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**Important message to institutions:**

**Site Visits:** All HRS4R in-house audits planned for 2021 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

Internal Review

**Case number:**  2018IT341333
**Name Organisation under review:**  Università degli Studi dell'Insubria
**Organisation's contact details:**  Via Ravasi, 2, Varese, Italia / Lombardia, 21100
**Submission date to the European Commission:**  31/05/2021

## 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 * | 610 |
| Of whom are international (i.e. foreign nationality) * | 51 |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) * | 43 |
| Of whom are women * | 245,50 |
| Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. * | 356 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level * | 51 |
| Of whom are stage R1 = in most organisations corresponding with doctoral level * | 203 |
| Total number of students (if relevant) * | 12416 |
| Total number of staff (including management, administrative, teaching and research staff) * | 938 |

| RESEARCH FUNDING (figures for most recent fiscal year) | € |
| --- | --- |

**RESEARCH FUNDING (figures for most recent fiscal year)**                                                    €        How do you know?

| | € |
|---|---|
| Total annual organisational budget | 87463398 |
| Annual organisational direct government funding (designated for research) | 18501341 |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) | 1014940 |
| Annual funding from private, non-government sources, designated for research | 862098 |

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

Since its foundation in 1998 spinning off the Universities of Milan and Pavia, the University of Insubria has always been promoting the development of higher education (Bachelor, Master and PhD level) and scientific research, in order to guarantee **excellent levels of innovation, learning and planning** thanks to its teaching and research groups, structures and services. In two decades, Uninsubria has been consolidating **a fruitful connection to its industrialized territory** and to **national and international networks**, growing from about 4000 to 12000 students, from 100 to 600 research units, with an increasing number of foreign students, researchers and visiting professors. (https://www.uninsubria.eu/about-us/facts-and-figures, https://www.uninsubria.eu/research/researchuninsubria)

## 2. Strengths and weaknesses of the current practice

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.

**Note:**Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

## Ethical and professional aspects*

### Strengths and Weaknesses (Initial Phase)

As a general consideration, throughout the four aspects considered, must be highlighted that Uninsubria started 20 years ago to build its administrative apparatus that, even if quickly growing, has still some improvement areas. This consideration is, at the same time, a strength and weakness factor: open to innovation on one side, still reinforcing the walls of the house and making it more comfortable.

This means that the first goal of the administration has been to guarantee the formal fairness of procedures: joining HRS4R means going beyond it, towards innovation and making Uninsubria an attractive and comfortable house for researchers.

**Strengths**

- Clear regulatory framework
- Shared process in writing the local code of ethics
- Strong national and (consequently) local commitment

**Weaknesses**

- Low priority perception of the researchers about integrity issues
- Occasional dissemination of the code of ethics contents
- Awareness about Public engagement issues is strong: however an important effort is still needed in order to better coordinate individual initiatives
- There is no specific and shared guidelines for research projects in order to increase researcher's knowledge of funding mechanisms and relative awareness of institutional commitment

### Strengths and Weaknesses (Interim Assessment)

No new items to highlight

### Remarks (max 500 words)

With respect to the weaknesses highlighted in the preliminary assessment, several activities have been undertaken, namely:

- A new Code of Ethics, Professional Conduct and Research Integrity has been approved by the university governing bodies and several dissemination events have been planned in the frame of the training plan for researchers (weaknesses 1 and 2)
- Public engagement events are now traced, thanks to the IRIS software adopted by the University, and a set of guidelines for the monitoring of events has been prepared and made availble to all the researchers

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## Recruitment and selection*

### Strengths and Weaknesses (Initial Phase)

**Strengths**

- Central administrative offices and governing bodies are clearly conscious of the principles and constantly verify that actions should be performed according to them.
- National and local legislation makes selection procedures completely transparent and public: the consciousness of the stakeholders' attention about such issue makes Uninsubria more than willing to maintain its good reputation and to be considered accountable.
- Mobility experience and qualification is recognized by the University
- The selection process should take into consideration the whole range of experience of the candidates

**Weaknesses**

- No direct mention to European Code of Conduct for the Recruitment of Researchers is currently explicated in selection calls and linked decrees or administrative acts.
- There is only Italian language for R3 R4 calls
- Gender Balance in selection committees is mandatory in all R2-R3-R4 recruitment processes, while it is only often applied to R1 selections but with no legal bond.

### Strengths and Weaknesses (Interim Assessment)

In addition to the strengths already mentioned in the initial phase:

- A University OTM-R policy has been adopted and published

### Remarks (max 500 words)

With respect to the weaknesses highlighted in the preliminary assessment, several activities have been undertaken, namely:

- W1: The European Code of Conduct for the Recruitment of Researchers is now explicitly mentioned in all recruitment contexts and contracts
- W2: recruitment calls are now available in English at all levels of experience
- W3: Gender balance in the composition of selection committees has been recently extended to all recruitment procedures

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How do you know?

**Working conditions***

Strengths and Weaknesses (Initial Phase)

**Strengths**

- Great and strong attention to safety conditions, working conditions and so on. National legislation is clear and mandatory

**Weaknesses**

- Missing of communication plan about information, services, opportunities, formal bonds, protection measures
- Specific attention must be addressed to international researchers
- Lack of positive action plan for researchers
- Training on teaching expertise is sporadic and not institutionally planned
- R2 are not directly represented in Academic Bodies

Strengths and Weaknesses (Interim Assessment)

No new items to highlight

Remarks (max 500 words)

Several actions have been undertaken to overcome the weaknesses highlighted in the initial phase:

- Information about services, opportunities, contractual obligations, protection measures have been gathered and made available through the University webpage. However, publicity has to be increased
- A Gender Equality plan has been developed as a new measure to mitigate the gender gap in research activities
- Training in teaching expertise has been introduced in the training plan for researchers
- R2 are now represented in the Departments' research Committees

Other actions have been extended.

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Training and development*

How do you know?

⌄

### Strengths and Weaknesses (Initial Phase)

**Strengths**

- University recognizes professional leadership, supervision skills and training

**Weaknesses**

- Teaching skills must be improved: this is to be considered an innovative action in the Italian University's system, because of the lack of best practices to be inspired by.
- The interaction between supervisor and First Stage Researchers (FSRs) develops on a spontaneous and not structured basis
- Training initiatives and financial support of participation of external initiatives is not empowered

### Strengths and Weaknesses (Interim Assessment)

No new items to highlight

### Remarks (max 500 words)

Several actions have been undertaken to overcome the weaknesses identified in the initial phase:

- Teaching skill courses have been introduced in the training plan for researchers
- A personal career development plan has been introduced for R1, which should be completed together with the PhD supervisor in order to define the training neeeds and the career opportunities for the researcher
- A training plan for researchers has been adopted and several initiatives have already been planned.

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

The short and medium-term priorities have remained substantially unchanged. The operational experience of the first two years, however, suggested to improve and strengthen internal communication on the progress made, so that the entire complex organizational and administrative machine of the University is aware of and completely uses all the operational tools put in place through the project.

### 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)

The ongoing COVID 19 pandemic has, on the one hand, partially slowed the implementation of the project but, on the other, contributed significantly to the digitalization of administrative procedures in the recruitment of human resources.

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Furthermore, the national government has made important resources for the recruitment of new researchers available and this has prompted an important internal reflection on the development of the University's research areas.

How do you know?

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

The HRS4R action plan is deeply linked to the University strategic plan 2019-2024 and coherently follows its trend and developments.

The strategic plan was adopted in June 2019 and it is not expected to be updated before the deadline.

A new organizational chart was adopted in April 2021, which made it necessary to change the unit responsible for some actions.

## 3. Actions

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

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

### Proposed ACTIONS

**Action 1**

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|

**Proposed ACTIONS**

How do you know?

### Action 1

| Development Action: REGULATORY REVISION of CODE OF ETHICS and CODE OF CONDUCT setting of standards of respect of Codes; extension of art.10 of Code of Ethics; drafting of a new chapter on the evaluation of Ethics in research projects dealing with rights, dignity, integrity and well-being of those involved; respect for any other living organisms and for the environment in all its dimensions and components; freedom and promotion of science, data protection and implications of dissemination of research data. Transposition of those changes into the COMPOSITION OF THE ETHICAL COMMISSION, integrated with Research Ethics/Bioethics Experts | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| | (+/-) 2. Ethical principles | Q1-Q6 | R.U. General Affairs Office; other involved units: Anti-corruption and Transparency, Animal Welfare Committee OPBA, HR Service, Ethical Commission, ENAI (European Network for Academy Integrity)'s Uninsubria Representative | 1. Appointment of a specific Senate committee in charge of the revised Code of Ethics'drafting (by the end of Q1) 2. Draft of the new/revised regulation (Q2-Q5) 3. Regulation approval by Academic Senate (by the end of Q6) 4. Integration of the Composition of the Ethical Commission (Q6) |

| Current Status | Remarks |
|---|---|
| | |

**Proposed ACTIONS**

How do you know?

| Current Status | Remarks |
| --- | --- |
| EXTENDED | 1. On 22/05/2019 the Academic Senate appointed a Committee for the integration of the previous Code of Ethics with the Code of Conduct and its revision. The Committee was composed of: • Professor Maurizio Cafagno, professor of Administrative Law and coordinator of the committee; • Professor Marco Cosentino, professor of Pharmacology and coordinator of the CE "ENAI - European Network for Academic Integrity" and "VIRT2UE - Virtue based ethics and integrity of research: train-the-trainer program for upholding the principles of the European code of conduct for research integrity" projects; • Professor Davide Vigetti, professor of Biochemistry and member of Animal Welfare Committee OPBA; • Silvia Gazzola, Organic Chemistry researcher; • Federico Raos, Teaching and Research Area Manager, member of the HRS4R Implementation Commitee and of the Committee for the Prevention of Corruption and for Transparency; • Marco Ferraresi, Labor Law researcher at the University of Pavia; • Barbara Arcari, Teaching Manager; • Elena Giavari, manager of the law Library In April 2020, after no. 9 meetings and several online consultations, the Committee concluded the drafting of the new Code and started the phase of collecting formal and informal opinions and suggestions, by involving: the Rector, the Director general, the Research Committee, the Teaching Committee, and the entire academic community via an e-survey open from 10/06/2020 to 10/07/2020 [see doc no. 1.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/01%20-%20Consultation%20Code%20of%20Ethics.pdf ] As required by HRS4R the main innovative aspects of the new code are: - Definition of the fundamental principles of research integrity (articles 31-37), as stated in the main international regulations, which should be applied in all phases i.e. design, planning and implementation, publication and dissemination of results, and evaluation of people, projects and publications; - establishment of the Research Ethics Committee (article 38), called upon to express opinions on research projects and activities carried out by researchers who work at the University and to guarantee compliance with the principles of Research Integrity; 2. 23/07/2020 draft of the new unified code 3. 23/09/2020 approval by the University's Academic Senate, available here: https://www.uninsubria.eu/sites/sten/files/Ricerca/Code%20of%20Ethics.pdf 4. Nominations for the committee are being collected. The appointment of the new committee will be completed by Q12 NEW TIMING: Q9-Q12 |

