

**TEMPLATE 3: INTERNAL REVIEW**

Name Organisation under review: .....UNIVERSIDAD COMPLUTENSE DE MADRID.....

Organisation’s contact details.....Prof. MARGARITA SAN ANDRES MOYA

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Web-link to published version of organisation’s HR Strategy and Action Plan:

.....<https://www.ucm.es/hrs4r/hrs4r-presentation>

Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup>

.....<https://www.ucm.es/hrs4r/otm-r-at-ucm>.....

**SUBMISSION DATE TO THE EUROPEAN COMMISSION:** .....AUGUST 2020. ....

# 1. Organisational Information

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

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	7.255
Of whom are international (i.e. foreign nationality)	308
Of whom are externally funded (i.e. for whom the organisation is host organisation)	946
Of whom are women	3.450
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	2.477
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	1.946
Of whom are stage R1 = in most organisations corresponding with doctoral level	531
Total number of students (if relevant)	<u>71.806</u>
Total number of staff (including management, administrative, teaching and research staff)	7.416
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	30.501.128,68
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,)	13.391.934,87
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	16.321,900,97
Annual funding from private, non-government sources, designated for research	787.292,84
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>The Complutense University of Madrid is one of the richest in history and the largest one in Spain. Its offer includes 293 official academic programmes and 182 own titles. UCM hosts 74292 students, 6329 in PhD programmes.</p> <p>UCM Faculty and students conduct research that has far reaching impacts. UCM provides a wide range of opportunities to collaborate and work in state-of-the-art facilities with abundant resources (Research Support Centres, Scientific Park, International Campus of Excellence). 523 research groups perform 710 active competitive research projects (86 European). UCM consistently appears as one of the leading Spanish institutions in international University Rankings.</p>	

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

## 2. Strengths and weaknesses of the current practice (Narrative)

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

Ethical and professional aspects

Some of the C&C principles are **fully implemented and considered as Strengths**:

- New versions of the "[Good practices in Laboratories](#)" and "[Good practices in Research](#)" has been approved.
- After several meetings a new Ethical norm have been approved, [creating the Committee on Ethics in Research and the Committee on Biosecurity](#).
- Relevant information on the research system: regulations, calls, funding, positions, etc. has being unified in the [new web site](#).
- Multiple internal regulations and procedures in place to guarantee that the ethical principles are met <https://www.ucm.es/hrs4r/research-ethics>
- Anti-plagiarism documentation and Software instructions was published <https://www.ucm.es/hrs4r/research-ethics>.
- Regular evaluation procedures of research groups, research institutes, and individual researchers (concerning both research and teaching performance) were written: <https://www.ucm.es/grupos-de-investigacion>; <https://www.ucm.es/institutos-universitarios> <https://biblioteca.ucm.es/evaluacionactividadinvestigadora>
- UCM provides strong support services to research: infrastructure; Research Results Transfer Office; General Foundation (Project management) and Central Services (application, management, selection, etc.): <https://www.ucm.es/caj>; <https://www.ucm.es/otri>; <https://www.ucm.es/fundacion>; <https://www.ucm.es/servicio-de-investigacion>
- Outreach: events, e-prints open access repository. Policy of Open Access. were collected <https://biblioteca.ucm.es/openaccess/>
- UCM provides Administration computing network with rigorous protocols, controlled and protected, centralized computing services.
- UCM provides clear and integrated security rules, numerous manuals, and guidelines, medical and psychological service, social work service available: <https://www.ucm.es/seguridad-y-proteccion/politica>; <https://www.ucm.es/informacion-de-prl>; <https://psicall.ucm.es/>;

<https://www.ucm.es/directorio/?eid=931>; <https://www.ucm.es/accion-social>

- Security procedures to be followed by researchers at laboratories is included in the Good Practices at the Laboratory.

Some others C&C principles are **in process to be implemented and are considered as WEAKNESSES**:

- Low exploitation of research results and scarce legal protection of intellectual property actives. Although it was programmed for this period, due to the COVID pandemic, the corresponding action suffered some delay. The Head of the Technology Transfer Office and his team are still working on a new norm of the “Intellectual Property Rights”.
- Committee on Ethics and Deontology will be redesigned, we are still working on it.

#### **PROPOSAL FOR NEW ACTIONS:**

Actions for awareness and communication to publicize the regulations, initiatives, guidelines and other actions developed, were planned for 2Q 2020, among them:

- seminars for researchers to present the guides to good laboratory and research practices, the operation of ethics committees, etc.
- seminars for researchers with recruitment capacity and human resources and recruitment staff
- launch a short online survey to assess the level of knowledge of the research community about HRS4R
- send a short multiple-choice test to evaluate the level of knowledge in certain groups, etc

From March 2020 the vice-rectorates were forced to resolve the COVID pandemic crisis. The vice-rectorate of research and transfer was especially dedicated to making the scientific infrastructures available to the health community for diagnosis, etc. The vice-rectorate of Research and Transfer was especially dedicated to making the scientific infrastructures available to the health community for diagnosis of COVID with the network Lab COVID-UCM to helping in the PCR analysis. This Vice-rectorate also gave support to making of personal protective and health materials to helping hospitals of Madrid Community. As consequence, the working groups dedicated to HRS4R were devoted to solving other priorities. Unfortunately, it was not possible to carry out the last communication and awareness actions in this context, but it is planned to resume them in the next academic year (September 2020), either online or in person, depending on the health safety requirements to be met.

