees address all the ethical issues that

that couldn't be delivered to any of the previous bodies.

- The Vice-Rector for Social Responsibility, Internationalization and Cooperation's, mission is to create an ethical commission that encompasses all the organs described and manages all the issues related to ethical principles whatever their approach is.

- (5) The contractual and legal obligations that governs the working conditions are appropriately regulated. The IP's regulation covers all issues related to IP. There are norms covering the creation of spin-offs and guides and recommendations for contractual and legal obligations.

- (6) Accountability processes are well supported by organizational working structures which facilitates the management of competitive projects and contracts.

- (7) The University has the commitment to adapt to the European regulation on protection of personal data (Instruction 5/2019 to develop measures for the processing of personal data at the UVigo). There are numerous services provided by the Workplace Safety and Prevention Service which, however, are practically unknown to the research community (R1 - R4). The university community is familiar with the Occupational Risks service (https://www.uvigo.gal/es/universidad/administracion-personal/organizacion-administrativa/servicio-prevencion-riesgos-laborales). Prevention courses are organized, simulations are carried out, centers have Emergency Plans, and the Unit prepares prevention reports for the centers.

- (8) The exploitation of research results (collaboration contracts with third parties, patents, start up creation, etc.) are promoted and regulated through various norms. There is a new regulation for spin-offs (EBTs creation) published in 2012 (https://www.uvigo.gal/es/investigar/transferencia-conocimiento/proteccion-valorizacion-resultados/spin-offs)

- (10) The Equal Opportunities Unit works intensely for avoiding any cases of discrimination, and prepares periodical reports for analysing the situation in the UVIGO (https://www.uvigo.gal/es/campus/igualdad). The new Statutes ratify the principle of equality between people.

Also, there are several principles that, that are **not fully implemented**, mainly because they demand further communication efforts.

- (3, 4) Many of the principles are considered partially implemented, because although its implementation commitment is tacit, they are not conveniently formalized or widely communicated.

- (9) The dissemination of research results in terms of open science lacks specific resources. The Scientific Culture Unit, recognized by the national Ministry of science, will apply for competitive calls to finance outreach projects. Technical staff has been hired for being responsible for this unit and to disseminate results to other research contexts and society. The UVIGO TV records events (conferences, courses, etc.) that can be reviewed trough UVIGO website. UVIGO has participated in documentary series of scientific dissemination produced by the 2TV (https://tv.uvigo.es).

Remarks (max 500 words) 261

After performing the initial assessment phase, the main priority was focused on the actions that could have a short-term impact in the academic community. In this sense, the strategic decision was to develop in a first phase actions that impacts the higher improvement of the ethical and professional aspects:

- "Define and publish the Code of Ethics of the UVigo" (action **1**),

- "Select and install an anti-copy Software" (action **3**),

- "Design and publish fact sheets on calls for projects and update FAQ calls" (action **4**),

- "Define and implement a data management plan for research projects at UVigo" (action **6**),

- "Define and create an "Accessible science dissemination Unit" of the UVigo" (action **8**) and

- "Prepare and elaborate a "Welcome Manual for New Researchers at UVigo" (action **5**) in order to the address the lack of knowledge identified in the community regarding many aspects.

PROPOSAL FOR NEW ACTIONS:

A1. Reinforce the communication of topics (Good practices in research that includes: (i) Security and health, (ii) Data recovery / backup management and (iii) Data protection and confidentiality, etc.) by: including information in the updates of the welcome manual, generate new content in the welcome courses or create new ad hoc courses, give greater visibility to this information on the web, etc.

Recruitment and selection (12-21)

Strengths and Weaknesses (Interim Assessment, max 500 words) 397

Different departments and research centers at UVIGO have their own profile in EURAXESS and regularly publish job offers in this platform. Recently, the profile of UVIGO was created and the University is working to unify all these profiles and offers.

Currently IPs publish the job offers with all the necessary information (profile, requirements, tasks to be developed, selection criteria, working conditions,...) in UVIGO mailing lists, as well as in job portals of the UVIGO (as for example the Campus do Mar), although not all job offers are published in Euraxess. Work is underway to encourage all researchers to publish offers through EURAXESS.

The main aspects to be improved are the principles that are **partially implemented**:

- (12) There is no specific policy defined for recruiting disadvantaged groups. Briefly explained, the process of selection and recruitment for research personnel, is carried out in three ways: i) Personnel for Research and Teaching or PDI (acronym in Spanish), ii) Researchers recruited in human resources funding programs, external to the University (European, national or regional) and iii) Researchers recruited and funded by research projects.

The C&C recommendations and OTM-R principles will be implemented initially for type researchers (iii) and followed later by type (i).

Regarding to recruitment and selection, these **principles are fully implemented**:

- (12,13,14,15,16,17,18,20) The norm for "Hiring researchers through R&D&I Project Funding" has been approved recently. The development of this regulation will include, among other aspects, the implementation of the 19 and 21 C&C principles.