**Action 2**

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
| --- | --- | --- | --- |
| (+/-) 2. Ethical principles<br><br>(+/-) 5. Contractual and legal obligations | Q6-Q8 | R.U.Communication Service; other involved units: HR Service, Research Office, CUG Guarantee Committee | 1. Publication of the English version on internet web page (by the end of Q6); 2. Translation of web page (by the end of Q7); 3. Presentation meetings (min. 2) addressed to all researchers -aproxim. n. 400 R2-R3-R4 (by the end of Q8); 4. Communication of this binding duty to any unit dealing with contractual obligations (by the end of Q8) |

| Current Status | Remarks |
| --- | --- |

**Proposed ACTIONS**                                                                                                    How do you know?

| Action 2 | Current Status | Remarks |
|---|---|---|
| Communication Action, PROMOTION OF INTEGRITY AND ETHICS policies, culture and procedures: * Communication Plan and dissemination of revised Code of Ethics; * English translation of revised Code of Ethics and Code of Conduct, CUG Guarantee Committee initiatives and any other policy concerning Integrity; * Implementation, updating and English translation of webpages on Ethics and Integrity https://www.uninsubria.it/la-ricerca/etica-ricerca; *Inclusion of a specific paragraph about the compliance with the Code of Ethics and similar in every agreements/contracts | COMPLETED | 1. The new Code of Ethics (revised and integrated with the Code of Conduct) was translated into English https://www.uninsubria.eu/sites/sten/files/Ricerca/Code%20of%20Ethics.pdf 2.The specific web page regarding Ethics was updated and translated into English: https://www.uninsubria.eu/research/workuninsubria/ethics-and-research 3. After the approval and adoption of the new Code of Ethics (revised and integrated with the Code of Conduct) in autumn 2020, on 16 October, a specific e-mail signed by the Rector was addressed to all researchers (R1-R2-R3-R4) and administrative staff in order to spread the news and highlight the main innovative aspects. In particular, ethical integrity principles have been better underlined and the appoinment of an integrated University Ethics Committee fills the previous gap concerning the lack of specific support for researchers dealing with activities not involving animals or patients (for which the University established its own Committee for animal welfare – OPBA – in 2015 and continues to adhere to the Territorial Hospital Ethics Committee, respectively). [See doc. no. 2.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc.%202.1-%20Code%20of%20ethics_Rector%20email.pdf ]. Dissemination meetings will be scheduled in the training plan (see action no. 14 – 21) 4. At the beginning of this year, a brief text binding researchers to the duty of respecting the Code of Ethics and the principles contained in the European Charter and Code was set up and will be included in every future call and contract. A specific communication on this was also sent to all departmental units dealing with contractual obligations (i.e. see contract (article 6) https://www.uninsubria.eu/sites/sten/files/Ricerca/Research_grant_contract_Mod_7.pdf or call (article 10) https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc2.2_Departmental_grant_call.pdf |

| Action 3 | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| | (+/-) 4. Professional attitude<br><br>(+/-) 5. Contractual and legal obligations | Q1-Q4 | R.U. Research Office; other involved unit: Departments, Management Control Office | 1. Guidelines definition 2. Guidelines publication in intranet platform 3. Communication on intranet publication via email to all involved researchers (aproxim. n. 400 R2-R3-R4) and involved administrative staff |

| Proposed ACTIONS | Current Status | Remarks | How do you know? |
|---|---|---|---|
| **Action 3** | | | |
| Formalization Action: Drawing up of administrative GUIDELINES FOR PLANNING AND MANAGING RESEARCH FUNDED PROJECTS. Guidelines will contain definition of roles and tasks within the different phases (fund scouting, submission, implementation, budgeting, resources management), references to circulation of project documentation, competences and responsibility of project managers/ principal investigators /administrative staff, as well as information about eligible costs, templates and principles of remuneration calculating and accounting for working hours, employing project staff, reporting, IPR responsibility. Guidelines are crucial also to normalize and even all practises and procedures within our University and to allow the diffusion of a common archiving system. | COMPLETED | 1. The aim of this action was to create a common lexicon for the roles, rules and best practices when approaching external funding calls for research projects. The target group was mainly composed of Uninsubria Staff, including both researchers and project managers or planners, thus building up a more professional attitude towards budgeting and the implementation of funded research projects. 2. A webpage in the intranet section has been published since November 2019, which collects administrative guidelines, procedures, templates, contractual and legal obligations about the H2020 Programme. In November 2020 the internet section was updated with information concerning other Research Programs. [See doc. no. 3.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/3.1_Research_Office_guidelines.pdf ] 3 The guidelines were presented by the Research Office to the 29 participants of the course "Budget construction and reporting of H2020 projects", which was held on 07.11.2019 by NCP - APRE trainers. Furthermore, a specific link to the web page is always recalled in the periodic e-newsletter [See doc no. 3.2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/3.2_Guidelines_publication_notice.pdf ] which is sent via email by the Research Office to all our PhD students, research fellows, researchers and professors, as well as to the Departments' administrative staff (approx. 500 contacts). With reference to potential candidates for research fellowships or partners of research consortia, we linked some specific information on our Institution (i.e. in order to document our expertise in funded projects) or contact information on internal procedures, contracts and IPR regulations in different sections of the web site https://www.uninsubria.eu/research/workuninsubria In addition, a research data management system (within IRIS-AP Institutional Research Information System) has been finally adopted in collaboration with the Planning and Control Service: this will lead to a common archiving system for applications of project proposals among the Departments and Central Administration units with positive repercussions on research projects. | |

| **Action 4** | | | | |
|---|---|---|---|---|
| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |

**Proposed ACTIONS**

### Action 4

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Formalization Action: MAPPING of all measures and services already dedicated to ATTRACT international researchers and – if necessary- drafting of possible integrations (see also Action 7 Communication Plan) of "ONBOARDING" initiatives addressed to visiting researchers, MSCA or ERC applicants, international candidates: *promotion of Uninsubria as Host Organisation (mapping of research fields, expertise and infrastructures); *Specific support for MSCA and ERC applicants in writing their proposals; *OTM-R advertisement information (enhancement of promotion of selection calls) | (+/-) 13. Recruitment (Code) | Q1-Q5 | R.U. Research Office; other involved units: AIQUA-R Departmental Committees for the Quality of Research, HR Service | 1. Publication of a list of information, tool and services already offered by Uninsubria to new potential researchers 2. Definition of Host Organisation Profile in English and applications to some partner search platforms in order to promote Uninsubria as Host Organisation (at least 3 platforms); 3. updating, extension and English translation of research fields related to 7 Departments (currently drafted in Italian at https://www.uninsubria.it/la-ricerca/ambiti-di-ricerca-pubblicazioni-progetti-finanziati ); 4. dedicated email address and related support service for external MSCA and ERC applicants |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1. During the implementation phase all units involved in the recruitment process for all researchers' profiles and connected services made the effort to identify the information available to external potential candidates or collaborators on our Italian website or further information useful for them. As a result, a webpage dedicated to attracting interest from abroad was set up: https://www.uninsubria.eu/research/uninsubria-research-partner-host-institution. 2. Uninsubria as Host Organisation was promoted on some partner search platforms (Funding and Tenders Portal https://tinyurl.com/77uh7bky , Euraxess https://euraxess.ec.europa.eu/partnering/organisations/profile/341202 Topuniversities https://www.topuniversities.com/universities/universita-degli-studi-dellinsubria ) 3. After a brief introduction with the University profile, the webpage leads to the research fields pursued in each Department, showing the researchers involved and the contact persons (group leaders) with the aim of facilitating collaboration. An overview of all the funded research projects is also available at www.uninsubria.eu/research/departments-and-research-centres-scientific-production-and-funded-projects 4. Recognizing the high value of Research Mobility from the beginning of researchers' carreer, the University of Insubria welcomes all potential candidates with an interest in joining us as host Institution for MSCA Fellowships. Furthermore, the opportunity to host ERC applicants is favorably considered and promoted in order to develop an international environment and give the chance to set up and carry out good research activities by creating teams with our researchers. The participation of skilled international researchers, not only at the beginning of their European career, will foster research results of exellence. In such cases, the opportunity of a permanent position at our University can be considered together with the researcher. Specific support for MSCA and ERC applicants in writing their proposals is offered by simply contacting the Research and Innovation Office at the following designated e-mail address: applywithus@uninsubria.it.An invitation to stay with us even for a limited period of time as Visiting Fellow provides the e-mail address of the International Relations Office and a description of our regulations concerning Visiting Professors. |

**Proposed ACTIONS**                                                                        How do you know?

| Action 5 | | | | |
|---|---|---|---|---|
| | **GAP Principle(s)** | **Timing (at least by year's quarter/semester)** | **Responsible Unit** | **Indicator(s) / Target(s)** |
| Formalization Action: FUNCTIONAL RE-ORGANISATION of all information, tools and services dedicated to RESEARCHERS' MOBILITY (INCOMING) and – if necessary- drafting of possible integrations (see also Action 7 Communication Plan) of "WELCOME" measures addressed to new international researchers (English) with particular regard to following aspects: visa and health procedures; living in Varese or Como; contractual obligations; course of Italian as a foreign language already planned for international students will be extended to international researchers | (+/-) 29. Value of mobility | Q1-Q5 | R.U. Training and Research Area; other involved units: International Relations Office, Departments, Students Services | 1. Publication of a web page in English that collects all information, tool and services dedicated to incoming researchers 2. promotion of extension of Italian course to researchers 3. N° of international researchers attending Italian courses |

| **Current Status** | **Remarks** |
|---|---|
| COMPLETED | 1. The re-organization of our English website led to a presentation of the information and main services dedicated to incoming researchers. The new web page https://www.uninsubria.eu/research/era-researchers-recruitment with the presentation of our OTM-R Policy and information about all our Recruitment Procedures gives an idea to all interested researchers of the positions and conditions offered. It contains the regulations, scoring criteria, a template of the contract [i.e. https://www.uninsubria.eu/sites/sten/files/Ricerca/Research_grant_contract_Mod_7.pdf ] and the gross salary provided, besides all information about open recruitment procedures with specific links.(i.e. https://www.uninsubria.eu/contests?field_destinatari_del_bando=40 ) All services dedicated to incoming researchers, which may be useful for their organisation before and upon arrival, are available at the following url : https://www.uninsubria.eu/international-relations/servicesfacilities. In particular, the section "FORMALITIES" explains the formalities that should be followed to come here as a foreign researcher. Accomodation opportunities are fully explained, together with applications procedures distinguished by category, health-relatedinformation and facilities available as employees or collaborators, and library services. All services dedicated to our researchers are explained on the webpage: https://www.uninsubria.eu/research/workuninsubria 2. Since the last academic year, the course of Italian for foreign students has been extended to all PhD students and fellow researchers. A permanent warning on the website reminds everyone of this opportunity. Since 2020 an Incoming form has been sent to new researchers to collect their needs and requests, including their interest for the course of Italian. This would facilitate the promotion of this activity https://www.uninsubria.eu/sites/sten/files/Ricerca/Incoming_Form.docx 3. No foreign researchers attended the Italian course during a.y. 2019-20, even if it was organized online in response to the pandemic. For this reason for the a.y. 2020-21 a written comunication was sent to all foreign researchers. |