Recruitment and selection

Some of the C&C principles are **fully implemented and considered as Strengths**:

Internal regulations and procedures have been updated following the OTMR principles and are

developed according to legal framework. These new regulations provide:

- Evaluation criteria and assessment methods are defined. Regulations include rules for the appointment of all selection committees as well as gender balance control. <https://www.ucm.es/hrs4r/otmr>
- The recruitment of researchers belonging to disadvantaged groups (minorities) is facilitated, according to the present national legislation.
- All information concerning calls and every step of selection process managed by UCM is centralized at UCM website adapted to Spanish Transparency framework.
- All announcements include information concerning the selection process, selection criteria, number of positions are published in several Euraxess profiles.
- All processes publish, at the end of the procedure, the results obtained by each candidate. The detailed scoring is published after the call is open.
- In general terms, the announcements for R1 and R2 positions provide a description of the qualifications and competences required and the career opportunities.
- The information is provided in Spanish and English.
- Measures contributing to stabilization of postdoctoral researches in place.

Some others C&C principles are **in process to be implemented and are considered as WEAKNESSES**:

- National and international dissemination of R1 and R2 researchers is not systematized, but at the moment we provide with UCM grants for stays of pre-doctoral students, R1, in other research centres or national or international laboratories.
- In general legislation and budget restrictions involve that the postdoctoral phase remains long time, by using different types of contracts.
- We are also currently working on the final version of the English translation of the OTMR contracting regulations.
  - **PROPOSAL FOR NEW ACTIONS:**
  - To ensure the implementation of the new regulations in each and every one of the institutes and departments of the UCM, through training, awareness and application of the regulations.
  - The automatic individual feedback to candidates at the start or at the end of the selection processes will be deployed shortly.

Working conditions

Some of the C&C principles are **fully implemented and considered as Strengths**:

- The new Mentoring Program “Tejedor” (knitter in English) was set up [https://www.ucm.es/hrs4r\\_es/mentorias-1](https://www.ucm.es/hrs4r_es/mentorias-1). The objective of this mentoring program is to form a team of early stage researchers in any field of knowledge who are interested in their career options beyond the traditional academic career, with highly qualified mentors working in professional environments outside academia (managers, entrepreneurs, etc.). It is aimed at both pre-doctoral and post-doctoral staff. Although it is planned to be launched in 2ºQ 2020, the first pilot edition will take place between September 2020 and February 2021. After the evaluation in March 2021, it will be readapted and made available to a better number of users.
- There are new rules, protocols and procedures for safety issues at laboratories. <https://www.ucm.es/hrs4r/rri>
- For younger researchers, a new guide on Career development was written, including aspects such as: stabilization opportunities. <https://www.ucm.es/hrs4r/career> Information about the possibilities to evolve in the research career, engagement possibilities (modalities, funding sources, requirements etc.) as such, integrated in a “career” context. It also explains extensive internal regulation concerning the different positions available at UCM (including predoctoral and postdoctoral stages).
- Time flexibility for researchers is almost total. UCM offers to all staff additional services on family life. A new national regulation makes it compulsory to control timetables, to count total working hours and to allow teleworking.
- Stabilization plans have been defined, including researchers’ profiles.
- Salaries are established by national regulations and collective agreements. Portability of social rights is guaranteed by national legislation.
- Office for Employment and Practices; Plan for Training for Employment; University Guidance Service; Institutional Training Plan for Teaching and Research Staff. <https://www.ucm.es/ope>; <https://cfp.ucm.es/formacionprofesorado/>
- Formal acknowledgement of the right to mobility in selection processes; promotion of mobility at Research Service, International Relations Service and European R&D Office. <https://www.ucm.es/contacto-rrii>; <https://oficinaeuropea.ucm.es/>
- Complete information available at the website concerning regulation of intellectual property and co- authorship, support and legal advice service provided <https://www.ucm.es/hrs4r>
- Complete and annually updated information is also available on the Welcome Guide <https://www.ucm.es/hrs4r/welcome-to-ucm>
- Advice and support provided for industrial exploitation of research results. <https://ucm.es/otri>

- University Ombudswoman, the Inspection Service and the Claim Committee lead with claims and conflicts. <https://www.ucm.es/defensor-universitario>; <https://www.ucm.es/inspeccion-de-servicios>; <https://www.ucm.es/comision-de-reclamaciones>
- Participation in decision making bodies by researchers and students, established in the UCM's fundamental rules, regulated and promoted. [https://www.ucm.es/data/cont/media/www/pag-77/BOCM\\_Estatutos\\_0317.PDF](https://www.ucm.es/data/cont/media/www/pag-77/BOCM_Estatutos_0317.PDF)

Some others C&C principles are **in process to be implemented and are considered as WEAKNESSES**:

- The lack of funding for new positions is blocking the stabilization and promotion of postdoctoral researchers.

**PROPOSAL FOR NEW ACTIONS:**

- Dissemination of the new standards affecting laboratories will be launched in the last quarter of 2020.

Training and development

Some of the C&C principles are **fully implemented and considered as Strengths**:

- The organisation and procedures of the PhD studies and their supervision are clearly established, multiple information sources are available for students and supervisors and regulations are known and implemented. Code of Good Practices in PhD. [https://www.ucm.es/hrs4r\\_es/codigo-ucm-de-buenas-practicas-en-doctorado-1](https://www.ucm.es/hrs4r_es/codigo-ucm-de-buenas-practicas-en-doctorado-1); <https://edotorado.ucm.es/data/cont/docs/1348-2019-05-29-Codigo-UCM-de-BBPP-en-Doctorado.pdf>
- The recent activation of the PhD School will have an impact in the quality of PhD programmes and supervision process.
- Multi-role nature of researchers is established in the regulations and promoted by the evaluation systems, concerning research and teaching duties performance.
- Access to continuing training or other professional development activities is guaranteed by regulations and promoted (permissions, funding, etc). A huge internal offer is continuously ongoing, distributed and centralized in different UCM services and centres.
- Incentives for excellence: external evaluation of research performance of individuals, groups and institutes, internal evaluation of teaching performance

Some others C&C principles are **in process to be implemented and are considered as WEAKNESSES**:

- Advice and training offer provided by the UCM include, among others, the Training for Employment Plan and the UCM Practices and Employment Office. These activities are highly focused for degree and master students. Pre and postdoctoral students are not their target publics. This offer could be extended to them. The corresponding action (A12) is pending and will be relaunched on September 2020.
- Lack of skills assessment for transversal skills developed during PhD studies specially. The corresponding action (A13) is pending and will be relaunched on September 2020.
- Services and information about training and advice opportunities will be centralized by the PhD School.