- (19) Only official and homologated academic degrees are accepted as selection criteria. Degrees from other universities that are not officially recognized are analysed by a commission accordingly.

- (21) The "Hiring researchers through R&D&I Project Funding" norm and the "Program for the recruitment of post-doctoral staff for the intensification of research for junior lecturers" contribute to improve the appointment mechanism for post-doctoral researchers.

The improvements in this area were considered important from a strategic point of view, which lead to the organization a few actions in the short term that are expected to impact in the main weaknesses:

- "Design and publish the UVigo's Code of Good Practice in Research" (action 2),

- "Design a scientific and technological infrastructure map" (action 11),

- "Write a document about "Strategies for Professional Development of Researchers" at the UVigo" (action 12),

- "Network of tutors and mentors for young researchers" (action 13) and

- "Design and create a "Career Guidance Unit" (action 14).

Remarks (max 500 words) 91

As a result, the main actions related with recruitment and selection were planned to be implemented in the first phase, such as "Prepare the "Handbook of Good Practices in Recruitment of researchers at the UVigo" to go together with the implementation of new rules for "Complete implementation of the new rules for "Hiring researchers through R&D&I Project Funding"; publish and implement the OTM-R policy." (action **9**), "Hiring researchers through R&D&I Project Funding" (action **10**).

Working conditions (22-35)

Strengths and Weaknesses (Interim Assessment, max 500 words) 842

Some **principles are fully implemented**:

- (23) There are initiatives that guarantee an adequate research environment. This is achieved through the

call to support the maintenance for research infrastructures, access to infrastructures and other numerous activities of the Workplace Safety and Prevention Service.

- (24) The Equal Opportunities Unit develops solutions to achieve equal professional opportunities and conciliation between work and family life. There is an agreement in the Government Board on measures for equality and conciliation, and there is a programme for the integration of students with disabilities.

- (25) The University has launched 4 calls oriented towards work stability for researchers. Within the framework of the "Hiring researchers through R&D&I Project Funding" regulation, the temporary contracts that are service-oriented follow the national legislation in terms of stability and rights within and during the period of the contract, which does not permit renewal.

- (26) All the calls of the UVigo offer salary conditions that are competitive, and in fact, two of these calls permit a margin of negotiation in the remuneration of salary levels. The salaries of R3 and R4 are regulated according to the law for their categories and are complemented additionally with productivity bonuses. There is a minimal salary agreement level approved for R2 as well as for R1.

- (22, 23, 24, 25, 28, 34) These principles are also developed through QA systems based on ISO 9001 and ISO 17025 standards in some laboratories, singular centers and research support centers. National government have recently published (BOE 15/03/19) the "Status of the predoctoral researcher", UVIGO will adapt its regulations, taking advantage of the change of statutes, which affects the recognition of the profession of researcher, throughout his professional career, from the pre-doctoral phase, in all areas, including aspects of teaching (C&C 33 Teaching).

- (27) The UVigo has clear rules to guarantee gender equality. However, in some areas, such as in leadership and management, equilibrium has not yet been achieved. The principle of parity is fulfilled in governing bodies and appointment of different commissions.

- (29) Mobility is promoted through a specific call for funding; also, procedures are implemented to ensure transfer of grants between institutions.

- (32) Authorship rights are included in the UVigo's Code of Good Practice in Research.

- (33) In terms of teaching and research balance, there is a regulation that establishes the number of teaching hours for PDI (Personnel for Research and Teaching); the maximum teaching hours for R1 and R2 are included in the rules defined by the national and regional financial entities. There is a program for research intensification.

- (34) In terms of complaints and appeals, the UVigo has a Board of Guarantees. If the conflict is not solved following the recommendations of this committee, final mediation measures are set forth by the Human Resources Management area. We have the QSP mailbox (Complaints_suggestion_congratulations) which can be easily accessed from center`s websites. The QSP service respond within the next 15 days.

- (35) All groups are eligible to be represented in the information, consultation and decision-making bodies. There are different bodies (department council, faculty or school boards) where R3 and R4 are ex officio members. R1 and R2 have clearly established procedures for selection with candidacy period and voting. In other government bodies (Senate, Governing Council, delegated committees) there are also clear selection procedures for the participation of all groups R1, R2, R3, R4.

Some of the initiatives that are in place that are related to or linked to these principles are **not well known** among the research community.

- (31) In terms of intellectual property rights there are established rules, however, there is a general lack of awareness of them.

Some others are still a **weakness** for our organization:

- (25) Contracting and stability are conditioned by the replacement index (the percentage of personnel that can be replenished when other permanent staff has left the institution). This index is restricted and regulated at national and regional levels, and currently is restricted due to budget constraints. Regulation does not permit linked contracts and permanent contracts in public administration are very limited.