**Proposed ACTIONS**　　　　　　　　　　　　　　　　　　　　　　　　　　How do you know?

### Action 6

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 26. Funding and salaries<br><br>(+/-) 29. Value of mobility<br><br>(+/-) 30. Access to career advice | Q1-Q5 | R.U. HR Service; other involved units: Research Office, International Relations Office, Placement Office | 1. Definition of information, tool and services in Q1-2 period; 2. Periodic editing of a newsletter (monthly) on main research and mobility programs and academic promotion |

Formalization Action: Definition of a CHART of SERVICES related to RESEARCHERS' MOBILITY (OUTGOING) and CAREER DEVELOPMENT and – if necessary- drafting of possible integrations (see also Action 7 Communication Plan) of "CAREER PATH" measures addressed to all our researchers (Italian and English) with particular regard to the following aspects: training; IPR; social security and supplementary pension right; career advice and placement; international mobility and staff exchanges; support for research funds scouting and planning; OTM-R information related to selection calls process, principles of Charter & Code and our Code of Ethics

| Current Status | Remarks |
|---|---|
| COMPLETED | 1. A complete chart of services for Career Development has not yet been identified, as the priority was given to making information about welcome and onboarding measures available. This information is already available at: - training, IPR support for research funds scouting and planning: https://www.uninsubria.eu/research/workuninsubria - international mobility and staff exchanges: https://www.uninsubria.eu/international-relations/exchange-programs - OTM-R information related to the selection procedure process and working conditions: https://www.uninsubria.eu/research/era-researchers-recruitment - principles of Charter & Code and our Code of Ethics : https://www.uninsubria.eu/research/workuninsubria/ethics-and-research 2. Regarding outgoing mobility, the periodic Research Newsletter sent via e-mail to all researchers informs them about main funding oppourtunities, also connected to long term mobility (no. 23 in 2020, approximately 1 every one/two weeks). Furthermore, with the new tool Research Professional [https://www.researchprofessional.com/0/rr/home], which is accessible to all researchers, a wider and more specific scouting opportunity is directly available. |

### Action 7

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|

How do you know?

**Proposed ACTIONS**

### Action 7

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Communication Action: PLAN to increase the EFFECTIVENESS AND VISIBILITY of permanent and future initiatives and services for POTENTIAL, NEW and SENIOR RESEARCHERS: *internal guidelines to maximize impact on diffusion of our recruitment calls on web sites as Euraxess; *English translation of calls also for R3/R4, regulations and web pages related to research (main fields and experts); *implementation of a web page dedicated to researchers' recruitment according to OTM-R initiatives/new policy and promotion of the principles of C&C; *planning and implementation of e-tools (online kit or tutoring, dedicated webpage, newsletter) related to information and services foreseen in Actions 4, 5, 6 | (+/-) 5. Contractual and legal obligations<br><br>(+/-) 13. Recruitment (Code)<br><br>(+/-) 23. Research environment<br><br>(+/-) 38. Continuing Professional Development<br><br>(+/-) 39. Access to research training and continuous development | Q5-Q8 | R.U. Communication Service; other involved units: Research Office, HR Service, Training and Research Area | 1. Definition of the communication plan related to "Onboarding", "Welcome" and "Career Path" measures (by the end of Q5); 2. Updating of web-information on research fields, projects, researchers' recruitment , C&C (by the end of Q6); 3. English translations (by the end of Q7); 4.Internal guidelines to maximize impact on diffusion of our recruitment calls (by the end of Q8) |

| Current Status | Remarks |
|---|---|
| EXTENDED | 1. A communication plan related to "Onboarding", "Welcome" and "Career Path" measures will be defined by the Communication Service after having analyzed the way the information, tools and services are presented on the website or on other means of communication, by taking into account the communication goals and target users. 2. In order to bring forward the main results of the previous completed actions and make them visible in English, useful information for potential foreign new researchers (researchers' recruitment), C&C and ethics principles, our research fields (even if at a general level), and projects, is already available at https://www.uninsubria.eu/research/departments-and-research-centres-scientific-production-and-funded-projects https://www.uninsubria.eu/research/uninsubria-research-partner-host-institution https://www.uninsubria.eu/research/era-researchers-recruitment https://www.uninsubria.eu/research/workuninsubria ; https://www.uninsubria.eu/research/workuninsubria/ethics-and-research On this basis a revision of the contents will be carried out in the next two years, according to the revision process of the website that will be carried out for technical reasons. 3. Calls for R3/R4 have also been translated into English. (i.e. https://www.uninsubria.eu/contests?field_destinatari_del_bando=42&field_cat_bando_doc_tid=192 ) 4. Practical internal guidelines aiming at maximizing the impact and dissemination of our recruitment calls was given to all involved recruitment units, even if some technical issues have not been solved yet. [see doc. 7.1 . https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/7.1_Linee_guida%20_euraxess_bandicineca.xlsx ] NEW TIMING: Q9-20 NEW INDICATORS/TARGETS: 1. Definition of the communication plan related to "Onboarding", "Welcome" and "Career Path" measures (by the end of Q5) (Q9-11) 2. Appointment of a specific working group in charge of revising the Italian and English website following and supporting HRS4R project principles (Q11) 3. Launch of the new English/Italian web site (Q11-19) and use of other means of communication as planned in the Communication Plan |

**Proposed ACTIONS**                                                                                          How do you know?

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Communication Action: Coordination of COLLECTION of PUBLIC ENGAGEMENT INITIATIVES to be archived at central level and improvement of their VISIBILITY: *creation of a centralised archive of PE initiatives including collaboration with the territory and schools (starting point also for national survey on "Terza missione/Third mission" carried out by ANVUR Italian Agency for the Evaluation of the Quality of Research) with diffusion of formats and guidelines; *use of e-tools and social media to promote the initiatives and use of an "event technology platform" to register and monitor participation; *sharing of procedures with researchers | (+/-) 9. Public engagement | Q1-Q6 | R.U. Quality Assurance Support Office; other involved units: , AiQua-R (Departmental Committees for the Quality of Research), Communication Service, Press Office, Orientation Office | 1. by the end of Quarter 2: centralized archive of events with main information (years 2015-2017) and complete information (about budget and impact) required for national data collection carried out by ANVUR (SUA-RD Third Mission) regarding 3 initiatives per Department and 3 at a central level (per year) 2. by the end of Quarter 6: adoption of a tool to collect PE initiatives wih detailed information (since 2018) 3. by the end of Quarter 6: use of an event technology platform for event management and diffusion of a procedure to promote the collection of PE initiatives |

**Current Status**          **Remarks**

**Proposed ACTIONS**　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　　How do you know?

| | Current Status | Remarks |
|---|---|---|
| | EXTENDED | 1. In Spring 2019 the University of Insubria established a Public Engagement Committee composed of one or two representatives per Department, administrative staff from the Communication Service, IT Service, and Quality Assurance Office, with the coordination of the Rector's Delgate for Communication, University Counselling and Fundraising. The main function of this Committee is to coordinate this kind of non-profit educational, cultural and social development activities dedicated to a non-specialized public and to help individual researchers and Departments in focusing on the impact of the initiatives carried out with the involvement of society and on the final goal to improve the public understanding of science and the expression of its needs and priorities. The first action was to create a centralized archive by collecting the variety of activities organized within the University. Starting from the first collection promoted by the Quality Assurance Unit using a Microsoft form, a more structured archive, which was developed within the Institution, has been implemented to collect information regarding at least 3 of such activities per Department from 2015 to 2019, according to the national data collection procedure that should have taken place in 2019.[see doc. no. 8.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/PE_Events_2015-19.xlsx ] 2.The lack of data requests from the Ministery of University and research gave us more time to think about an even more complete database. A specific tool, called Resource Management Module was acquired last year within the Institutional repository of the University Research (Irinsubria). This new tool, used since 2020, allows a full recording of the data, which may be comparedwith those from other universities, and is based on an information flow, starting from the data entered by the individual researchers who are responsible for the activity to their approval by the Internal Quality Assurance for Research and Third Mission Committee (AIQUAR). The PE Committee issued the PE Monitoring Guidelines, with the sharing of a common glossary and the definition of impact indicators. Specific guidelines for the use of the e-tool Irinsubria Resource Management Module (for the recording of every activity regarding researchers' CVs, PE initiatives, life-long learning courses, resources like research groups, laboratories and scientific equipment and incoming mobility) were shared with all researchers through the Departmental Committees (AIQUAR).[see doc. 8.2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/8.2_PE_Committee_PE_monitoring_guidelines.pdf ] 3.The last part of the action, consisting in the use of an event technology platform for the management of events and the diffusion of a procedure for proper communication and suitable services tailored to every kind of event is still on-going. The Communication Service, with the collaboration of the ICT Service, will re-organize the whole process with a platform to manage events in steps, from design to implementation, involving all the units that offer related services. The diffusion of instructions to all researchers will foster the correct use of the platform with an expected growth in efficiency. NEW TIMING: Q9-20 NEW RESPONSIBLE UNIT: Communication Service NEW INVOLVED UNITS: ICT Service, AiQua-R (Departmental Committees for the Quality of Research) NEW INDICATORS/TARGETS: 3. Use of an event technology platform for event management and dissemination of a procedure to promote PE initiatives |

| Action 9 | | | | |
|---|---|---|---|---|
| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |

**Proposed ACTIONS**                                                                How do you know?

### Action 9

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Development Action: Definition of a POLICY ON OPEN TRANSPARENT AND MERIT-BASED RECRUITMENT for the 3 main phases (Advertising and application; Selection and evaluation and Appointment). Policy will be formalized and disseminated in order to set out clear existing procedures and practices and- if necessary- improved with specific measures. Policy will state the importance of: *collecting and disseminating all existing regulations, procedures, good practices and templates in a new dedicated webpage; *translating all relevant information, regulations and selection call; *mentioning the C&C principles in all information material, contracts and recruitment administrative acts; *filling up the gaps as focused and explained in the OTM-R check list | (+/-) 12. Recruitment<br><br>(+/-) 13. Recruitment (Code) | Q1-Q8 | R.U. HR Service; other involved units: Departments, Research and Internationalisation Service, Communication Service | 1. OTM-R Policy definition; 2. on line Publication of OTM-R Policy; 3. Updating and extension of the webpage https://www.uninsubria.eu/useful-resources/era-researchers-recruitment focusing on OTM-R policy; 3. New templates for recruitment calls both in Italian and English taking into account the C&C and ethical principles and OTM-R checklist requirements |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1.As a main result of this action, the University of Insubria Policy on Open, Transparent and Merit-based Recruitment (OTM-R Policy) https://www.uninsubria.eu/sites/sten/files/Ricerca/OTM-R_Policy_Insubria_2021_EN.pdf was just approved by the Academic Senate (May, 19) . Starting from the gaps revealed by editing the OTM-R check-list and taking inspiration from the European document "Report of the Working group of the Steering group of Human Resources management under the European research area on OTM Recruitment (July 2015)" the University of Insubria has been improving its procedures and practices, now summarized in the OTM-R policy. Good pratices in recruitment were extended from an administrative process to another (i.e. the use of a Selection Committee kit previously provided only for R3-R4 recruitment has now been extended to R1-R2 recruitment). 2. The OTM-R Policy is published on the webpage dedicated to ERA recruitment, https://www.uninsubria.eu/research/era-researchers-recruitment. 3. Templates for recruitment calls both in Italian and English (R1/R2/R3/R4) mention the C&C,meeting OTM-R checklist requirements in accordance with the new Code of Ethics and Code of Conduct. [doc. 9.1: call R1 https://www.uninsubria.eu/sites/sten/files/Didattica/PostL/PhD/bando%20inglese.pdf, doc 9.2 call R2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/9.2_R2_call.pdf doc 9.3 call R3 - RTDA https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc_9.3_R3_RUTDA_CALL_facsimile.pdf doc 9.4 Call R3 – RTD https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc_9.4_R3_RUTDB_CALL_facsimile.pdf doc 9.5 call R4 – PA https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc_9.5_R4_PA_call_facsimile.pdf] |

An official EU website

**Proposed ACTIONS**

How do you know?

### Action 10

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Development Action: Definition of a PERSONAL CAREER DEVELOPMENT PLAN PCDP aimed at identifying short- and long-term professional goals and activities as well as additional skills, knowledge and experiences that can help in the current and future positions. PhD students and their supervisors will adopt and jointly draw, as good practice already experienced in MSCA-ITN actions, a PCDP to be regularly revised and discussed at the end of each year (i.e. participation to local and international research groups or courses; submission of abstract, invitations, inclusion in organizing committee of scientific events, description of the research budget for 2nd and 3rd year) | (+/-) 28. Career development<br><br>(+/-) 30. Access to career advice<br><br>(+/-) 36. Relation with supervisors<br><br>(+/-) 38. Continuing Professional Development | Q1-Q4 | Doctoral School | 1. Number of PCDPs; 2. one PhD course: as this action strongly impacts on doctoral culture, it will be introduced through a pilot phase that will involve 1 PhD course to be chosen on voluntary-basis; it will be evaluated and eventually extended |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1. A Personal Career Development Plan (PCDP) was tested for the Doctoral Program in Chemical and Environmental Sciences on all enrolled PhD students, during the academic year 2019/20 (no. 9). Template: https://www.uninsubria.eu/sites/sten/files/Didattica/PostL/PhD/career_development_plan%20%281%29.pdf 2.After testing the adoption of the Personal Career Development Plan (PCDP) for the Doctoral Program in Chemical and Environmental Sciences, the Coordinator reported to the Doctoral School during the meeting of 17 Decemberconsidering this new pratice as very useful for PhD students and the development of their skills in accordance with their supervisor. [see doc n. 10.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/10.1_Doctoral_School_Minutes_abstract.pdf ] After a brief discussion, the Doctoral School decided on the extention of the implementation of the PCDP for each Doctoral Program, starting from the PhD students enrolled in the current academic year. The format adopted (on the basis of the one used for MSCA-ITN actions) and the procedure to follow (responsibility/time) was established and disseminated by the Doctoral School to the Coordinators of each Doctoral Program. In particular, the plan contains activities and experiences provided for and timings for their implementation. The progress of the personal plan will be monitored at the end of each year in two steps: first between the student and the Coordinator, and then shared with the Supervisor, in order to let students express their impressions freely. This procedure helps preventing conflicts between students and supervisors by solving potential problems in advance. |

### Action 11

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|

**Proposed ACTIONS**                                                                  How do you know?

### Action 11

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Communication Action: PROMOTION of institutional figures, confidential and informal assistance, services and procedures dealing with COMPLAINTS/APPEALS for work-related conflicts, disputes, grievances with particular reference to possible frictions between First stage researchers and supervisors: i. a single web page that collects all information; ii. University Guarantee Committee CUG and Confidential Counsellor initiatives; iii. Reference to complaints assistance in all Onboarding /Welcome /Recruitment tools | (+/-) 34. Complains/ appeals | Q1-Q5 | R.U. Communication Service; other involved units: Guarantee committee CUG, Research Office, HR Service, Training & Research Area | 1. Definition of a Communication Plan (by the end of Q4); 2. Dedicated web page in Italian and English (by the end of Q5) |

| Current Status | Remarks |
|---|---|
| | |

**Proposed ACTIONS**                                                                                    How do you know?

| | Current Status | Remarks |
|---|---|---|
| | COMPLETED | 1.The Communication Service analyzed all the information about complaints and appeals on the Italian website and set up a communication plan to reach the external and internal public in the best way, with particular attention to first stage and recognized researchers. [see doc 11.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/11.1_Communication_Plan_complaints.pdf ] 2.As a result of this communication plan, the development of a new a single page addressed to the external and internal public was set up on the Italian website, with links to other web pages distinguished by user's category (including R1 and R2), some of them on the intranet section (https://www.uninsubria.it/servizi/segnalazioni-e-reclami ) Based on this information, the new webpage on reports and complaints available on the English website collects all the information about the procedures and referees that different types of members of the university community can contact for reports, complaints or appeals depending on their category. All researchers' categories could possibly run into different problems. On the webpage they can find useful suggestions: a constructive discussion with their superior, contact with the referee of their selection procedure, the way to report cases of exposure to particular dangers for health or safety, or unlawful conducts (whistleblowing). The whole academic community can refer to the Confidential Counsellor (in Italian Consigliere di Fiducia) or to the University Guarantee Committee - CUG (in Italian Comitato Unico di Garanzia) for episodes of discrimination, sexual and moral harassment or bullying. https://www.uninsubria.eu/services/reports-and-complaints With particular reference to first stage researchers, PhD students can find the name and contact details of the Coordinator of their course of study on the webpage of their Doctoral Program (i.e.: https://www.uninsubria.eu/post_lauream/course/chemical-and-environmental-sciences-2020-2021) which should be referred to in order to solve possible conflicts with their supervisor or other researchers. In addition, starting from the academic year 2019-20 all students can refer to a departmental figure called "students' reports manager". A dedicated e-mail address, accessible only by the Head of the Department or his/her delegate is provided for this kind of communication, which could be quite thorny. PhD Students can find information on the webpage. The survey promoted by the University Quality Committee (in Italian Presidio della Qualità di Ateneo - PQA) after one year from the implementation revealed that no PhD students contacted the students' reports manager, while other students did. This could mean that possible conflicts between first stage researchers and supervisors or other researchers are solved internally with informal contacts or in case of need by referring to the Doctoral Program Coordinator. https://www.uninsubria.eu/services/reports-and-complaints-phd-students In the future, the use of the PCDP for each PhD student (see action n. 10) will help offering possibilities for further discussion in the planning and monitoring phases on the student's' carreer paths and their activities and relations with others. |

**Proposed ACTIONS**

How do you know?

### Action 12

Development Action: Organization of the research and SCIENTIFIC FACILITIES: mapping of the current scientific facilities throughout the Institution; feasibility study of functional reorganisation of scientific facilities based on the analysis of the mapping study; promotion of guidelines for the access and use of common research facilities and equipment. Funding measures to support researchers and improve their scientific environment: fund raising for particular equipment will be promoted and a pilot internal competitive call open to all R3/R4 researchers will be launched to co-finance new big scientific infrastructures (> € 50.000 value).

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 23. Research environment | Q1-Q5 | R.U. Research and Internationalization Service; other involved units: Departments | 1. N° of dissemination meetings throughout the institution on fund raising opportunities for new scientific facilities 2. N° of dissemination meetings throughout the institution on "Access and Use of Scientific facilities and equipment Regulation" 3. Publication of internal call for co-funding of new research instrumentation |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1. Instead of organizing periodic meetings inside the institution concerning funding opportunities for new scientific facilities, the decision to acquire Research Professional www.researchprofessional.com allowed all researchers to take direct advantage of this new tool, which is always accessible and constantly updated. Three end user training courses were held at the end of 2020 (9-11-12/11/2020) with a focus also on funding opportunities. Institutional meetings were also held between the Rector's delegate for research / Rector's delegate for Technological Transfer and local funders. 2. Information about Access and Use of Scientific facilities are available on the Italian website (i.e. https://www.uninsubria.it/node/7988). Thanks to the recent acquirement of the IRIS-RM, an electronic tool for Resources Management, a list of scientific facilities is now available and published on the English website. https://www.uninsubria.eu/research/departments-and-research-centres-scientific-production-and-funded-projects Technical staff responsible for the management of scientific equipment is initially trained by a coordinator/supervisor and researchers/students who access the laboratories are properly informed about the rules to follow. Training is considered too specific to require the organization of dissemination meetings. 3. An Internal call to co-fundnew research equipment was launched on 12/06/2019 https://www.uninsubria.it/la-ricerca/finanziamenti-dateneo [for translations see doc 12.1-2-3 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/12.1_Cofunding_Call_Varese.pdf https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/12.2_Cofunding_Call_Como.pdf https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/12.3_Cofunding_Call_new_deadline.pdf ] |

**Proposed ACTIONS**         How do you know?

### Action 13

| Development Action: | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Definition of a POLICY on VALORISATION of the EFFORT of RESEARCHERS involved in externally funded projects, in terms of FINANCIAL BENEFIT or ADDITIONAL FUNDING for research | (+/-) 26. Funding and salaries | Q1-Q5 | R.U. Research Office; other involved units: HR Service, Departments | 1. Policy definition 2. Policy publication in intranet platform and/or institutional web site 3. Communication on policy publication via email to all involved researchers (aproxim. n. 400 R2-R3-R4) and involved administrative staff |

| Current Status | Remarks |
|---|---|
| EXTENDED | 1. On 19/11/2019 the Research Committee appointed a Commission for the revision of the "University Research Fund Regulations", to include incentives for researchers. After several online consultations, the Commission concluded the drafting of the new Regulations. As required by HRS4R the main innovative aspects are: - Starting grant for young researchers - Funding for projects submitted by young researchers A policy on the valorization of the additional effort of researchers involved in externally funded projects is presently undergoing a feasibility study in terms of Italian legislation and internal regulations. NEW TIMING: Q9 – Q20 |