**PROPOSAL FOR NEW ACTIONS:**

- The PhD School was created but had suffer some changes, that is the reason why some of the actions assigned to it could not be completely implemented during last months. The School could coordinate most transversal training activities and advice offered to predoctoral and postdoctoral students.

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

No, it hasn't changed any priorities. Instead, UCM have increased the commitment to implementation. UCM has started the deployment of the action plan immediately after obtaining the HRA seal, and it has been implemented it at a higher rate than foreseen in the action plan, and even in some actions.

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

- There were no circumstances regarding UCM had an impact on the HR strategy. However, some reasons affected the speed of implementation:
  - First, in October 2019 a new rectoral team took over the governance of the university. This produced a small delay in the execution of tasks, due to the transfer of functions between teams. However, in November 2019, a new working group under the orders of the Vice-Rector for Research and Transfer took over the implementation of HRS4R. This team continued with the tasks no started or partially developed by the previous team and undertook those planned in the evaluation period.
  - In addition, the COVID crisis had a great impact on the final phases of several of the actions, delaying especially the approvals of the documents and regulations by the

corresponding bodies. Also, some actions that were expected to be completed in Q2 2020 have been inevitably delayed.

- In general terms, it has not been possible to carry out the dissemination, training and evaluation activities by means of an online survey at the planned level.
- Finally, the actions that should have been implemented from the Doctoral School (A11, A12, A13) accumulate a delay due to the fact that in addition to the change of government team that affected the entire university, there was a period in which the Vice-Rector of Studies and his team changed, among them the direction of the school.

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

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

On the contrary, there is an enormous level of involvement of the working group, with a very detailed follow-up at the highest level: from the takeover of the new rectoral team in October 2019, the Vice-Rector for Research and Transfer and the Adviser of the same Vice-Rector's Office personally direct the working team for the deployment of actions and mediate with the corresponding government bodies in the moments necessary for the approval of documents, guidelines and regulations.

In addition, the Rector is highly committed with the seal and is willing modernize many actions at UCM, some of them derived from the HRS4R.

These first two years, we have understood them as a period to prepare the working groups, to define the dynamics, policies, regulations, etc. and we understand that the next 3 years will be dedicated to deploy in a comprehensive way all the policy with a perspective of continuous improvement.

From the UCM there is a great commitment to share good practices on the design of OTMR policies with other universities in the Community of Madrid, specifically we have been invited in 2019 to a session of good practices OTMR by the Polytechnic University of Madrid, and in the coming months (2020) will be invited by the University Carlos III of Madrid.

### 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, omitted or added, please provide a commentary for each action.

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

ACTION	C&C	CHRONOGRAM	RESPONSIBLE	INDICATORS / TARGET	CURRENT STATUS	REMARKS
<p>A1. STRENGTH AWARENESS, COMMITMENT AND IMPLEMENTATION OF THE CHARTER &amp; CODE CRITERIA.</p> <p>The goal of this action is to attain an increasing involvement of the C&amp;C criteria in the research community and in everyday research practices.</p> <ul style="list-style-type: none"> <li></li> </ul>	ALL	Q3 2018 to Q4 2022	MSA/ /MAS/ ML	<ul style="list-style-type: none"> <li>Online documents, available on HRS4R web page and Welcome Manual.</li> <li>Periodical briefings celebrated.</li> <li>New members at the Implementation Working Group.</li> <li>Research Strategic Plan including HR-Action Plan's actions.</li> <li>Periodic survey.</li> </ul>	<ul style="list-style-type: none"> <li>IN PROGRESS, mainly done</li> <li>The UCM Strategic plan for 2021-2024 is presently being elaborated. It will include the actions defined in this Action Plan in the Research Strategic Plan of the UCM.</li> <li>Online material explaining the advantages of the application of the C&amp;C principles and updates of the HRS4R are published in the website <a href="https://www.ucm.es/hrs4r">https://www.ucm.es/hrs4r</a>, new material are distributed among all the researchers and incorporated into the Welcome Manual for newcomers <a href="https://www.ucm.es/hrs4r/welcome-to-ucm">https://www.ucm.es/hrs4r/welcome-to-ucm</a>. News on HRS4R are periodically reported through the Researchers' Platform, and in all the Researchers' meetings</li> <li>In addition, during the last 9 months it has been reported in all meetings of the Research Commission, the Governing Council and the University Steering Committee and HRS4R</li> </ul>	<ul style="list-style-type: none"> <li>The periodical briefings scheduled in departments to influence the dissemination of the C&amp;C key lessons to research staff, etc. has been interrupted as planned, during the lockdown due to the COVIDS's crisis.</li> <li>We have had to cancel the Summer course on HRS4R (scheduled for June at the El Escorial Summer School), we will resume it in October in classroom or online format. In addition, a survey has been scheduled for researchers before and after the courses.</li> </ul>