- (28, 30) In general terms, there are no initiatives that are targeted specifically for career development for researchers; there is no career development strategy; the mentor figure that provides support and orientation for R1 and R2 is the Principal Researcher or Professor; there is no structure to offer personnel or professional development orientation. We defined two action in the previous action plan, and we are working on it:

  - A12 Write a document about "Strategies for Professional Development of Researchers" at the UVigo".

  - A13. Network of tutors and mentors for young researchers.

Remarks (max 500 words) 161

PROPOSALS FOR NEW ACTIONS:

A2. Review Equality Reports to provide evidence. It consists on a review of the % of men and women in positions of high responsibility such as: Principal investigators, management, high representation, etc.

A3. Establish coordination mechanisms between the implanted QA systems and the principles of HR C & C.

Training and development (36-40)

Strengths and Weaknesses (Interim Assessment, max 500 words) 253

With regard to training and development, we consider as a strength in this area, because 4 of the 5 principles are **fully implemented**:

- (36) The rules and procedures for the relationship with supervisors are specified in the Regulation of the Doctorate School Program for R1, and the calls that finance the R2 researchers. Overall supervision

structures and arrangements are referenced in the Regulation of the Doctorate School Program of UVigo.

- (36, 37, 38, 39) These principles are also developed in the framework of an educational Doctorate School QA system based on ENQA ESG / 2015 (pre-doctoral phase).

- (38, 39) These principles are also developed through QA systems based on ISO 9001 and ISO 17025 standards in some laboratories, singular centers and research support centers.

- (40) The supervisors perform their function reviewing the tasks of the younger researchers, especially the thesis supervisors who supervise the R1 researchers and the principal investigators to the R2.

On the other side, also some **weaknesses** were identified:

- (37) Supervision and management tasks are left to the discretion and criteria of the researcher, and the commitment is tacit. A need has been detected to systemize the supervision and management tasks. Within the regulations of the doctoral school (EIDO) the protocol for conflict resolution is already being discussed.

Remarks (max 500 words) 146

PROPOSAL FOR A NEW ACTION:

A4. Develop and implement a "Guide of good practices for supervision and management tasks".

From the initial assessment phase, actions associated with training and development, although being considered important, were not prioritized, which lead to a mid-term execution of the actions proposed in the training and development area, such as "Expand the training program offered in soft skills in key areas, improve dissemination and access." (action 7).

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

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

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

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

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

After the Gap Analysis, these priorities were established in the Action Plan and, since then, some changes were detected that required a change in the actions' execution time.

- Action 5 → Q4 2019

- Action 7 → Q4 2019

- Action 9 → Q1 2020

- Action 10 → Q1 2020

- Action 12 → Q1 2020

- Action 13 → Q2 2020

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

- There were no circumstances regarding the University of Vigo that had an impact on the HR strategy.

- Nevertheless, in 2018, a new government team was incorporated, which as a first step carried out a complete redesign of the Working Groups, continued with the implementation of the Action Plan, and currently in the Internal Evaluation process, is fulfilling and enriching the HR strategy. This fact led to the accumulation of a small delay in the implementation of some of the actions.

- Publication, on February 22, 2019, of Decree 13/2019, of January 24, approving the (new) Statutes of the University of Vigo - Ministry of Education, University and Vocational Training of the Xunta de Galicia . This may lead to some redefinition of responsibilities or responsibilities regarding the action plan.

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

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

3. ACTIONS

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

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

Proposed actions	Gap Prin-ciple(s)	Timing	Responsi ble Unit	Indicator(s) / Target	Current status	Remarks
1. Define and publish the Code of Ethics of the UVigo.	2	Q3 2018	VC-RTT	• Preliminary interdepartmental meetings for the drafting of the Code of Ethics Manual. • Drafting of the UVigo Code of Ethics. • UVigo's Code of Ethics approval. • UVigo Code of Ethics publication. • Number of visits/downloads of the documentation. • Annual Survey regarding implementation.	**Completed**. The UVigo's Code of Ethics was prepared by the Implementation working and is available on line: https://www.uvigo.gal/sites/uvigo.gal/files/contents/paragraph-file/2018-05/Recomendaci%C3%B3ns%20%C3%A9ticas.pdf Although formally the action is considered completed, it is necessary to assess the impact, in the coming months, on the implantation and use of these practices by the researchers.	No remarks
2. Design and publish the UVigo's Code of Good Practice in Research.	3,31,32	Q3 2018	VC-RTT	• Preliminary interdepartmental meetings for the drafting of the UVigo Code of Good Practices in Research. • Drafting of the Code of Good Practices in Research. • UVigo´s Code of Good Practice in Research approval. • Publication of the Code of Good Practices in Research. • Number of visits/downloads of the documentation. • Annual Survey regarding implementation.	**Completed**. The UVigo´s Code of Good Practice in Research was prepared by the Implementation working group and is available on line: https://www.uvigo.gal/sites/uvigo.gal/files/contents/paragraph-file/2018-04/Guia%20boas%20practicas%20investigaci%C3%B3n.pdf	No remaks
3. Select and install an anti-copy Software.	3	Q2 2020	M	• Preparation of a checklist of the desired attributes of the software. • Identification of the most convenient software based on the list of attributes. • Software purchase. • Software installation. • Annual Survey regarding implementation.	**Completed**. Action initially programmed after the internal review, but already done. The anti-copy software Turniting has been purchased and installed. https://www.uvigo.gal/es/investigar/actividad-investigadora/servicios-personal-investigador/manuales-tutoriales	
4. Design and publish	4	Q4	VC-RTT	• List of the current calls available.	**Completed**.	No