### Action 14

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| | (+/-) 33. Teaching<br><br>(+/-) 39. Access to research training and continuous development | Q2-Q8 | R.U. Research Office; other involved units: HR Service, Doctoral School, Quality Assurance Support Office, ICT Service | 1. Online survey to all career level researchers on their training needs; 2. Approval of Researchers' Training Plan 3. N. of courses/training opportunities planned per year |

**Proposed ACTIONS**

How do you know?

| Action 14 | Current Status | Remarks |
|---|---|---|
| Development Action: Definition of a TRAINING PLAN FOR RESEARCHERS and feasibility study on appropriate methodology (on line, webinar, labs, workshops, courses); it will include the following topics (and others will be identified after an online survey directed to all researchers): *English course to promote international collaboration; *tutorial on supervision, teaching and dissemination designed by senior supervisors to ensure clear and transparent supervision arrangements for doctoral students; *teaching skills: public speaking, specific learning disorders etc.; *workshops on Integrity/Ethics for researchers (general topic as plagiarism and specific ones as biobanks); *new editions of training courses already implemented see gap analysis principle n.38 | COMPLETED | 1. A survey addressed to all reserchers was set up and sent via e-mail to 683 researchers (n. 240 R1, n.60 R2 and n. 383 R3-4) between January and April 2020 wih an answer rate of 26,35%, quite good for the Covid-19 period. The questionnaire first investigated researchers' satisfaction with the training courses already provided in the different areas (medium judgement: 3.15 out of 4) and asked for suggestions (strenghts and weakeness) for improvement. Then, interest for specific topics in the following 3 training frameworks, was investigated: • Knowledge, technical and intellectual abilities to do research • Standards, requirements and professionalism to do research • Knowledge and skills to work with others and ensure a wider impact on research The results of this analisys are available at https://www.uninsubria.eu/sites/sten/files/Ricerca/Results_survey_Training_Plan_0.pdf 2. As a result of this analysis, a training plan was defined and after a consultation phase with a Focus Group of Researchers and other involved units (Doctoral School, Ethics Research Center) a first training plan was approved by the Research Committee [see doc. 14.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/14.1_Research_Committee_Meeting.pdf - 14.2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/14.2_focus_group_mail.pdf ] with the support of the Teaching Committee and the Academic Senate (24.02.2021). The training plan is published on the English and Italian website. https://www.uninsubria.eu/research/workuninsubria/training-researchers https://www.uninsubria.it/la-ricerca/supporto-ai-ricercatori A customer satisfaction survey will be addressed to all participants in the courses with the final aim to monitor the effectiveness of learning outcomes. 3. At least 1 course per year in each framework, to be chosen between basic and advanced courses Details available here https://www.uninsubria.eu/research/workuninsubria/training-researchers |

**Proposed ACTIONS**

### Action 15

Development Action: IMPLEMENTATION OF PARTICIPATION OF R2 (assegnisti di Ricerca) on the consultation body AIQUA-R Departmental Committee for the Quality of Research in order to develop their involvement in departmental management, dissemination and documentation of research funds. Appointments will be expressed and approved by each Department Board.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 35. Participation in decision-making bodies | Q1-Q2 | R.U. Quality Assurance Support Office; other involved units: Departments | 1. Percentage of Departmental Committees for the Quality of Reasearch integrated with the appointment of R2 (at least 70% by the end of Quarter 1) 2. Percentage of Departmental Committees for the Quality of Research integrated with the appointment of R2 (100% by the end of Quarter 2) |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1-2-3. The Internal Committee for the Quality of Research (in Italian Commissione AIQUAR) is a consultation body in charge of promoting the quality of research and "third mission" activities (Public engagement, Technological Transfer and other activities involving society) in every Department. This Committee monitors and self-evaluates the results of the Department. It assists the Director of the Department in defining policies and strategies in the field of research and third mission and in proposing actions aimed at their improvement. If required, it carries out monitoring activities of the Department's strategic objectives and prepares reports on the Department's organization and activity for internal and external surveys, to be approved by the Department's Board. It is appointed by the Department's Board, and is coordinated by the Director of the Department, or his/her delegate, at least other 3 researchers and professors representing the different fields of research, 1 research fellow and 1 administrative referee. The partecipation of a research fellow, on the one hand, favors all activities as they receive the point of view of this young category and, on the other, allows young researchers to acquire knowledge on planning and monitoring procedures and processes from the beginning of their carreer. Percentage of Departmental Committees for the Quality of Research integrated with the appointment of R2: 100% (see webpage https://www.uninsubria.eu/research/departments-and-research-centres-scientific-production-and-funded-projects). |

### Action 16

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 13. Recruitment (Code) (+/-) 23. Research environment | Q1-Q4 | Training & Research Area | 1. Approval of procedures; 2. Definition of templates to apply for residential facilities addressed to R1 and R2 3. N° of R1 and R2 in University Colleges |

Proposed ACTIONS

How do you know?

| Action 16 | Current Status | Remarks |
|---|---|---|
| Formalization Action: Formalization of the opportunity to ACCESS TO RESIDENTIALITY FACILITIES for First Stage Researchers (R1 or PhD students) and Recognised researchers (R2 or Italian "assegnisti di ricerca") and promotion for all researchers. Specific agreements with local organisation will be settled in order to increase access to university residential opportunities. | COMPLETED | 1. The internal procedure regarding access to residential facilities for visiting professors and other international guests (like research fellows or foreign researchers/professors) has been approved by the Rector and made known to all units involved (Departments, Doctorate School) on 19/06/2019 [see doc 16.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/16.1_University_guests_accommodation_procedure.pdf and 16.2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/16.2_Department_accommodation_request_facsimile.pdf ] The regulations concerning the university residences of the University of Insubria describe the rules and conditions of use of the 3 Univesity residences ("Collegio Pomini" located in Catellanza; "Collegio La Presentazione" located in Como; "Collegio C. Cattaneo" located in Varese). https://www.uninsubria.eu/sites/sten/files/Concorsi_opportunita/Per_studente/Residence%20regulations.pdf The Italian website specifies that the University has stipulated agreements with external organizations in order to facilitate contacts betweens organizations/private owners and students. Useful information is provided on the University website. Students will have to apply directly with these external suppliers. The Accomodation Service guardantees support in case of need. https://www.uninsubria.it/servizi/alloggi-e-residenze-universitarie A permanent announcement on the webpage addressed to potential private/public organizations who are interested in making other specific residentiality agreements aims to increase access to residential opportunities for students and other visitors. 2. On the English webpage https://www.uninsubria.eu/international-relations/servicesfacilities international students or other guests (foreign PhD students seeking to be enrolled at the University of Insubria or research fellows, researchers/professors hired at the University of Insubria, visiting professors/researchers) can find information about the application procedure to access the University residences, assignment criteria and fees. Information about this opportunity is also provided in the annual PhD call. The annual call arranged by the Accomodation Service available on the website usually during the summer identifies all the rules and criteria to access residential facilities like the Unversity residences. For PhD students (R1) section 1.3 of the call specifies the number of accomodations reserved for newly enrolled students. [https://www.uninsubria.eu/opportunity/call-phd-methods-and-models-economic-decisions-xxxvii see doc 16.3 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/16.3_%20University_Residences_Call_facsimile.pdf] With particular regard to R1 and R2: • PhD students (R1) apply to a specific call to express their interest in accessing residential facilities (at the enrollment phase). The assignment is decided by each Doctoral Program Committee on the basis of equity criteria established by the Doctoral School. [see doc 16.4 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/doc.16.4_DSC_accommodations.pdf] • Research fellows (R2) may contact the Administrative Offices of their Department (see section 2 – last paragraph - of the annual call) to submit a request. Assignment depends on availability and will follow the chronological order. A "welcome form" has been produced to investigate the needs of incoming researchers. Accommodation requests have been included to help the Accomodation Service support the guests. https://www.uninsubria.eu/sites/sten/files/Ricerca/Incoming_Form.docx 3. N° of R1 and R2 in the University residences are available here (doc 16.5): https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/DOC_16.5_TABLE_R1-R2_Accomodation.xlsx |

**Proposed ACTIONS**
How do you know?

### Action 17

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Development Action: GENDER BALANCE MEASURES will be extended or ex-novo applied in order to guarantee full coverage of the principle. Full gender balance will be reached in Selection and Evaluation Committees for researchers' recruitment thanks to the extension of the presence of at least 1/3 of women in Committees for R1 recruitment processes (currently often reached but not mandatory). Moreover, in order to concretely impact on researchers' professional life, the institutional "Positive Action Plan" promoted by Uninsubria Guarantee Committee will be extended, not only to technical and administrative staff also to all researchers, where necessary and applicable. | (+/-) 14. Selection (Code)<br><br>(+/-) 27. Gender balance | Q1-Q8 | R.U. General Affairs Office; Other involved units: HR Service; Ethical Commission; Guarantee Committee CUG | 1. Revision of institutional regulations related to R1 and R2 recruitment, with regard to the full application of gender balance in selection committees 2. Number of women in selection commitees 3. Updated version of the annual "Positive Action Plan" extended to researchers |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1. With the approval of the revised Regulations for R1 and R2 recruitment by the Academic Senate on 21.04.2021 a full coverage of the principle for Selection Committees is now guaranteed. See articles 4.4 and 5.4 https://www.uninsubria.eu/sites/sten/files/Ricerca/Doctoral_programs_regulations%20-extract.pdf and articles 12.1 and 21.1 https://www.uninsubria.eu/sites/sten/files/Ricerca/Research%20grants%20regulations%20-%20extract.pdf 2. However, even for R1 and R2 recruitment procedures, as shown in the table, the percentage of women in Selection Commites has always been at least 33% in the last 3 years. [see doc n. 17.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/17.1_SELECTION_COMMITTEES_R1_R2.xlsx ] 3. The preliminary analysis for the extension of the "Positive Action Plan" will be used for the new Gender Equality Plan action). More actions will be defined in the future to accomplish a proper Gender Equality Plan (with resources, training activities etc.) (see new action n. 22). |

An official EU website

**Proposed ACTIONS**

How do you know?