					Steering Committee.
					<ul style="list-style-type: none"> <li>New researchers have appointed the Implementation Working Group (IWG) for specific working teams. They discussed and validate all the documents approved.</li> </ul>
A2. REFINE THE UCM'S SELECTION AND RECRUITMENT PROCEDURE BASED UPON OTM-R CRITERIA.	12, 13, 14, 15, 16, 17, 19	Q3 2018 to Q2 2019	MSA/ML /PM/LL/ MJP	<ul style="list-style-type: none"> <li>OTM-R working team selected.</li> <li>OTM-R protocol defined and published in intranet.</li> <li>OTM-R Guide defined and published in intranet.</li> </ul>	<ul style="list-style-type: none"> <li>COMPLETED</li> <li>The "OTM-R Implementation Working Team" was appointed at the beginning of the implementation phase, with researchers and administrative members. Their task are: i) reviewing the processes of selection and recruitment of researchers, ii) follow up of the implementation for the progressive adaptation to the OTM-R system.</li> <li>The group have developed: <ul style="list-style-type: none"> <li>1) Procedures and protocols for the implementation of the OTM-R system in the recruitment of researchers with contracts: i) "UCM predoctoral contracts", ii) UCM postdoctoral contracts and ii) "Researchers funded by external projects" (Research Support Personnel)</li> <li>2) Guidelines, tools, etc. to: i) a better dissemination of announcements; ii) a better description of vacancies; iii) promote a better assessment of merits; iv) contribute to define a blended system including not only quantitative methods but qualitative</li> </ul> </li> </ul>
					<ul style="list-style-type: none"> <li>Specific <b>training actions</b> (planned in 1º and 2º Q2020), cause by COVID, are now planned on 4ºQ 2020, both provided to the administrative staff and researchers involved in recruiting processes.</li> </ul>

				<ul style="list-style-type: none"> <li>• Training materials and modules available.</li> <li>• Internal Audit results.</li> </ul>	<p>criteria also when possible and appropriate, and to consider the interviews as a method for assessing merit; v) to promote the participation of external experts in the selection committees at all levels; vi) to ensure that gender approach is effectively applied in selection processes (composition of panels, consideration of maternity leaves and similar, avoid unconscious bias); etc.</p> <ul style="list-style-type: none"> <li>• Guides have been approved for the Steering Committee and published in Spanish (the English translation is in process)  <a href="https://www.ucm.es/hrs4r/otmr">https://www.ucm.es/hrs4r/otmr</a>:  1) Guides for applicants, (Research Support Personnel, pre docs and post doc candidates),  2) Internal Guides for (Research Support Personnel, pre docs and post doc candidates).  3) Application Forms are available for Research Support Staff, PhD and post doc contracts,  4) OTMR instructions for principal investigators.</li> </ul>	
A3. IMPLEMENT, TRAIN, FOLLOW UP AND INTERNAL AUDIT.	12,13, 14, 15, 16, 17, 19	Q4 2018 to Q4 2022	MSA/ML /PM	<ul style="list-style-type: none"> <li>• Training materials and modules available.</li> <li>• Internal Audit results.</li> </ul>	<ul style="list-style-type: none"> <li>• IN PROGRESS</li> <li>• Training materials / modules on the different phases of the OTM-R system are already developed  <a href="https://www.ucm.es/hrs4r/otmr">https://www.ucm.es/hrs4r/otmr</a></li> </ul>	<ul style="list-style-type: none"> <li>• Specific <b>training actions</b> on OTMR (planned in 1º and 2º Q2020) are now planned on 4ºQ 2020, both provided to the administrative staff and</li> </ul>

						<ul style="list-style-type: none"> <li>researchers involved in recruiting processes. Additional contents will be provided to the selection committee members.</li> <li>The OTM-R Implementation working team will design and implement a continue internal audit with the support of the Vice-Rector for Quality, to check the level of implementation.</li> </ul>
A4. DEVELOP THE COMMITTEE ON ETHICS AND DEONTOLOGY AND CREATE THE COMMITTEE ON BIOSECURITY. For the Biosecurity Committee.	2	Q1 2019 to Q3 2019	MSA/ML	<ul style="list-style-type: none"> <li>Committee on Ethics and Deontology in operation.</li> <li>Committee on Biosecurity in operation.</li> <li>Ethics and Deontology Guide defined and published.</li> <li>Biosecurity Rule and Guide defined and published.</li> <li>Active dissemination among UCM community.</li> </ul>	<ul style="list-style-type: none"> <li>IN PROGRESS</li> <li>The Committee on Ethics and Deontology are in process to be redefined.</li> <li>The IWG has decided to create the Research Ethics Committee. Activities, composition, and operating mechanisms have been defined. Rules and Guide for this Committee has been approved for the Government Council (<a href="https://bouc.ucm.es/pdf/3699.pdf">https://bouc.ucm.es/pdf/3699.pdf</a>)</li> <li>Rules and Guide for the Committee on Biosecurity have been established and approved for the Government Council (<a href="https://bouc.ucm.es/pdf/3698.pdf">https://bouc.ucm.es/pdf/3698.pdf</a>)</li> </ul>	<ul style="list-style-type: none"> <li>Due to the Ethics and Deontology committee is linked to the Doctoral School, and it has not had direction for a period, there is now a commitment to develop it in 2020.</li> <li>The Research Ethics Committee was created to attend researcher's needs.</li> </ul>
A5. MAKE INFORMATION	2, 3, 4, 5, 8, 9,	Q2 2019 to Q3	AB/LL/ MJP	<ul style="list-style-type: none"> <li>New web page with information</li> </ul>	<ul style="list-style-type: none"> <li>COMPLETED</li> <li>The new HRS4R web site</li> </ul>	<ul style="list-style-type: none"> <li>Surveys will be launched in 4<sup>o</sup>Q2020.</li> </ul>