fact sheets on calls for projects and update FAQ of calls.		2019		• Drafting of the Fact Sheet. • Publication of the Informative Fact sheets and FAQ manual. • Updating of the informative fact sheets. • Number of visits/downloads of the documentation. • Annual Survey regarding implementation.	Action initially programmed after the internal review, but already done. The Informative Fact sheets for more than 110 competitive calls (UVigo, regional, national and international) and FAQ manual were prepared by the Implementation working group and are available on line https://secretaria.uvigo.gal/uv/web/convocatoria/public/index Although formally the action is considered completed, it is necessary to assess the impact, in the coming months, on the implantation and use of these practices by the researchers.	remarks
5. Prepare and elaborate a "Welcome Manual for New Researchers at UVigo".	5,7,8,23,31	Q4 2019	VC-RTT	• Interdepartmental meeting for the preparation of the drafting of the Welcome Manual for researchers. • Drafting of the Welcome Pack including Code of Ethics, Code of Good Practices, etc. • Approval of the document of Welcome Manual by the Working Committee. • Publication of the UVigo's Welcome Pack for Researchers. • Number of visits/downloads of the documentation. • Annual Survey regarding implementation and satisfaction level.	**On going (Extended)** The UVigo's Welcome Pack for Researchers gathers several documents, is being prepared by the Implementation working group and the present version is available on line https://www.uvigo.gal/es/investigar/idi-uvigo/estrategia-investigadora/estrategia-personal-investigador-hrs4r After the revision of the status of the initial actions planned, we decided a complementary action was need. Therefore, we have created a Welcome course to be offered to the new research staff. It provides an overview of the institution, information about the UVigo's research capacities and emphasizes the importance that the UVigo places on good practices on research. This course will run two/three times a year, coinciding with the institution recruitment peaks: January & October. We will monitor the progress using an evaluation survey of the course to adapt its form and contents.	No remarks.
6. Define and implement a data	7	Q1 2020	M	• Interdepartmental brainstorming meeting to define the requirements for a data management plan for the UVigo.	**Action programmed after the internal review.**	No remarks

management plan for research projects at UVigo.				• Approval of the new procedures for data management • Purchasing (if necessary), installation and implementation of the data management plan. • Annual Survey regarding implementation.		
7. Expand the training program offered in soft skills in key areas, improve dissemination and access.	5,8,9,1 4,28, 32, 37, 38, 39	Q1 2018 Q420 19	VC-AIS	• Number of new training programs available. • % of researchers trained. • Annual Survey regarding implementation and satisfaction level.	**On going (Extended)** To complete the action, it is rescheduled to Q42019. Research managers are attending a specialization course on key research managing topics and soft skills organized by the regional government https://gesci.es/wp-content/uploads/2018/10/GESCI_Dossier_Castellano-1.pdf There are some courses on "Intellectual property rights" and "Data protection" aimed at researchers. There is a teacher training platform called FaiTIC and is an LMS (Learning Management System) based on Moodle. https://faitic.uvigo.es/index.php/es/ It is the official platform of the University of Vigo and is used as a complement for face-to-face teaching and blended and virtual teaching. The contents are multidisciplinary because it is used for formal teaching (Master's degree and doctorate) and non-formal education (ongoing training programs for the PDI, PASs and lifelong learning courses). New modules and utilities have been implemented to give greater coverage to blended-learning and e-learning teaching.	No remarks
8. Define and create an "Accessible science	8,9	Q2 2019	VC-RTT	• Estimation of the costs associated with the office • Unit created and people hired. • Number of activities performed.	**Completed**. The U Vigo Unit of Scientific Culture has been created. Since November 2018 the University of Vigo is member of the	No remarks

