

Action Plan

Case number: 2018IT341333

Name Organisation under review: Università degli Studi dell'Insubria

Organisation's contact details: Via Ravasi, 2, Varese, Italia / Lombardia, 21100

1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	587
Of whom are international (i.e. foreign nationality) *	42
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	33.63
Of whom are women *	248.5
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	339
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	47
Of whom are stage R1 = in most organisations corresponding with doctoral level *	201
Total number of students (if relevant) *	10749
Total number of staff (including management, administrative, teaching and research staff) *	898.08

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	83415559
Annual organisational direct government funding (designated for research)	18326518.46
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	501415.67
Annual funding from private, non-government sources, designated for research	1035132.09

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

Since its foundation in 1998 spinning off Milano and Pavia Universities, University of Insubria has always been promoting the development of high 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 11000 students, from 100 to 400 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 provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Note: Click on the name of each of the four thematic headings of the Charter and Code to open the editor and provide your answer.

Ethical and professional aspects*



Strengths and Weaknesses (max. 800 words)

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

Recruitment and selection*



Strengths and Weaknesses (max. 800 words)

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.

Working conditions* ▼

Strengths and Weaknesses (max. 800 words)

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

Training and development* ▼

Strengths and Weaknesses (max. 800 words)

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

3. Actions

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

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):

<https://www.uninsubria.eu/research/hr-excellence-research-uninsubria>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

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

Proposed ACTIONS

Action 1

Proposed ACTIONS

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)

(+/-) 2. Ethical principles

Timing (at least by year's quarter/semester)

Q1-Q6

Responsible Unit

Indicator(s) / Target(s)

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)

Proposed ACTIONS

Action 2

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

GAP Principle(s)

(+/-) 2. Ethical principles

(+/-) 5. Contractual and legal obligations

Timing (at least by year's quarter/semester)

Q6-Q8

Responsible Unit

R.U.Communication Service; other involved units: HR Service, Research Office, CUG Guarantee Committee

Indicator(s) / Target(s)

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)

Proposed ACTIONS

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.

GAP Principle(s)

- (+/-) 4. Professional attitude
- (+/-) 5. Contractual and legal obligations

Timing (at least by year's quarter/semester)

Q1-Q4

Responsible

Unit

Indicator(s) / Target(s)

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

Action 4

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)

GAP Principle(s)

(+/-) 13. Recruitment (Code)

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible

Unit

Indicator(s) / Target(s)

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

Proposed ACTIONS

Action 5

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

GAP Principle(s)

(+/-) 29. Value of mobility

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible Unit

Indicator(s) / Target(s)

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

Action 6

GAP Principle(s)

Timing (at least by year's quarter/semester)

Proposed ACTIONS

Action 6

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

GAP Principle(s)

(+/-) 26. Funding and salaries

(+/-) 29. Value of mobility

(+/-) 30. Access to career advice

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible

Unit

Indicator(s) / Target(s)

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

Action 7

GAP Principle(s)

Timing (at least by year's quarter/semester)

Proposed ACTIONS

Action 7

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

Timing (at least by year's quarter/semester)

GAP Principle(s)

(+/-) 5. Contractual and legal obligations

(+/-) 13. Recruitment (Code)

Q5-Q8

(+/-) 23. Research environment

(+/-) 38. Continuing Professional Development

(+/-) 39. Access to research training and continuous development

Responsible

Unit

Indicator(s) / Target(s)

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)

Proposed ACTIONS

Action 8

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

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 9. Public engagement		Q1-Q6
Responsible Unit	Indicator(s) / Target(s)	
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 with 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	

Proposed ACTIONS

Action 9

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

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

Timing (at least by year's quarter/semester)

Q1-Q8

Responsible Unit Indicator(s) / Target(s)

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

Proposed ACTIONS

Action 10

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)

GAP Principle(s)

- (+/-) 28. Career development
- (+/-) 30. Access to career advice
- (+/-) 36. Relation with supervisors
- (+/-) 38. Continuing Professional Development

Timing (at least by year's quarter/semester)

Q1-Q4

Responsible

Unit

Indicator(s) / Target(s)

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

Proposed ACTIONS

Action 11

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

GAP Principle(s)

(+/-) 34. Complains/ appeals

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible

Unit

Indicator(s) / Target(s)

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)

Proposed ACTIONS

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)

(+/-) 23. Research environment

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible Unit Indicator(s) / Target(s)

Responsible Unit	Indicator(s) / Target(s)
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

Proposed ACTIONS

Action 13

Development Action: 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

GAP Principle(s)

(+/-) 26. Funding and salaries

Timing (at least by year's quarter/semester)

Q1-Q5

Responsible

Unit

Indicator(s) / Target(s)

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

Proposed ACTIONS

Action 14

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

GAP Principle(s)

(+/-) 33. Teaching

(+/-) 39. Access to research training and continuous development

Timing (at least by year's quarter/semester)

Q2-Q8

Responsible

Unit

Indicator(s) / Target(s)

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

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)

(+/-) 35. Participation in decision-making bodies

Timing (at least by year's quarter/semester)

Q1-Q2

Responsible

Unit

Indicator(s) / Target(s)

R.U. Quality

Assurance

Support

Office; other

involved

units:

Departments

1. Percentage of Departmental Committees for the Quality of Reaserch 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)

Proposed ACTIONS

Action 16

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.