### Action 18

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Development Action: OTM-R TRAINING for SELECTION COMMITEES' MEMBERS. In parallel with the publication of a proper OTM-R policy, a related on line course/webinar/remote tutorial targeted to Selection Committees' members will be implemented in the intranet/e-learning section, focusing on OTM-R tool kit and stressing their formal adherence to Uninsubria's Code of Conduct/Code of Ethics and to the Code of Conduct for the Recruitmnent of Researchers. | (+/-) 12. Recruitment<br><br>(+/-) 14. Selection (Code) | Q5-Q8 | R.U. HR Service; other involved units: ICT Service, Departments, Doctoral School | online publication/tutorial on recruitment principles for members of selection committees |

| Current Status | Remarks |
|---|---|
| COMPLETED | 1.A tool kit for all Selection Committees (from R1 to R4 recruitment), updated following the OTM-R Policy, is available on the Italian and English websites for each single procedure. A specific webpage dedicated to training for Selection Committees is also available on the English website to provide Committee members with all practical and legislative information they need (tool kit). https://www.uninsubria.eu/research/era-researchers-recruitment/information-selection-committees-members |

### Action 19

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 13. Recruitment (Code) | Q1-Q8 | R.U. ICT Service; other involved units: HR Service, Departments, Doctoral School | - Number of recruitment procedures managed with a web-based tool |

| Current Status | Remarks |
|---|---|
| | |

An official EU website
Proposed ACTIONS

How do you know?

| Action 19 | Current Status | Remarks |
|---|---|---|
| OTM-R ad hoc action: Use of WEB-BASED TOOLS for RECRUITMENT PROCEDURES of all researchers'categories with the aim to facilitate applications by all potential candidates located all over the world. New adoption or IT tools'improvement will allow to submit online applications, offer remote interviews, assess formal requirements and qualifications, register selection committee's minute, publish all results and feedback . The impact of all ad hoc actions identified to fill in gaps regarding OTM-R principles will be maximized through the implementation of action n. 7 (Communication plan) with an expected growth in attractiveness: specific focus within Action n. 7 will regard the diffusion of our recruitment calls in English on Euraxess. | COMPLETED | During the last six years a documents dematerialization process has been taking place in order to simplify all application procedures. In 2016 two different online tools started to be used in order to give R1 and R2 applicants the possibility of submitting their application to recruitment calls online with self-declarations and attaching signed documents (submission phase). For R1 the tool used is "Esse3", the same as for all degree applications. For R2 a new tool for empoyees recruitment procedures, called "PICA", was first tested and then acquired. In 2019 the use of PICA was gradually extended to all researchers' recrutition procedures, as shown in the table. Now every single recruitment procedure is managed with web-based tools .[see doc n. 19.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/19.1_concorsi_pica.xlsx ] The adoption of these tools is certanily linked to the increased number of applicants, especially foreign ones [see doc n. 19.2 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/19.2_N.APPLICANTS.xlsx This contributed to the ambitious goal of increasing the University's attractiveness. The Covid-19 Pandemic encouraged our University to accelerate the implementation of the other phases of the recruitment process, including selection. Remote interviews (even public discussions for the recruitment of R4 positions) were organised for all procedures and this practice will never be replaced. Communications to applicants are provided only through the website. With the dissemination of the guidelines for the publication of recruitment announcements on Euraxess (see extended action n. 7) the calls' visibility is expected to increase with a positive impact on the number of applications. |

| Action 20 | | | | |
|---|---|---|---|---|
| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |

**Proposed ACTIONS**                                                                                 How do you know?

### Action 20

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| OTM-R ad hoc action: Implementation of a proper OTM-R QUALITY SISTEM focused on actions identified to fill the gaps underlined in OTM-R check-list (actions integrated with other foreseen actions or other ad hoc actions). In order to optimize and enhance its effectiveness, Transparency and Anti-corruption Plan will be integrated with a chapter dedicated to researchers' recruitment with specific goals and its results on OTM-R relevant aspects. Meanwhile, some actions related to OTM-R aspects as all the other actions identified for the HRS4R implementation process will be included in the annual performance plan of the administrative staff, which identifies for each specific goal, the administrative units responsible and other units involved in the action, indicators and targets. | (+/-) 13. Recruitment (Code) | Q1-Q8 | R.U. Informatic and Documental System Office; other involved units: HR Service, Departments, Doctoral School | 1. By the end of Q2: Definition of Indicators for OTM-R Quality control system to be included in the institutional Indicators Dashboard, their integration with the Transparency and Anti-corruption Plan approved by the Board of Directors (chapter dedicated to researchers' recruitment) and inclusion of specific annual objectives in the Performance Plan (2019-21) for the administrative staff 2. By the end of Q3: updating of the indicators data for OTM-R to be included in the Transparency and Anti-corruption Plan (containing previous year's results) and progress monitoring of 2019 Performance Plan results and possible revision of objectives/targets 3. By the end of Q4: assessment of objectives 2019 and definition of new objectives for the Performance Plan 2020-22. 4. By the end of Q5: final Report regarding objectives 2019 and their effective results 5. By the end of Q8: standardization of the process previously identified, supervision of the whole recruitment process |

| Current Status | Remarks |
|---|---|
| EXTENDED | 1 – 2. During the implementation phase a first analysis was carried out to identify proper indicators for an OTM-R Quality System, together with the definition of our OTM-R Policy and the implementation of actions linked to OTM Recruitment.A set of indicators regarding the different phases of the recruitment process have therefore been calculated, by taking into consideration the recruitment strategies set out in the Strategic Plan An institutional Dashboard on the basis of these strategies and objectives is now underway, as our first Strategic Plan (dated June 2019) was set up with a bottom-up approach and the monitoring system first focused on the departments' objectives and actions. [See doc 20.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/20.1_University_Strategic_Plan_2019-2024.pdf ] The updated indicators are available here (doc 20.2): https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/20.2_QUALITY_SYSTEM_HRS4R_INDICATORS.xlsx 3-4. Regarding the HRS4R implementation process as a whole, as a partial result of this action, the integration of HRS4R actions in the Performance Plan for administrative staff was set out in 2019 in order to guarantee the achievment of all the objectives identified in the Action Plan. This integrated process has been standardized following the annual plan-report [see doc 20.3: https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/DDG_2020_512_OBIETTIVI_PTA_2020_ALLEGATO_DEF.xlsx ] 5. For the complete achievement of the objectives, the following have been identified as final actions NEW RESPONSIBLE UNIT: Planning and Control Service NEW INVOLVED UNITS: HR Service, Departments, Doctoral School NEW TIMING: Q9 – Q20 NEW INDICATORS/TARGETS: 1. Definition of a check-list for RPA 2. Description of the Quality System (roles and responsiblities, procedures, indicators) |

How do you know?

**Proposed ACTIONS**

### Action 21

Development Action: Implementation of a TRAINING PLAN FOR RESEARCHERS. The training plan is structured in 3 frameworks: 1) knowledge, technical and intellectual abilities to do research; 2) standards, requirements and professionalism to do research 3) knowledge and skills to work with others and ensure the wider impact on research and several topics. We propose to activate at least 1 course per area per year, to be chosen between a basic and an advanced level.

| GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|
| (+/-) 33. Teaching<br><br>(+/-) 39. Access to research training and continuous development | Q9-Q20 | R.U. Research Office; other involved units: HR Service, Doctoral School, Quality Assurance Support Office, ICT Service | 1. N. of courses/training opportunities attended 2. N. of partecipants |

| Current Status | Remarks |
|---|---|
| NEW | |

An official EU website | **Proposed ACTIONS**                                        How do you know?

### Action 22

| Development Action: GENDER EQUALITY PLAN will be adopted in order to guarantee full coverage of the principle, in line with Horizon Europe Framework's instructions. The adoption of the plan will allow researchers to participate in the Horizon Europe Framework, thus increasing research freedom | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| | (++) 1. Research freedom<br><br>(+/-) 14. Selection (Code)<br><br>(+/-) 27. Gender balance | Q9-Q20 | Research Office; Other involved units: R.U. General Affairs Office HR Service; Guarantee Committee CUG; Communication Service | 1. Appointment of a specific committee in charge of implementing the Gender Equality Plan (Q9-Q10) 2. Definition of a Gender Equality Plan in line with Horizon Europe framework's instructions (Q10 – Q18) 3 Approval of the Plan by the Academic Senate (Q19-20) |

| Current Status | Remarks |
|---|---|
| NEW | |

Unselected principles:

(++)3. Professional responsibility     (++)6. Accountability     (++)7. Good practice in research     (++)8. Dissemination, exploitation of results     (++)10. Non discrimination

(++)11. Evaluation/ appraisal systems     (++)15. Transparency (Code)     (++)16. Judging merit (Code)     (++)17. Variations in the chronological order of CVs (Code)

(++)18. Recognition of mobility experience (Code)     (++)19. Recognition of qualifications (Code)     (++)20. Seniority (Code)     (++)21. Postdoctoral appointments (Code)

(++)22. Recognition of the profession     (++)24. Working conditions     (++)25. Stability and permanence of employment     (++)31. Intellectual Property Rights     (++)32. Co-authorship

(++)37. Supervision and managerial duties     (++)40. Supervision

**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.uninsubria.eu/research/hr-excellence-research-uninsubria

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 (Initial Phase)

**OTM-R System**: Although a substantial accordance to OTM-R principles is guaranteed, definition and adoption of a proper OTM-R policy is needed. Action n. 9 (as detailed above) foresees the definition of a proper OTM-R policy with the collection, improvement and dissemination of information, regulations and procedures in order to contribute to filling up the gaps focused in the OTM-R check list. Currently, several web pages of the public website contain information about how Uninsubria has been regulating different OTM-R aspects and the intranet section provides added information and services dedicated to the different categories of researchers. A single web page – organized for professional categories and thematic areas (i.e. teaching/research) - will be updated and further implemented in English.

This new architecture of coordinated information on OTM-R policy and related materials, together with the promotion of the European Charter and Code for Researchers, is foreseen within the action n. 7. This action, as described above, consists of a complete communication plan with the aim to promote the existing and improved practices and procedures regarding "onboarding", "welcome" and "career path" initiatives formalized in action n. 4, 5 and 6.

An action (n. 18) is dedicated to better support Selection Committee members by providing in the intranet/e-learning section an on line course/webinar/remote tutorial related to OTM-R policy underlying the importance of total adherence to Uninsubria's Code of Conduct/Ethical Code and to the European Code of Conduct for the Recruitment of Researchers.

Although Uninsubria has tools and internal figures to supervise correctness and transparency of selection procedures, it is necessary to implement **a proper OTM-R quality system** (**ad hoc OTM-R action n. 20**) focused on actions identified to fill the gaps underlined in OTM-R check-list (actions integrated with other foreseen actions or other ad hoc actions). In order to optimize and enhance its effectiveness, Transparency and Anti-corruption Plan will be integrated with a chapter dedicated to researchers' recruitment with specific goals and its results on OTM-R relevant aspects. Meanwhile, some actions related to OTM-R aspects as all the other actions identified for the HRS4R implementation process will be included in the annual performance plan of the administrative staff, which identifies for each specific goal, the administrative units responsible and other units involved in the action, indicators and targets.

ADVERTISING AND APPLICATION PHASE: Procedures substantially adhere to open and transparent requirements. The use of **web-based tools for researchers' recruitment** is already a widespread practice for all professional categories, but not yet for any phase of their selection. Currently, only Post-doc positions selection calls (R2) are entirely managed through the online platform PICA https://pica.cineca.it/. Therefore, this opportunity will be extended to all experienced and senior researchers (**ad hoc OTM-R action n. 19**) with the aim to facilitate applications by all potential candidates located all over the world. New adoption or improved IT tools will allow to submit online applications, assess formal requirements and qualifications, register selection committee's minute, publish all results and feedback.