dissemination office" of the UVigo.				• Number of participants at activities. • Annual Survey regarding implementation and satisfaction level.	Units of Scientific Culture and Innovation network at national level https://www.fecyt.es/en/info/ucci-network The "First scientific dissemination plan of the University of Vigo" has been published https://www.uvigo.gal/sites/uvigo.gal/files/contents/paragraph-file/2018-05/Plan%20Divulgacion%20Cientifica_galego.pdf A web page was created https://www.uvigo.gal/es/investigar/difusion-investigacion The unit is coordinated with the communication department. The dissemination unit is supported by the Vice-chancellorship of Research, Vice-chancellorship of Social Responsibility, Internationalization and Cooperation, Vice-chancellorship of Communication and Institutional Relations and coordinated by a person recently hired.	
9. Complete implementation of the new rules for "Hiring researchers through R&D&I Project Funding"; publish and implement the OTM-R policy.	12,13, 14, 15, 16, 17, 18, 19,39	Q1 2020	VC-RTT & M	• Rules developed and reviewed by the researchers. • Final drafting of the rules. • OTM-R policy published. • Implementation of the rules: training sessions in the updated procedures • Annual Survey regarding implementation.	**On going (Extended)** A new version was prepared by the Implementation working group and is available in the following link. To complete the action, it is rescheduled to Q1 2020.	No remarks
10. Prepare the "Handbook of Good	12,13, 14, 15,	Q2 2018	VC-RTT & M	• Interdepartmental meeting for the preparation of the drafting of the Manual	**On going (Extended)**	No remarks

Practices in Recruitment of researchers at UVigo" to accompany the implementation of new rules for "Hiring researchers through R&D&I Project Funding".	16, 17, 18, 19,39			of Good Practices in Recruitment of Researchers. • Approval of the Manual of Good Practices in Recruitment of Researchers. • Publication of the UVigo's Manual of Good Practices in Recruitment of Researchers • Implementation by training session and procedures updated. • Number of visits/downloads of the documentation. • Annual online Survey to verify implementation and satisfaction level.	A new version was prepared by the Implementation working group and is available in the following link. To complete the action, it is rescheduled to Q1 2020.	
11. Design a scientific and technological infrastructure map.	23	Q1 2018	VC-RTT	• Inventory of the material and facilities. • Consolidation and cataloguing of the scientific and technological infrastructures of the UVigo. • Publication of the technological infrastructures map. • Annual online Survey to verify implementation and satisfaction level.	**Completed.** The scientific and technological map was prepared by the Implementation working group and there is a website with a list of resources. http://resuv.uvigo.es:7000/MIyS-UVIGO.aspx	No remarks
12. Write a document about "Strategies for Professional Development of Researchers" at the UVigo".	28,3	Q1 2020	VR-RTT & M	• Brainstorming sessions with experts from other research organizations. Prepare a publication containing the most remarkable conclusions or recommendations of the experts. • Publish the document. • Number of visits/downloads. • Annual Survey regarding implementation and satisfaction level.	~~Partially completed.~~ **On going** (Extended) The "Strategies for Professional Development of Researchers" was prepared by the Implementation working group. There is a web site with links to regional, national and international human resources and mobility calls, https://www.uvigo.gal/es/investigar/actividad-investigadora/recursos-humanosmovilidad An exhaustive study on the professional destiny of the students of the University of Vigo was elaborated	No remarks

					https://secretaria.uvigo.gal/uv/web/transparencia/informe/adjunto/download/95ba72247bc93c389705982e52abbc686bc3898f New contents will be developed, and the English version will be available in the next month. To complete the action, it is rescheduled to Q1 2020.	
13. **Network of tutors and mentors for young researchers.**	28,30,37	Q2 2020	VC-RTT & VC-AIS	• Pilot the development of a mentorship network. • % of young researchers assigned to mentors. • Annual online Survey to verify implementation and satisfaction level. • Mentorship network implemented.	**On going (Extended)** The MEET-UVigo is the UVigo`s mentoring programme where last-years students act as a mentor to the first-year students. The mentor student receives intensive training in transversal competences. Currently, seven degrees are participating: Telecommunication Technologies, Foreign Languages, Mining and Energy Resources, Energy, Chemistry, Economics and Marine Sciences. Due to the high cost of the program it had to be redefined and a faculty group of the University of Vigo is training these students. https://www.uvigo.gal/es/estudiar/organizacion-academica/planes-accion-tutorial/meet-uvigo-modelo-tutorial-basado-mentoria Taking advantage of this experience, a new version for R1 is being developing. To complete the action, it is rescheduled to Q2 2020.	No remarks
14. **Design and create a "Career Guidance unit".**	30	Q3 2019	VC-RTT & M	• Estimation of the costs associated with the office. • Office created. • Number of activities performed. • Annual Survey regarding implementation and satisfaction level.	**Action programmed after the internal review.**	No remarks