GAP Principle(s)

(+/-) 13. Recruitment (Code)

(+/-) 23. Research environment

Timing (at least by year's quarter/semester)

Q1-Q4

Responsible

Unit

Indicator(s) / Target(s)

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

Action 17

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.

GAP Principle(s)

(+/-) 14. Selection (Code)

(+/-) 27. Gender balance

Timing (at least by year's quarter/semester)

Q1-Q8

Responsible

Unit

Indicator(s) / Target(s)

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 committees
3. Updated version of the annual "Positive Action Plan" extended to researchers

Proposed ACTIONS

Action 18

Development Action: OTM-R TRAINING for SELECTION COMMITTEES' 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 Recruitment of Researchers.

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 14. Selection (Code)

Timing (at least by year's quarter/semester)

Q5-Q8

Responsible

Unit

Indicator(s) / Target(s)

R.U. HR
Service;
other
involved
units: ICT
Service,
Departments,
Doctoral
School

online publication/tutorial on recruitment principles for members of selection committees

Proposed ACTIONS

Action 19

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.

GAP Principle(s)

(+/-) 13. Recruitment (Code)

Timing (at least by year's quarter/semester)

Q1-Q8

Responsible

Unit

Indicator(s) / Target(s)

R.U. ICT Service; other involved units: HR Service, Departments, Doctoral School

- Number of recruitment procedures managed with a web-based tool

Proposed ACTIONS

Action 20

OTM-R ad hoc action: Implementation of a proper OTM-R QUALITY SYSTEM 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.

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 13. Recruitment (Code)		Q1-Q8
Responsible Unit	Indicator(s) / Target(s)	
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	

Unselected principles:

(++) 1. Research freedom (++) 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 establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) *

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.

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

URL: <https://www.uninsubria.eu/useful-resources/era-researchers-recru>

4. Implementation

General overview of the expected overall implementation process of the action plan: (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 below, which you will need to describe in detail:

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

How will the implementation committee and/or steering group regularly oversee progress?*



Detailed description and duly justification (max. 500 words)

The HRS4R implementation committee will approve the monitoring plan immediately before the 1st quarter of the action plan. The plan will foresee, at least, two monitoring sessions per year (see also the timeline). As a general task, the whole process will be aligned with the performance plan monitoring activity, coherently with the University's measurement system described here: <https://www.uninsubria.it/amministrazione-trasparente/performance/sistema-di-misurazione-e-valutazione-della-performance>

How do you intend to involve the research community, your main stakeholders, in the implementation process? *

Detailed description and duly justification (max. 500 words)

The vice rector for Communication and fund raising will be part of the implementation committee: this will guarantee an adequate dissemination of the actions and, consequently, a chance for every researcher to be involved. Anyway, a focus group of researchers has been already established on a voluntary basis: the group will be maintained all over the implementation process. Where useful and needed, the researchers will be involved and interviewed submitting customer satisfaction questionnaires

The action plan will be presented through a site visit in every department. Specific internal dissemination action will be undertaken: the HRS4R brand will be promoted in every internal communication.

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy. *

Detailed description and duly justification (max. 500 words)

The vice rector for the strategic plan will be part of the implementation committee: the new strategic planning is expected to overlap the implementation process. Consequently, alignment will be facilitated

How will you ensure that the proposed actions are implemented?*

Detailed description and duly justification (max. 500 words)

The proposed actions are formally approved from the governing bodies and will be included in the annual performance plan of the university: this will allow linking all the actions to the incentives system. The HRS4R implementation Committee will formally report, once a year, to the governing bodies in order to allow reviewing or confirmation of the plan.

How will you monitor progress (timeline)?*

Detailed description and duly justification (max. 500 words)

The HRS4R will meet the responsible units twice a year: they will be asked to present the progress status of every action on 30/06 and 31/12 of the year. The meeting will be formally documented and a goal achievement percentage will be assessed for every action. This timeline is coherent and proportionate to the University's dimension and characteristics.

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



Detailed description and duly justification (max. 500 words)

The annual performance plan includes, for every action, specific indicators to measure their achievement: the plan and the indicators are validated, from the methodological point of view, by the internal evaluation unit (Nucleo di Valutazione) and approved by the board of administration.

Every action of the action plan will be considered as specific objective in the performance plan.

For further methodological details of the system see also: <https://www.uninsubria.it/amministrazione-trasparente/performance/sistema-di-misurazione-e-valutazione-della-performance>

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

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> or directly to the link: <https://www.uninsubria.eu/sites/sten/files/HRS4R%20Gantt.pdf> . It reports on action timeline and related responsible units in charge of the implementation.