The impact of all ad hoc actions identified to fill in gaps regarding OTM-R principles will be maximized through the implementation of action n. 7 (Communication plan) with an expected growth in attractiveness: specific focus within Action n. 7 will regard the diffusion of our recruitment calls in English on Euraxess through the provision of written instructions to improve visibility of job opportunities.

Other actions described above (n. 12 – scientific facilities optimization – and 16 – facilitated access to accommodation for R1 and R2) are foreseen to increase the attractiveness of the positions available at Uninsubria and applications from abroad.

SELECTION AND EVALUATION PHASE: Through the foreseen action n. 17 (Gender measures) gender balance will be respected even when currently not mandatory (R1 positions' selection), requiring a minimum of 1/3 of women in any selection's Committee composition and evaluating the extension to researchers of "Positive Action Plan" designed by the Guarantee Committee CUG .

APPOINTMENT PHASE: Full compliance with feedback/complaints/appeal procedures is guaranteed for recruitment processes. Nevertheless, in Action Plan a specific communication action (n.11) has been designed in order to spread all information about institutional figures and services dealing with general work-related conflicts, disputes, grievances.

OVERALL ASSESSMENT: Overall assessment will be guaranteed by monitoring the results of administrative performance (Approval of the annual report on performance with action results, time and effective target reached with the validation by the Internal Evaluation Unit) and through the annual plan on Transparency and Anti-corruption containing data and information on crucial OTM-R aspects.

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

The completion of a considerable part of our planned actions allowed us to achieve some important goals particularly regarding OTM Recruitment. However, some are still on-going.

Firstly, the OTM-R Policy was defined by the Implementation Committee and approved by the Academic Senate on 19.05.2021

[action 9 - completed]. An integration of every recruitment call and contract with a formal commitment of adeherence to the C&C and to OTM-R principles and Policy was established since the beginning of 2021 and tool kits for the members of the Selection Committees have been consistently updated.

Starting from an English website mainly dedicated to international students, new webpages have been set with a focus on researchers. The ERA webpage https://www.uninsubria.eu/research/era-researchers-recruitment provides main information about researchers' profile, from R1 to R4, and a link to open positions allows interested subjects to easily reach useful information. A range of services and facilities available for incoming researchers before and upon arrival are published on the related webpage https://www.uninsubria.eu/international-relations/servicesfacilities . The translation of integral documents is still on going as it takes time and resources to be fully completed.

Another new webpage ("Apply with us" https://www.uninsubria.eu/research/uninsubria-research-partner-host-institution ) aims to attract the interest from potential ERC/MSCA participants and international institutions/companies for collaboration.

[action 4,5 and 6 completed].

All the information already available in English will be checked with regard to the information on the Italian website/intranet section and further developed with the collaboration of all the offices which are responsible for each service (especially for action 6 "career path"). A proper communication plan will be set up by the Communication Service to enhance the University's visibility [action 7 – extended], in line with the revision process of the entire University portal.

More specific actions in connection with the 3 main recruitment phases have been completed:

1. 1. 1. 1. ADVERTISING AND APPLICATION PHASE: a specific activity within Action n. 7 for the diffusion of our recruitment calls in English on Euraxess through the provision of instructions to improve the visibility of job opportunities; other onboarding measures contributed to enhancing the attractiveness of recuitment positions towards foreign applicants [actions n. 12 – scientific facilities optimization – and 16 – facilitated access to accommodations for R1 and R2 – completed]; with the ad hoc OTM-R action n. 19 all recruitment procedures (from R1 to R4) are now managed through the online platform PICA for the application phase.

   2. SELECTION AND EVALUATION PHASE: Training for the members of the Selection Committees is guaranteed by the provision of a tool kit for every Committee and a webpage stressing the importance of adherence to the internal Code of Ethics and European C&C principles [action n. 18 – completed]; Gender balance is now mandatory for all Selection Committees, with the approval of the revised Regulations for R1 and R2 (at least 1/3 women). Instead of the extension to researchers of the "Positive Action Plan" designed by the internal Guarantee Committee CUG, a new goal will be achieved with the implementation of a complete Gender Equality Plan [action n. 17 – completed; new action n. 22].

   3. APPOINTMENT PHASE: With the reorganization of all information about institutional figures and services dealing with general work-related conflicts, disputes, grievances on dedicated webpages, researchers are now informed of all channels and possibilities to submit requests, complaints and appeals [action n. 11 – completed].

The action regarding the OTM-R Quality System is still open: a monitoring process will be defined, though a check-list for RPA.

☐ Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.          How do you know?
☐ An official EC 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.

URL:
https://www.uninsubria.eu/useful-resources/era-researchers-recruitment

## 4. Implementation

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

The implementation process starts in coincidence with the establishment of the new governance of our University (01/11/2018 – 31/10/2024). For this reason, its description has to consider at least three positive factors:

- The HRS4R accreditation process is clearly assumed and moved into the research chapter of the new governance program;
- The new governance program includes the identification of two Vice Rectors, one for the strategic plan and one for Communication and fund raising: they both will be in charge of actions, which have a decisive impact on the implementation of the HRS4R action plan.
- The establishment of the new governance is the best possible opportunity to strongly enhance the implementation process: the experience consolidated while working about the gap analysis and the action plan will be considered in order to, if needed, rationalize and better structure the process, in order to make it even more concrete and effective.

Consequently, the first step of the implementation process will be the confirmation (or the modification) of the steering committee and the working group: the new composition will express continuity with the past groups and will be mainly aimed to facilitate the dialogue between the governing bodies and the operational units as well as guaranteeing a link, as close as possible, between the actions and the strategic plan of the University. An adequate gender balancing will be strongly considered as well. The new composition will be approved by the Academic Senate by the end of 2018.

The implementation process for 2019 - 2020 will therefore be structured on the action of four main actors:

- The governing bodies, in charge of the approval of the action plan and the assignation of priorities and budgets to the structures;
- The HRS4R Implementation Committee (meaning together the Steering group and Working group) will act in continuity with what already implemented by the Steering Committee and working group: their main task will be either the supervision and monitoring of the activities of each responsible unit and the proposal of corrective actions to the governing bodies, if needed;
- The Quality Assurance Committee in charge of supporting, in terms of quality assurance, the responsible units while keeping track and record the actions;
- The responsible units for the actions are identified in the organizational units of the university administration in order to guarantee a strong and coordinated action in accordance with the performance plan of the university. In our organization, also thanks to its small size and its consolidated organizational structure, the organizational units interface directly and easily with the governing bodies (academic senate, board of directors, PQA, Vice Rectors): this guarantees that the units operate in line with the strategic directions and with the involvement of the entire academic community. To address issues and actions of particular importance, such as the revision of the code of ethics, limited and mixed committees (technicians, students and researchers) may be established: alternately, the reference bodies will be directly the Academic Senate and the Administration Board. The roles and competences of the governing bodies are clearly identified in the Statute of the University.

The periodic monitoring is supposed to be structured coherently with the action plan: the HRS4R Implementation committee will meet, twice a year, the responsible units in order to discuss and verify the state of the art of each action: the meetings will be formally documented. Anyway the new HRS4R implementation committee, in its first meeting, will discuss and approve a definitive monitoring plan: contingency measures will be properly considered

The concrete effectiveness of the actions undertaken might also be monitored, when needed, through a periodic submission of simple customer satisfaction questionnaires and the discussion of the results in at least two annual meetings of the researchers' focus group.

At the end of each year the HRS4R implementation committee will report to the Academic Senate and the Board of Administration

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

**Note:** Click on each question of the checklist to open the editor.

How do you know? ⌄

## How have you prepared the internal review?*

Detailed description and duly justification (max. 500 words)

Due to changes in the composition of the Rector's delegate system and rotation of administrative staff, the Implementation Committee composition was updated in May 2021, while still maintaining the roles identified by the Academic Senate in the initial phase.

The semestral meeting of the Implementation Committee, on 14 December 2020, focused on the analysis and discussion of the actions' status starting from the collection of questionnaires filled in by the Responsible Units regarding:

- the achieved percentage of the planned objectives by August (Q7)
- the description of the implementation of the actions with achieved indicators/targets highlighting difficulties in completing the action in the planned timeline
- the estimated action status at the end of the year / beginning of 2021
- possibly, some hints about new objectives that could be further developed in the updated action plan for 2021/24.

The result of this collection operation is contained in a specific excel file, with a draft of the actions' status approved by the Implementation Committee together with a proposal for new actions. On the basis of this analysis, a to-do-list was shared by the Coordinator with all Responsible units containing the duties to accomplish in order to be able to state that most actions were completed within the deadline.

A restricted operating group composed of three members of the Implementation Committee followed the final implementation phase, by contacting all Responsible Units and arranging a proposal for the section of the Internal Review regarding the actions' status and description.

In particular, evidence of target achievement for the indicators identified for each completed action was produced and possible new timelines/indicators and targets, responsible and involved units were identified for the extended actions.
Once these sections were completed, the Strenghts and Weaknesses section was drafted, in collaboration with the HRS4R Coordinator and the Teaching and Research Area Manager.

With regard to the initial OTM-R check-list and the actions related to it, a framework of the updated compliance to OTM-R principles is given in the dedicated section.

The Implementation section was drafted by the previous HRS4R Organizational Adiministrator and completed by the current one. When completed, the document was finally revised by the restricted working group with an eye to the template used by the individual assessment, in order to make sure that each specific requirement had been considered.

The entire Internal Review was discussed in the meeting of the Implementation Committee on 13.05.2021 focusing on the new actions. The final version of the Internal Review was submitted to the Governing Bodies and approved by the Academic Senate on 19.05.2021.

An official EU website            How do you know?

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

Detailed description and duly justification (max. 500 words)

A specific and extended communication plan was adopted in order to guarantee that, not only the entire community – internal and external- could be aware of the commitment of the University to the implementation of a strategy for the valorization of its researchers, but also that all intermediate initiatives could be openly recorded and monitored:

-        Communication about HRS4R to the Academic Senate on 18 March2019 presented together with the approval of the Implementation Committee

-        E-mail of the Rector on 19 April 2019 to the entire academic community (PhD students, post-docs, researchers, Staff) about HRS4R certification (what it is and why we chose to join the HRS4R community) with the slogan: "HR Excellence in Research Award - we got it! 479 organizations in Europe, 12 universities in Italy and among them Insubria, awarded by the European Commission for the alignment of policies and practices to the principles of the European Charter & Code for Researchers. Insubria is the right place to work at!"