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15. **Awareness and implementation of C&C.**	All	Q3 2017- Q4 2020	VC-RTTM	• Number of web page views. • Number of informative sessions. • % participants in Annual Survey. • Number of participants in HRS4R briefings. • Number of HRS4R delegates recruited.	**On going.** There is a website to inform periodically the research community what have been done to strengthen and the implementation procedure of HRS4R, introducing quality procedures and ensuring progress: https://novo.uvigo.gal/investigar/idi-uvigo/estratexia-investigadora/estratexia-persoal-investigador-hrs4r	No remarks
16. **Reinforce the communication of topics (Good practices in research: (i) Security and health, (ii) Data recovery / backup management and (iii) Data protection and confidentiality, etc.) by: a) including information in the updates of the welcome manual, generate new content in the welcome courses or create new ad hoc courses, give**	7	Q1 2020	VC-Research	• Number of web page views. • Number of informative sessions. • Number of participants in new courses.	**New action planed for the next years.**	No remarks

greater visibility to this information on the web, etc.						
17. Review Equality Reports to provide evidence. It consists on a review of the % of men and women in positions of high responsibility such as: Principal investigators, management, high representation, etc.	10	Q4 2020	~~Quality~~ Equality Unit	• % of men and women in positions of high responsibility. • Trend in equality.	**New action planed for the next years.**	No remarks
18. Establish coordination mechanisms between the implanted QA systems and the principles of HR C & C.	**23, 24, 25, 28, 34, 36, 37, 38, 39**	Q4 2020	Quality Unit	• To be defined	**New action planed for the next years.**	No remarks
19. Develop and implement a	28, 36, 37, 40	Q2 2020	VC-Research	• Publish the document. • Number of visits/downloads. • ~~Annual Survey regarding implementation~~	**New action planed for the next years.**	No remarks

"Guide of good practices for supervision and management tasks".				and satisfaction level.	

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site * (URL): https://www.uvigo.gal/es/investigar/idi-uvigo/estrategia-investigadora/estrategia-personal-investigador-hrs4r

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

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

We are working on the development of a written OTM-R Institutional Policy, which will include the requirements covered in the Checklist, most of them are already in place completely or substantially. Our objective, in this respect, is to make the official OTM-R Institutional Policy formally approved by the U Vigo Governing Bodies by the end of 2019.

A new OTM-R working group has been appointed and has started to work recently.

The OTM-R policy commitment is being included in the new version of the University of Vigo´s strategic plan.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist[45].

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

https://www.uvigo.gal/es/investigar/idi-uvigo/estrategia-investigadora/estrategia-personal-investigador-hrs4r

N.B. Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the renewal phase at the latest.

4. IMPLEMENTATION (MAX. 1 PAGE)

Although there was a new Rector and Vicerector team, between de application for the HRS4R seal and the implementation period, no discontinuity was experienced in the HRS4R`s implementation. New working groups have been reappointed and are working on the proposed actions:

- Steering Committee
- Coordination Committee
- Implementation WG
- OTM-R WG

The new Vicerector for Research met regularly with the coordination committee to discuss specific issues on the implementation. A mapping of the status of each of the action was completed.

To monitor the progress in the implementation of C&C principles, a detailed revision of the Gap Analysis and OTM-R has been carried out by the Coordination Committee, and discussed by the implementation working group and it is included in this assessment. In the previous table, the implementation of each principle is analysed (if they are fully or partially implemented) and there are suggestions for improvement or actions to be undertaken. In addition, a specific working group for OTM-R issues was appointed in 2016 and renewed in 2019. The initial review of the current system using the OTM-R checklist and a step-by-step guide (toolkit), as a self-assessment tool, has been considered to determine the degree to which our current practices are OTM compliant and identify where improvements could be made.

It is worth noting that the role of the Human Resource department is not limited to overseeing the HRS4R as part of the working group, but mostly to align the organisational policies with the HRS4R, ensuring that changes translate into organization-wide standard procedures. Getting traction from transversal departments, particularly those involved in research, human resources and quality is essential to ensure that actions are implemented in our organization. This is reflected in the composition of the working groups. Equally important during this early phase of the HRS4R is the commitment of the governing bodies into the organization. This is ensured by the alignment of the strategic direction of the new rectorate with the European Charter for Researchers as for the respect for the principles of transparency, quality, integrity, equal opportunities, excellence and social responsibility of the institutional practices. The final aim is to implement the HRS4R itself as a continuous process that identifies aspects where improvement is needed, designs solutions and implements those solutions into the university. The next few years will be critical to stabilize the HRS4R into the UVigo, in preparation for the external review.

There were many documents and processes guidelines affecting relevant issues for researchers, which should be reviewed, updated and some of them translated to English. As a result, there have been either updated or approved the following documents and actions:

- Code of Ethics of the UVigo.

- UVigo's Code of Good Practice in Research.

- Anti-copy Software.

- Fact sheets on calls for projects and update FAQ of calls.

- Accessible science dissemination office

- Scientific and technological infrastructure map.

HRS4R web page.

The web is addressed to facilitate to researchers and research managers, the access to relevant institutional documents and websites concerning C&C principles. The UVigo-HRS4R website is in Spanish and Galician (https://www.uvigo.gal/es/investigar/idi-uvigo/estrategia-investigadora/estrategia-personal-investigador-hrs4r). The English version will be completed in the next months, and all of them are being continuously updated. It holds documents and links to other UVigo webpages (some of them are links to the intranet, containing templates and documents or access to restricted data) or external links. In addition, there are some relevant information and news (e.g., Art.32 of Horizon2020 Grant Agreements).