MORE ACCESSIBLE.	25, 31, 34	2019		<ul style="list-style-type: none"> <li>organized.</li> <li>Monitoring survey</li> </ul>	<ul style="list-style-type: none"> <li><a href="http://www.ucm.es/hrs4r">www.ucm.es/hrs4r</a> provides updated links with complete, unified and organized information concerning any topic regarding research, both: 1) codes and rules, guides, etc. and 2) services.</li> <li>Actively promote the knowledge about the website: Announcement in the general UCM website, include in welcome guide. And in the near future will announce workshops.</li> </ul>	
A6. IMPROVE GOOD PRACTICES IN RESEARCH.	2,3,4,5,7	Q1 2019 to Q2 2019	MAS/ML	<ul style="list-style-type: none"> <li>Code of Good Practices in Research published.</li> <li>Ex ante &amp; ex post self-assessment tools on Good Practices in Research available.</li> <li>Training material on Good Practices in Research available.</li> </ul>	<ul style="list-style-type: none"> <li>COMPLETED</li> <li>The code of Good Practices in research based on fundamental principles of research integrity defined by the EC: Reliability, Honesty, Respect, Accountability, etc. has been approved for the Government Council and published. <a href="https://bouc.ucm.es/pdf/3700.pdf">https://bouc.ucm.es/pdf/3700.pdf</a></li> </ul>	<ul style="list-style-type: none"> <li>In 4ºQ2020 the IWG will design an ex ante &amp; ex post self-assessment tool and self-training material for Good Practices in Research.</li> <li>Also, an online seminar will be available to promote the knowledge about the Code.</li> </ul>
A7. IMPROVE GOOD PRACTICES IN LABORATORIES.	7, 23	Q4 2019 to Q1 2020	MAS/ML	<ul style="list-style-type: none"> <li>Handbook of Good Practices in Laboratories published.</li> <li>Ex ante &amp; ex post self-assessment on good practices in laboratories available.</li> <li>Training material on good practices in laboratories available.</li> </ul>	<ul style="list-style-type: none"> <li>COMPLETED</li> <li>The Handbook of Good Practices in Laboratories has been approved have been approved for the Steering Committee and published <a href="https://www.ucm.es/hrs4r/rri">https://www.ucm.es/hrs4r/rri</a></li> </ul>	<ul style="list-style-type: none"> <li>In 4ºQ2020 the IWG will design an ex ante &amp; ex post self-assessment tool for Good Practices in Laboratories.</li> </ul>

A8. EXPAND THE TECHNOLOGY TRANSFER KNOWLEDGE.	3, 5, 8, 31	Q3 2019 to Q4 2019	MSA/ ML	<ul style="list-style-type: none"> <li>• Intellectual property Regulation defined.</li> <li>• Guide on Intellectual property &amp; Industrial exploitation published.</li> <li>• Intellectual property regulation annex included in all new contracts.</li> <li>• Self-assessment tool on protection and exploitation of research results.</li> <li>• Ex ante &amp; ex post self-assessment tool and self-training material for IP and TT.</li> <li>• Dissemination of the recently created UCM technology portfolio as a measure to boost Technology transfer visibility (Complutransfer).</li> <li>• Increase valorisation actions.</li> </ul>	<ul style="list-style-type: none"> <li>• IN PROGRESS, delayed</li> <li>• The IGW has been working on new versions for the Intellectual Property (IP) policy and adopted rules to i) clarify the ownership of and right to use the IP resulting from the institution's own or collaborative R&amp;D activities; ii) how to accurately identify, evaluate, protect and manage IP for its further development, usually through some form of commercialization; and iii) provide a transparent framework for cooperation with third parties and provides guidelines on the sharing of economic benefits arising from the commercialization of IP (as incentive to protect and exploit, also).</li> </ul>	<ul style="list-style-type: none"> <li>• The Good Practices in Research and the Ethics and Deontology Committees (yet to be appointed) will be the responsible to revise these rules. Finally, they will be approved for the Government Council.</li> <li>• In 1ºQ2021 there will be available the Guide on Intellectual Property and Industrial exploitation and a Guide / Handbook on tech transfer (TT) and transfer of knowledge (ToK)</li> <li>• After that, the IWG will design a Quick self-assessment tool on protection and exploitation of research results, publish in the web site and include information in the welcome pack.</li> </ul>
A9. ACTIONS ON INFORMATION SECURITY, DATA PROTECTION AND OPEN ACCESS.	5, 7	Q4 2020 to Q1 2021	JG/AB	<ul style="list-style-type: none"> <li>• Rules on information security and data protection approved.</li> <li>• Guide on information security and data</li> </ul>	<ul style="list-style-type: none"> <li>• NOT PLANED IN THE EVALUATION PERIOD</li> </ul>	

					<ul style="list-style-type: none"> <li>protection.</li> <li>• Guide on Open Access.</li> <li>• Training, self-assessment tools and self-training tools on information security, data protection and Open Access.</li> </ul>	
A10. PROVIDE INFORMATION AND SUPPORT CONCERNING THE RESEARCH CAREER AT UCM AND IN SPAIN.	25, 28, 30	Q3 2018 to Q4 2018	MSA/ ML	<ul style="list-style-type: none"> <li>• Web site published.</li> <li>• Information and support services on going.</li> </ul>	<ul style="list-style-type: none"> <li>• COMPLETED</li> <li>• The IWG have been working in identifying, external tools concerning the research career in Spain. Adapted existing tools and make them ready for the final users on research career at UCM, including such information for the different possible paths: positions, access, requirements, funding, itineraries for Employment and Practices, the Doctorate School, etc.</li> <li>• We have used the "success stories" strategy to showcase different career options beyond the lab. We have collected contributions from professionals who are involved in research from management or industry, or even do research in very rare environments.</li> <li>• It is published in the web site, included in welcome pack. <a href="https://www.ucm.es/hrs4r/file/researchers-welcome-manual">https://www.ucm.es/hrs4r/file/researchers-welcome-manual</a></li> </ul>	<ul style="list-style-type: none"> <li>• It was planned that these professionals (all PhD ex UCM) would participate in awareness sessions to explain their career. This activity is expected to be resumed in 4Q2020.</li> </ul>