-        Creation and publication of a banner with quick and easy access to HRS4R from the footer of the home page

-        Presentation of HRS4R in the framework of a periodical meeting of all AIQUA-R members on 16 December,2019 (Departmental Committees for the Quality of Research)

-        National Donations Campaign (5permille), May 2019: Unisubria decided to devote all donations received within "5permille Campaign" to young researchers (assegnisti – post doc research fellows); the related communication of the Rector, as well as the videos realized with this end, stressed the participation in the achieved program and gave instructions to all Staff and Researchers to update the signature of institutional e-mails with the HR logo / button (with embedded link to the website) https://www.uninsubria.it/chi-siamo/sostieni-uninsubria/le-storie-dei-nostri-ricercatori

-        Ad hoc communication to all our researchers interested in submitting research projects to external funding agencies: HRS4R can facilitate the evaluation of the University in funding requests especially at the European level (as it demonstrates a commitment to good working conditions and career development for researchers): the Research Office drafted a profile description of the Institution, focused also on HRS4R and its compliance with Art 32 Grant Agreement for H2020 projects. The profile is available on the intranet platform and was presented during a training course held by NCP APRE on 11 November, 2019.

-        Brochures of the Charter and Code are usually distributed to all new researchers together with their contracts

-        A home produced video on HRS4R https://youtu.be/SECj8DWUlg4 is also available at https://www.uninsubria.eu/research/hr-excellence-research-uninsubria

The main academic bodies (Academic Senate, Research Committee, Teaching Committee, Doctoral School, Quality Assurance Support) were constantly updated on the progress of the actions and in some cases consulted.

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

How do you know?

Detailed description and duly justification (max. 500 words)

After the specific deliberation of the Academic Senate, a new Commitee has been appointed with rectoral decree in March 2019 (revised in June 2020 and then in May 2021) and called "Implementation Committee", assuming that:

•        the previous Steering Committee and Working Group had successfully concluded their work related to the initial phase of accreditation

•        it was appropriate to follow up the implementation phase from the very beginning of the 2-year Action Plan (to be concluded within February 25, 2021) setting all supervision and coordination measures

•        a strategic approach suggests to embed crucial institutional roles in the Implementation Committee and assure a large representation in terms of researchers profiles, affiliation to different Departments and balance between administrative and academic roles

Roles of members (for full composition with name, position and management line see https://www.uninsubria.eu/sites/sten/files/Ricerca/HRS4R_implementation_committee_may_2021.pdf )

        HRS4R Implementation Committee's Coordinator

        Vice Rector for the University Strategic Plan

        Vice Rector for Communication, Orientation and Fund Raising

        Member of the University Quality Committee

        Head of Institutional and Cultural Communication and Promotion Service

        Administrator staff of Institutional and Cultural Communication and Promotion Service

        Manager of the Teaching and Research Area

        Manager of the Research and Innovation Office

        Manager of the Professors/Researchers Recruitment and Career Office

        Manager of the International Relations Office

        Manager of the Planning and Control Service

Moreover, with the beginning of the implementation phase, we opened the new self-candidacy for the Researchers Focus Group: new forces joined the group – including the previous Rector, who strongly supported the HRS4R application, some of the "old" forces consolidated their participation and this time the group also benefited from the expertise of a technician, who specializes in clinical ethics. For full composition see https://www.uninsubria.eu/sites/sten/files/Ricerca/focus_group_research_implementation_phase2019-20.pdf  All members of the Researchers Focus Group have full-access to the minutes, works, and papers, which are available in the intranet platform, and all managers of the HRS4R actions have been asked to write or contact them directly for consultation on any issues related to the implementation of their actions (i.e. for the drafting of the Training Plan for Researchers a specific consultation was dedicated by the Focus Group). [see doc I.1 https://www.uninsubria.it/sites/default/files/HRS4R_doc_interni/Corso_%20HRS4R_elearning.pdf ]

☐ An officially available
policy

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

ᵛ How do you know?

Detailed description and duly justification (max. 500 words)

HRS4R is included in the 2019-24 Strategic Plan, as a significant part of the HR and institutional Research strategy characterised by a strong international approach.

Being aware that the greatest attractiveness for researchers coming from abroad may be represented by the research context and the quality of life at the University and in its sorroundings (not surely by the salaries), several objectives aiming at improving these aspects have been planned (i.e. in the field of communication, quality of services, innovative teaching, recruitment system, bonuses).

A specific policy for the recruitment of talents (with a focus on international young researchers) was set, in line with the HRS4R objectives and specific actions:

- focusing on reward recruitments (direct calls for equivalent positions abroad or for high-level international professors);

- getting in touch with Italian excellent researchers abroad who are willing to come back to Italy to identify opportunities of common interest;

- opening international calls in specific areas or adopting the "Expression of interest" method;

- through the website, promoting the participation of researchers, both internal and external, in international calls with our University as host institutions.

The entire recruiment policy is aimed at satisfying the needs of strengthening existing Human resources by combining the attraction of talents through competitive and, if possible, low-cost programs, with the carreer expectations of the teaching staff in possession of the National Scientific Qualification to access higher positions.

The HRS4R, with its practical actions to achieve, is aligned with other strategic goals for core and supporting activities, identified in the Strategic Plan with reference to the following 5 "strategic priorities":


1. Quality, in all areas of activity

2. Internationalization

3. Innovation and interdisciplinarity

4. Strong local rooting

5. Distinctive identity

For example, new accomodation solutions for students and incoming researchers have been seeked outside of the University residences and have been partially already identified, through agreements with local authorities and private owners.

An official EU website

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

Detailed description and duly justification (max. 500 words)

The commitment of the Governing bodies and the Research Committee in implementing the Human Resources Strategy for Researchers spurred all involved administrative units to act in order to achieve the objectives. Thanks to the involvement of other University Committees (like the Teaching Committee, Research Committee, The Ethics Committee and the Quality Committee - PQA) for the implementation of the entire process and their consultations on specific topics (i.e. the Training Plan for Researchers or the Monitoring Plan) a high awareness and endorsement of the HRS4R are now consolidated at the political level.

The inclusion of HRS4R actions in the annual Performance process also helped, as part of the variable salary of the administrative staff is based on the achievement of the targets.

An official EU website
How are you monitoring progress (timeline)?*

How do you know?

Detailed description and duly justification (max. 500 words)

The monitoring system (https://www.uninsubria.eu/sites/sten/files/Ricerca/HRS4R_monitoring%20plan.pdf ) was defined and approved during the second meeting of the Implementation Committee (20.05.2019)

In particular, the monitoring system includes:

-　　　Methodology: remote/face to face / online (due to the Covid-19 emergency, remote monitoring and online meeting prevailed in 2020)

-　　　Actors: Implementation Committee, managers of actions, Focus Group, Governance

-　　　Timeline: twice a year IC meeting and managers of actions + open consultation with Focus Group + annual report to the Governance

-　　　Templates: excel file to monitor implementation (percentage of implementation every Quarter + brief text on criticism and initiatives carried out - biannual) + questionnaire on state of the art in September 2020

Calendar of past monitoring events with topics: see full version here https://www.uninsubria.eu/sites/sten/files/Ricerca/HRS4R_calendar.pdf

13.05.2021 VI Implementation Committee online meeting (OTMR Policy approval, Internal review approval)

14.12.2020 V Implementation Committee online meeting (monitoring actions for Internal review and new action proposals)

September 2020: questionnaire via email to all managers of HRS4R actions

25.06.2020 IV Implementation Committee online meeting and Meeting with managers of individual actions

Webinar University College Cork on HRS4R and implementation and renewal phases

26.11.2019 III Implementation Committee meeting + managers of individual actions

25.06.2019 Meeting with managers of individual actions

20.05.2019 – II Implementation Committee meeting

08.04.2019 I Implementation Committee meeting

This system allowed to identify possible implementation obstacles, such as the awareness of a significant lack of resources deputed to critical Units for the implementation of HRS4R, like the Communication Service.

The inclusion of HRS4R actions in the performance plan for adminstrative staff helps following the actions timeline year by year.

An official EU website                                                                     How do you know?

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

Detailed description and duly justification (max. 500 words)

As described before, the monitoring process was set to keep under control the achievement status of all planned actions.With the support of the excel file, a % of the target achievement is defined every Quarter (three months time) by the responsible unit, in collaboration with the other involved units.

In view of the next assessment, we intend to apply the same monitoring system.

by the end of the Q13, a survey will be carried out to evaluate the effectiveness of the actions carried out in the first period, in order to plan any corrective actions to be undertaken in itinere.

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

Detailed description and duly justification (max. 500 words)

Some training initiatives, experienced by HRS4R Organisation Administrator and shared with the Implementation Committee through the intranet platform and face to face report and interaction provided an international point of view on external assessment and some best practices.  In particular:

- slides provided by the University College of Cork during the webinar of April 2020 on "Participant & Assessor" and "OTM-R"
- Erasmus Staff Training at the University of Glasgow

In addition, some hints will be asked to the Quality Committee, following from the recent on-site visit within the national accreditation process. Interaction with all involved actors (Implementation Committee, managers of actions, Focus Group, Governing Bodies, external stakeholders) focusing on C&C principles, OTM-R principles and the whole HRS4R implementation process through interviews simulation will help prepare for the external review, both on-site and online.

A workshop with an experienced HRS4R assessor could also be organized with the involvment of all actors.

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

Implementation Actions  have been divided in **three main categories** with different impact on University culture and on required effort:

| | |
|---|---|
| **COMMUNICATION** | internal/external communication to promote current practices;  translation of Italian documents into English, in order to maximize international attractiveness and access |
| **FORMALIZATION** | FORMALIZATION of existing practices that have not yet been formally transcribed and implemented |
| **DEVELOPMENT** | DEVELOPMENT or introduction of new internal rules, services, practices, procedures |

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How do you know?

**Timeline** has been expressed in quarters: from first quarter of the first year (Q1) to last quarter of the second year of implementation (Q8).

A **Gantt Chart** on HRS4R action implementation is available on public webpage https://www.uninsubria.eu/research/hr-excellence-research-uninsubria. It reports on action timeline and related responsible units in charge of the implementation.

The new timeline is still expressed in quarters: from Q9 (June 2021) to Q20 (May 2024).

A new Gantt Chart for the next 3 years is available on the webpage https://www.uninsubria.eu/research/hr-excellence-research-uninsubria  Or directly accessable at: https://www.uninsubria.eu/sites/sten/files/Ricerca/HRS4R_Gantt_2.pdf

5 actions have been extended to allow the conclusion of the planned activities (n. 1 "Regulatory revision of code of ethics and code of conduct", n. 7 "Plan to increase the effectiveness and visibility of initiatives and services for researchers", n. 8 "Coordination of collection of public engagement initiatives", n.13 "Policy on valorization of the effort of researchers", n. 20 OTM-R Quality System).

2 new development actions (n. 21 "Training Plan for Researcher" and n. 22 "Gender Equality Plan") have been introduced to respond to the complexity of the outputs of actions n. 14 "Definition of Plan for Researchers" and n.17 "Gender balance measures").