Awareness on HRS4R

The main goal is to involve the UVigo community into the HRS4R, and increase the number of researchers and research managers, who are aware of the C&C principles and OTMR procedures, and their implementation in the UVigo.

A communication plan, including informative meetings in the different campus and centers of the UVigo and diffusion using different channels are scheduled along 2019. This plan started with a formative course on HRS4R on the past 7th and 8th May

Recruiting

Effective recruitment and selection procedures are key in attracting and retaining high quality staff. For recruitment and selection procedures to be effective it is essential that they are fair, rigorous and transparent, and it is the Policy of UVigo to ensure that the best candidate for the job is selected. As the selection process for permanent staff is strictly regulated by law, the working group revised the recruitment and selection procedures for non-permanent researchers and technicians, mainly in the framework of funded research projects. In this context, the discussion of the OTM-R guidelines and templates has been very useful to better understand the current position (level of implementation), and to draw the roadmap for the coming years. During 2019, several processes concerning

recruitment and selection will be modified. It is expected that they will be fully implemented during the 2020. There are three main issues which have already been implemented: a) Jobs adverts: there is a process to advertise employment offers. Jobs vacancies in research and research management are internationally advertised, in Euraxess Jobs and in other specialized portals; b) "Hiring researchers through R&D&I Project Funding" norm has been approved; c) Training on OTMR has been offered to researchers, researchers, managers and administrative staff.

Although the implementation of the recruitment actions has been rescheduled the result is being positive. This policy, although it takes a lot of time and resources, it is expected that we will have results and conclusions at the end of 2019, but presently, one evident result is an increase on the number of job positions internationally advertised.

Career development

It is evident that for researchers, career paths have changed dramatically in the last years, becoming much more complex. By providing tools and counselling, UVigo can support talent to be ready for seeking opportunities either in the UVigo, in Galicia, Spain, Europe or elsewhere; both in academia, industry or research management positions. Currently, especial attention is paid to three main areas:

- "Strategies for Professional Development of Researchers" at the UVigo.

- Create a network of tutors and mentors for young researchers. Recently the UVigo announced the REBECA Mentoring Programme call of EURAXESS Spain, for R1 and young R2 as mentees and for R3 and R4 personnel as mentors.

- Design and create a "Career Guidance unit".

Training

Two actions are focused on training:

- Expand the training program offered in soft skills in key areas, improve dissemination and access.

- Reinforce the communication of topics Good practices in research

A list of practical seminars, workshops and courses is being structured focussed on researchers of R1 and R2 level, and subsequently will be extended to the R3 and R4 levels (mainly training R3-R4 to develop and refine supervisory and leadership skills). As a pilot experience, some preliminary courses and seminars will be given in Q4 of 2019.

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

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

- How have you prepared the internal review?

Detailed description and duly justification (max. 500 words)

For the intermediate evaluation the following actions were carried out:

- The new Vicerector for Research met people involved in the design and implementation of HRS4R to know in detail the process of obtaining the seal and the status of implementation of the actions.

- A coordination committee was created, consisting of the current rectoral team, technicians of the university involved in the implementation, team of consultants involved in the process of obtaining the seal.

- New members to the OTMR and HRS4R working groups were appointed.

- Once the "current situation map" was prepared, numerous meetings were held between the renewed working groups and the coordination committee to identify improvements in the current action plan and prepare the current intermediate evaluation.

- In addition, an 8-hour HRS4R & OTM-R course was organized for researchers and personnel involved in recruiting researchers (https://www.uvigo.gal/novas/selo-excelencia-hr). The objective was to present the developed actions and offer training on key aspects of the 40 C&C criteria and the OTM-R procedures.

- In compliance with the commitment of the action plan, a survey was prepared for researchers R1-R4 aimed at assessing the degree of knowledge (for all) and satisfaction (in some of the actions) about the implementation of the HRS4R's action plan.

- The coordination committee prepared the OTMR and Template 1 documents, and the Steering Committee was informed about its content.

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

Detailed description and duly justification (max. 500 words)

Researchers are members of the renewed HRS4R implementation work group, and researchers and administrative staff are members of the OTM-R implementation working

group.

A communication plan, including informative meetings in the different campus and centers of the UVigo and diffusion using different channels are scheduled along 2019. This plan started with a formative course on HRS4R on the past 7th and 8th May. All researchers and administrative staff were invited to assist to this ad hoc OTM-R and HRS4R face-to-face and on line course, with at least 120 attendees.

All researchers were invited to participate in the quality and satisfaction electronic survey. In addition, recruitment personnel participate in the OTMR working groups.

In addition, a broad communication effort is being made at all levels of the organization to explain, aware and involve the university community.

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

  Detailed description and duly justification (max. 500 words)

  The renewed implementation working groups, appointed by government council, meets periodically (monthly). Daily activities are supervised by the Vicerector for Research and the Vicerector for Research deputy.