A11. DESIGN AND IMPLEMENT A PILOT PROGRAM ON POST DOC MENTORING.	25, 28, 30	Q2 2020 to Q3 2021	MSA	<ul style="list-style-type: none"> <li>• Evaluation results of the pilot program on Post Doc Mentoring (number of postdoc researchers engaged in mentorship programme).</li> <li>• Guide of mentorship programme published.</li> <li>• Training courses on mentorship available for mentors.</li> </ul>	<ul style="list-style-type: none"> <li>• IN PROGRESS</li> <li>• In this case we have managed to develop this action ahead of schedule. The design of the program was made based on the successful experience of Rebeca, published in Euraxess. A battery of additional working materials has been generated to provide mentors with enough tools and methodologies. It was planned to launch the program in 2ºQ 2020, but the COVID crisis forces us to plan it in 4ºQ 2020.</li> <li>• Benchmark international practices on functions and skills for Post doc mentorship was done, and REBECA framework was chosen.</li> <li>• Tejedor Mentorship Pilot Programme, <a href="https://www.ucm.es/hrs4r_es/mentorias-1">https://www.ucm.es/hrs4r_es/mentorias-1</a> includes both career development advice (mobility, training, professional paths, etc.), and academic advice. 5 voluntary mentors (experienced senior researchers, non UCM research managers, entrepreneurs and business consultants) and 15 predoc and post doc mentees from different research areas have been appointed.</li> <li>• Guides of good mentorship practices, training courses for Mentors and materials are available.</li> </ul>	<ul style="list-style-type: none"> <li>• From September 2020 to April 2021 the pilot mentorship programme will be running.</li> <li>• After evaluation the programme will be deployed to a wider community of researchers.</li> </ul>
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A12. DESIGN AND IMPLEMENT A PILOT TRAINING PROGRAM FOR YOUNG PHD THESIS DIRECTORS.	36	Q3 2018 to Q4 2019	MSA/ ML/ VB	<ul style="list-style-type: none"> <li>Evaluation results of the pilot program for young PhD thesis directors.</li> <li>Satisfaction survey.</li> </ul>	<ul style="list-style-type: none"> <li>IN PROGRESS, delayed</li> <li>This action is delayed due to the changes in the Doctorate School.</li> <li>Recently the Doctoral School was created, in addition to the regulations and Code of Good Practice for doctoral students, information published on the web and carries the HRS4R seal (<a href="https://edotorado.ucm.es/data/cont/docs/1348-2019-05-29-Codigo-UCM-de-BBPP-en-Doctorado.pdf">https://edotorado.ucm.es/data/cont/docs/1348-2019-05-29-Codigo-UCM-de-BBPP-en-Doctorado.pdf</a>).</li> </ul>	<ul style="list-style-type: none"> <li>From 4ºQ2020 to 1ºQ2021 the IWG under the direction of the Doctorate School will:</li> <li>Design a pilot Training program for young PhD thesis directors.</li> <li>Implement the pilot programme, evaluate, review and extension if adequate.</li> <li>Publish in the web site, include in welcome pack.</li> </ul>
A13. DESIGN A TRAINING OFFER IN TRANSVERSAL SKILLS.	39	Q2 2020 to Q3 2020	VB/ MSA	<ul style="list-style-type: none"> <li>Models of existing and suggested Map of professional competences published.</li> <li>Training offer in transversal skills available.</li> </ul>	<ul style="list-style-type: none"> <li>IN PROGRESS</li> <li>This action is delayed due to the changes in the Doctorate School.</li> <li>The programs for doctoral students and a brief welcome manual with a quick guide for the applicant were developed and a small anti-plagiarism guide was published: <a href="https://edotorado.ucm.es/">https://edotorado.ucm.es/</a>.</li> </ul>	<ul style="list-style-type: none"> <li>From 4ºQ2020 to 2ºQ2021 the IWG under the direction of the Doctorate School will:</li> <li>Provide examples of map of professional competences. Identify key professional competences for R1-R4 benchmarked based on European Framework.</li> <li>Perform a consultation to PhD students (survey or workshops) concerning main interests and needs related to development</li> </ul>

of transversal skills.

- European benchmarking of transversal skills including current contents of the teaching and research staff and Pre-Docs plan.
- Design a training offer in transversal skills, e.g. Workshops on »Presenting Science« (Grant Writing for Scientists, Writing Scientific Publications, Writing a Publication – together with the trainer, Poster Design and Presentation, Oral Presentation Skills, etc.), Workshops on »Managing Science« (Project Management for Scientists, Solving Conflicts in the Lab, Leading Your Group to High Performance, Managing Diversity in Communication, Profitable Talks and Meetings, etc.), Additional Skills (Intellectual Property in