  The Steering Committee is informed by the Vicerector for Research during the meetings of the Government Team of the university.

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

  Detailed description and duly justification (max. 500 words)

  Work is being done to include it in the next updating of the university's strategic plan. It is also in the government program of the current governing team of the university.

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

  Detailed description and duly justification (max. 500 words)

  On the one hand, the commitment to HRS4R is included in the government program of the current governing team of the university and will be also included in the next Strategic Plan of the UVigo.
  There is a strong institutional commitment that has generated a very interesting debate.

> Many people in key positions are sensitive to changes that must be implemented and are committed to their promotion.
>
> Furthermore, to ensure the implementation of actions in a timely manner, efforts will be made to allocate enough internal resources. UVigo will resort to external resources if the personnel and working groups can't handle the workload. In fact, at present, a technician is hired to activate the new phase of the HRS4R implementation

- How are you monitoring progress (timeline)?

  Detailed description and duly justification (max. 500 words)

> The leadership and direction of the whole process is being headed by the Vicerector for Research. The monitoring is carried out by the Analysis and program Unit, which is responsible for monitoring the development of indicators and monitoring reports. Performance indicators chosen for each action is being reviewed and reported to the Steering Committee, which take corrective measures in case of deviation in time or scope. Annual online Survey results will also be reported to the Steering Committee.
>
> The specific working groups draws up minutes of the activity that its being developed for the design and implementation of each of the actions.
>
> They report in the period in which they are active.

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

  Detailed description and duly justification (max. 500 words)

> The monitoring and the follow-up of the plan will be continuous, being one of the main functions of the Working Groups under the surveillance of the Quality Unit. The Working Groups hold bi-monthly meetings with the HRS4R leader to review the development of the implementation of the tasks defined for the actions currently in progress.
>
> The previously detailed indicators are verified quarterly to find evidence of any deviation from the HRS4R or with organizational policies.

- How do you expect to prepare for the external review?

> The next evaluation will be conducted by the same members of the current Coordination Committee, with the help of the Working Groups and reported to the Steering Committee. This will be carried out by reviewing the progress of the Project in accordance to the

commitments of the Action Plan, the revision of indicators' reports, and compliance with roadmaps for each action. With this, an interim report after 12 months of activity will be drafted and a final report coinciding with the 5th year will be prepared, as is set in the new procedures. For these reports the evaluation templates available in Euraxess will be used.

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

ADDITIONAL REMARKS : REPORT ON THE HRA COURSE SURVEY (Indicator Annual Survey regarding implementation and satisfaction level on actions number 1 to 15)

Objective:

University of Vigo wanted to know the level of knowledge of the attendees about the Human Resources Award initiative and the actions carried out at the University of Vigo.

Sample:

Of the 120 people enrolled to the course (May, 7th and 8th, 2019), attended in person the two days 44 people, 6 followed the course online and 40 did it in deferred.

Of these, 90 people completed the course and responded to the survey, which means 75% participation, above standard participation.

Of the 90 people, 61% were women and 39% were men; 79 are PDI and 11 PAS.

Regarding the professional categories according to the CE classification, answered R1, R2, R3 and R4.

Conclusions:

- In general terms both the "Ethical Recommendations" and the "Code of Good Practice in Research" are known and used by researchers.
- The "Anticopy Software" is known but it is applied less often, possibly because the occasions to use it have not yet been given.
- The "U Vigo website" is known and often consulted.
- Regarding the "Welcome Manual" almost half of the respondents know it, recognizes that they should internalize it, however, of those who know it, only half consider it is a satisfactory document.
- Regarding the "training offer in soft skills", half of the respondents know it, ¾ of them consider that they should use it, and of those who know it (when asking about quality, it is reduced by almost half who say not knowing it) more than half consider that the level of quality and interest is high.
- About the "New Office of Outreach" more than half knows it, ¾ of them consider that they

should use it, but only 10% have used it. When asking for an opinion about quality, half of them say they know it, less than half consider it to be of high quality.

- Regarding the "new Regulation on the hiring of researchers", half say they know it and almost all recognize that they should apply it.
- Regarding the new Guide of good practices in hiring researchers, less than half knows it. Among all of those who are IPs know that they have to know and apply it, only a few of them have read it, and in general terms they consider it to be of quality and usefulness.
- When asking about the "the new Map of scientific Infrastructures" more than half knows it, ¾ of them knows that they should take advantage of it, but less than half have visited it and among them more than half consider that the content is of quality and useful.
- About the "new document on Professional Development Strategies for researchers" only 40% know it, 70% acknowledge that they should take advantage of it, only 30% have read it and among them, they consider that quality is between medium and high.
- Finally, on the "elaboration of a Mentoring Program for young researchers" almost 80% know it, and consider that it should be used for their professional development. Almost 2/3 of the respondents have knowledge about the Unit to guide the scientific career and in the same proportion consider that they should take advantage of it for their professional development.

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