						<ul style="list-style-type: none"> <li>• Implement the training programme, evaluate and review if adequate.</li> <li>○ Publish in the web site, include in welcome pack.</li> </ul>
A14. DESIGN A PILOT PROGRAM ON CERTIFICATION OF TRANSVERSAL SKILLS.	39	Q3 2020 to Q2 0210	MSA/VB /MCG	<ul style="list-style-type: none"> <li>• Evaluation results of the pilot certification of transversal skills.</li> </ul>	<ul style="list-style-type: none"> <li>• NOT PLANED FOR THE EVALUATION PERIOD</li> </ul>	<ul style="list-style-type: none"> <li>○</li> </ul>
A15. DEFINE THE UCM'S WELCOME PACK.	2, 3, 4, 5, 7, 8, 9, 12, 23, 28, 31, 34, 39	Q1 2019 to Q4 2020	AB/LL/MJP	<ul style="list-style-type: none"> <li>• UCM Welcome Manual shall be created in an evolutionary way. It shall incorporate, the different items identified in this table, progressively as they are prepared according to the action plan.</li> <li>• UCM Welcome Manual finished and published.</li> <li>• UCM training courses for newcomers</li> </ul>	<ul style="list-style-type: none"> <li>• COMPLETED</li> <li>• The manual is published in Spanish and English <a href="https://www.ucm.es/hrs4r/welcome-to-ucm">https://www.ucm.es/hrs4r/welcome-to-ucm</a> and include all the information concerning the procedures, rules, policies and resources available for the correct development of the research career at UCM.</li> </ul>	<ul style="list-style-type: none"> <li>• The information provided will be updated periodically.</li> <li>○ Training courses for newcomers will be designed for pre docs, post docs and other researchers.</li> </ul>

available.

MSA: Margarita San Andrés; ML: Meritxell López; AB: Andrés Barrero; LL: Laura López; PM: Paloma Martín; MJP: María Jesús Plata; VB: Victor Briones;  
MAS: Miguel Ángel Sastre; MCG: María Concepción García; JG: Jorge Gómez

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 \*: <https://www.ucm.es/hrs4r>

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

Comments on the implementation of the OTM-R principles

We have been working on the development of a written OTM-R Institutional Policy, which includes the requirements covered in the Checklist, most of them are already in place completely or substantially included in the **“REGULATION FOR THE SELECTION PROCESS OF RESEARCH STAFF AT UCM”** <https://www.ucm.es/hrs4r/otmr>

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

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

<https://www.ucm.es/hrs4r/otmr>

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

## 4. Implementation (max. 1 page)

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

The beginning of the implementation was led by a full time dedicated senior Manager (Marta Arregui) who impulse the kick-off and many materials. After one year of the implementation period there were elections at the university and the government team changed. This affected the composition of the Steering Committee (SC) and the Implementation Working Group (IGW). However, the commitment and resources dedicated, did not affect the development of the Action Plan.

With the new governance team, the SC and IWG were reconfigured, as indicated below, but the support offered by a) a team of external consultants, who served as project leaders among the IWG and teams, and b) by the researchers who were part of the specific working groups, was maintained.

1º IWG (October 2018 - June 2019). Members: J. M. Pingarrón (VR for Knowledge Transfer and Entrepreneurship); I. Lizasoain (VR for Scientific Policy, Research and PhD Programmes); Luis Hernández (VR for Information Technologies), L. Finkel (Rector's Delegate for Continuing Training, External Practices and Employability), A. González (Vice manager for Research and Academic Policy), M. Arregui (Support technician to the manager); L. Muñoz (Consultant).

1º SC (October 2018 - June 2019). Members: J. M. Pingarrón (VR for Knowledge Transfer and Entrepreneurship); I. Lizasoain (VR for Scientific Policy, Research and PhD Programmes); M. Castro (VR for Quality), L. Finkel (Rector's Delegate for Continuing Training, External Practices and Employability), A. González (Vice manager for Research and Academic Policy), M. Arregui (Support technician to the manager); L. Muñoz (Consultant).

2º IWG (October 2019). Members: M. San Andrés (VR for Research and Transfer); M. López (Adviser of VR for Research and Transfer); P. Martín (Vice manager for Research); A. Barrero (Adviser of VR for Research and Transfer); L. López (Service Head of Research Support Service); M.J. Plata (Section Head of Research Support Service); L. Muñoz, Mr. G. Platas and Mr. P. Mertens (Consultants).

2º SC (October 2019). Members: M. San Andrés (VR for Research and Transfer); J. Montero (VR for Academic Policy and Teaching Staff); M. A. Sastre (VR for Quality), V. Briones (VR for Studies); M. C. García (VR for Employability and Entrepreneurship); M. López (Adviser of VR for Research and Transfer); P. Martín (Vice manager for Research).

### Specific Working Teams

Responsible for the general definition and development of the actions described in the Action Plan, SWTs are composed by researchers at different levels of their careers and management staff, specifically appointed in each SWT.

### OTM-R Specific Working Team

In a first stage, from April to December 2018 the Specific Team on Good Practices in Research analysed the current selection procedures concerning predoctoral and postdoctoral positions funded by UCM as well as selection procedures related to research staff hired within externally funded research projects. In a second stage, from October 2019 to March 2020, the 2º IWG wrote Internal Guidelines for the three selection procedures, as well as Guidelines for applicants and for internal research staff and other tools addressed to improve our selection and recruitment procedures.

The first draft documents produced by the 2<sup>o</sup> IWG were revised, analysed and discussed by the Specific Team about Good Practices in Research and finally approved by the 2<sup>o</sup> SC.

#### **HRS4R WEB PAGE.**

A complete web is addressed to facilitate to researchers and research managers, the access to relevant institutional documents and websites concerning C&C principles is available in Spanish and English. <https://www.ucm.es/hrs4r/otmr>

#### **Specific HR initiatives at UCM**

- UCM Code of Good Practice in Research: On February 2019 a work of group has been created with the aim to create the UCM Code or Good Practices in Research. The Group was composed by researches from the four great research areas at UCM. This document was revised by the 2<sup>o</sup> IWG and finally approved by the Government Council and published in the BOUC.
- UCM Code of Good Practice in PhD: A working group was created to design and implement a pilot program for PhD thesis directors. After four months of analysis, discussions and creative work (2018 – February 2019) an UCM Code of Good Practice in PhD was proposed to the UCM PhD Committee. The Working Group was composed by researchers from different scientific domains.

#### **AWARENESS ON HRS4R**

The main goal is to involve the UCM community into the HRS4R, and increase the number of researchers and research managers, who are aware of the C&C principles and OTMR procedures, and their implementation at UCM, for this some actions were planed but unfortunately ware nor set up: Seminars, videos, the Summer School and e-Survey.

#### **RECRUITING**

Effective recruitment and selection procedures are key in attracting and retaining high quality staff. For recruitment and selection procedures to be effective it is essential that they are fair, rigorous and transparent, and it is the Policy of UCM to ensure that the best candidate for the job is selected.

As the selection process for permanent staff is strictly regulated by law, the working group revised the recruitment and selection procedures for non-permanent researchers, **mainly in the framework of funded research projects. In this context,** the discussion of the OTM-R guidelines and templates has been very useful to better understand the **current position** (level of implementation), and to draw the roadmap for the coming years. During 2018-2020, several processes concerning recruitment and selection have been modified. The main issues are the approved **“REGULATION FOR THE SELECTION PROCESS OF RESEARCH STAFF AT UCM”**. This policy, **although time and resources consuming,** it is expected to render results and conclusions at the end of 2020. Presently, one evident result is the increase in the number of job positions internationally advertised.

#### **CAREER DEVELOPMENT**

Researchers, career paths' have changed dramatically in the last years, becoming much more complex. By providing tools and counselling, UCM can support talented researchers to be ready for seeking opportunities either in Madrid, Spain, Europe or elsewhere, in academia, industry or research management positions. The Tejedor UCM's mentoring program will play a key role.

## **TRAINING**

A list of practical seminars, workshops and courses are being structured focussed on R1 and R2 level researchers, and subsequently will be extended to the R3 and R4 levels (mainly training R3-R4 to develop and refine supervisory and leadership skills). As a pilot experience, some new preliminary courses and seminars will be given in 4Q2020.

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

- How have you prepared the internal review?

For the intermediate evaluation the following actions were carried out:

- An "Intermediate Evaluation Commission" was created, consisting of the current IGW and a team of consultants.
- Once the "current situation map" was prepared, numerous meetings were held between the "Intermediate Evaluation Commission" to identify improvements in the current action plan and prepare the current intermediate evaluation.
- The "Intermediate Evaluation Commission" prepared the Internal Review Templates and the Steering Committee was informed and approved its content. Some documents have also been approved by the Government Council: Code of Good Practices in Research and Committees of Biosecurity and Research Ethic (including Rules).

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

- Researchers are members of the HRS4R implementation work groups (the pass and the current IWG), and researchers and administrative staff are members of the OTM-R implementation working group.
- Many meetings have been organized for the Q2 2020 (seminars, conferences, etc.) in which researchers have actively participated. Members of Government Council of UCM have been informed of the implementation process of HRS4R and the Research Platform of UCM integrated for a large number of researches of different centres of UCM.

- Once the contents had been drawn up (e.g. welcome manual, recruitment policy, Good research practice guide, website, etc.) a group of volunteer researchers was convened to give their opinion on the work carried out, before the final documents was made public.
- In addition, a broad communication effort is being made at all levels of the organization to explain, aware and involve the UCM community. Members of Government Council of UCM have been informed of the implementation process of HRS4R and the Research Platform of UCM integrated for a large number of researches of different centres of UCM.
- Unfortunately, an electronic survey was planned to be sent to the research community in order to assess the level of knowledge on the HRS4R, it is now re-planned for 4<sup>o</sup>Q2020.

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

- The implementation working group (IWG) meets systematically once a month. The meetings are developed in an efficient way with an agenda of topics to be discussed and consensus notes on the decisions taken. In addition, a virtual folder is available to file meeting notes, working material, intermediate documents, and final results.
- The IWG reports regularly to the Steering Committee (SC) as two of the IWG members are also members of the SC (Dr. Margarita San Andres Moya, Vicerrector for Research and Transfer and Dr. Meritxell López, Adviser for Vicerrector for Research and Transfer ), in this case the governance team.

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

Work is being done to include it in the next updating of the UCM's strategic plan. There is also the commitment to implement it within the European Universities initiative (UNAEuropa).

- How is your organisation ensuring that the proposed actions are also being implemented?

- On one hand, the commitment to HRS4R is included in the UCM's Strategic Plan. On the other hand, there is a strong institutional commitment. Many people in key positions are sensitive to changes that must be implemented and are committed to their achievement.
- Furthermore, to ensure the implementation of actions in a timely manner, efforts are made to allocate enough internal resources.

- How are you monitoring progress?

The leadership and direction of the whole process is being headed by the Vicerrector and with fully support of UCM Rector. The monitoring is carried out by the team of consultants, which is responsible for monitoring the development of indicators and reports every six months. Performance indicators chosen for each action are reviewed every six months, and reported to the Steering Committee, which take corrective measures in case of deviation in time or scope.

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

The next evaluation will be conducted by the same members of the current “Internal Evaluation Committee”, with the help of the Working Group and reported to the Steering Committee. This will be carried out by reviewing the progress of the Project in accordance to the commitments of the Action Plan, the revision of indicators’ reports, and compliance with roadmaps for each action. With this, an interim report after 12 months of activity will be drafted and a final report matching with the 5th year will be prepared, as is set in the new procedures. For these reports the evaluation templates available in Euraxess will be used.  
In addition, an evaluator from Euraxess will perform a pre-evaluation to prepare the UCM for the onsite evaluation.

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

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