

TEMPLATE 4: ACTION PLAN

Case number: 2019ES375732

Name Organisation under review:

Universidad de León

Organisation's contact details:

Avenida de la Facultad, 25, León, E-24004 (Spain)

SUBMISSION DATE: 19TH/DECEMBER/2019

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	1,121
Of whom are international (i.e. foreign nationality)	125
Of whom are externally funded (i.e. for whom the organisation is host organisation)	63
Of whom are women	594
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	440
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	157
Of whom are stage R1 = in most organisations corresponding with doctoral level	541
Total number of students (if relevant)	10,772
Total number of staff (including management, administrative, teaching and research staff)	1,503
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	93,447,569 (2018)
Annual organisational direct government funding (designated for research)	13,458,673 (2018)
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	3,721,374 (2018)
Annual funding from private, non-government sources, designated for research	7,324,427 (2018)
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Universidad de León (ULE) is a public university founded as an autonomous entity in 1979. It is structured in two campuses: the campus of Vegazana in the city of León and the campus of the city of Ponferrada. As a general university, its areas of teaching and research activities are Arts and Humanities, Sciences, Health Sciences, Social and Legal Sciences, Engineering and Architecture. The ULE has 9 faculties (Veterinary, Biological and Environmental Sciences, Education, Law, Philosophy and</p>	

Literature, Labour Sciences, Economics and Business, Health Sciences and Sports Sciences), 4 schools (Industrial Engineering, Computer and Aerospace Engineering, Agricultural and Forestry Engineering and Mining Engineering), 10 research institutes, and 12 research support services. Its teaching offer is composed of 42 degrees and 35 university master's degrees for 10,772 students.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

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

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>Strengths</p> <p>The ULE has developed internal regulations that ensure both freedom of research and respect for the ethical principles according to the national and international legal framework. The Ethics Committee guarantees compliance with the ethical aspects in research on human beings, biological agents, genetically modified organisms and animal experimentation.</p> <p>Different structures provide services to researchers: The Research Management Service provides assistance on financial management of their projects, ensuring transparency by means of measures for both internal control of expenses and project monitoring. Units such as the OTRI (Office for Transfer of Research Results) and the FGULEM (General Foundation of the University of León and Business) promote the collaboration of the ULE research groups with companies and other organizations, in order to foster and facilitate the commercial exploitation of its research capacities, as a way to reinforce the social commitment of the institution and the professional responsibility of researchers. Moreover, a new Office for European research Projects, aimed at providing assistance on legal, financial and technical aspects related to research projects funded by international programs, has been recently set up. The University Library offers advice services to researchers on intellectual property; this unit has recently been reinforced with new specialized staff.</p> <p>The ULE has established internal security regulations and protocols on prevention of occupational risks and security related to ICT in order to support teaching and research, including management tasks related to them. The Gender Equality Plan ensures compliance with the legal framework on gender equality, embedding ad-hoc criteria in hiring procedures, aid acceptance agreements, etc. Furthermore, a new regulation on support to people with functional diversity and special needs, aimed at guaranteeing equal rights, will be implemented.</p>

The ULE focuses on a policy of permanent and free public access to the results of its research, implemented through an institutional repository (BULERÍA), currently in process to be interconnected with the other repositories from public universities of the Community of Castilla-León (Consortium BUCLE). Regarding the evaluation of the research activity, the ULE implements tools such as ORCID (Open Researcher & Contributor ID), which allows to collect and structure all the scientific production of the ULE researchers, and a Research Productivity Index that applies to the granting of internal research funds.

Weaknesses

The internal regulations of IPR must be updated and the advice services addressed to researchers on this subject must be reinforced. Despite the fact that training courses on IPR are offered (through FGULEM, OTRI, the Training School, etc.), many researchers are unaware of industrial and intellectual property rights linked to their research activity. This lack is especially important at the R1 stage. Likewise, the support structure for knowledge transfer in the ULE, composed of a number of units, must be redefined in order to adequately respond to the researcher's demands, providing a global and coordinated assistance.

Concerning good practices in research, the Manual of Good Laboratory Practice has to be updated, and the Information Security policy, adopted in 2018, must be developed. Also, a gap on the compliance with protocols related to data security and data storage has been detected.

Other lacks to be addressed are related with a greater commitment of researchers with the introduction of contents in existing institutional repositories and the development of strategic actions to approach the scientific and knowledge transfer activity of the ULE to society.

Survey results

The results of the Survey for researchers concerning the principles of this section are shown in the next table (questionnaire based on Likert scale with 5 categories).

Question		R1	R2	R3	R4	TOTAL
Q1	The ULE promotes the adaptation of my research activity to the ethical principles of the related scientific disciplines.	3,98	3,57	3,65	3,78	3,70
Q2	The ULE provides adequate information about the national, sectorial or institutional regulations related to my training and working conditions, including requirements and conditions of funders.	3,28	3,06	3,38	3,38	3,28
Q3	My research activity is carried out in adequate conditions of safety and health, including data protection and computer accident measures.	4,02	3,40	3,69	3,55	3,67
Q4	The ULE facilitates and promotes the dissemination of my research among potential interested in its exploitation (by means of, for instance, contracts with	3,14	2,97	2,89	3,19	3,05
Q5	The ULE facilitates and promotes the results of my research to be known by a non-specialized public and by society in general.	3,27	3,24	2,91	2,97	3,08
Q6	The ULE does not discriminate against researchers on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.	4,33	4,41	4,58	4,48	4,47

Recruitment and selection	<p>Strengths</p> <p>A number of internal regulations stipulate the terms and conditions for the recruitment processes of different categories of researchers, including Teaching and Research Staff (civil servant workers) and non-permanent staff. Such processes are based on the principles of equality, merit and capacity, in compliance with the legal national and regional framework in force. 7% of the posts offered are reserved for people with disabilities in order to facilitate their access to the research career. All job advertisements concerning research are published on the official ULE website.</p> <p>Diverse selection practices are used by the selection committees, combining merits assessment and personal interviews. The selection criteria are focused on a wide range of merits achieved throughout the individual's professional career, including teaching, publications, knowledge transfer and management of R&D activities.</p> <p>Concerning postdoctoral appointments, the ULE provides a set of modalities of contracts adapted to the different profiles of R2 researchers, e.g. contracts for the access to the Spanish innovation system, stabilization contracts for researchers hired in the framework of public human resources programs, contracts for R&D projects with companies, etc. These modalities are governed by the Regulation on Research Staff.</p> <p>Weaknesses</p> <p>Some aspects related to the dissemination of job offers must be addressed: there are no systematic procedures for their international dissemination; the information published through the ULE website must be improved, both in terms of accessibility and concerning its technical description. In addition, the job advertisements must include information on labour rights and obligations and professional development perspectives of the positions offered.</p>
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Concerning recruitment processes, a number of improvements should be undertaken. The contracts for carrying out R&D activities with companies (the so called "Article 83 contracts") must be modified in order to improve the transparency of their recruitment processes. In some recruitment processes for fixed-term contracts, most members of the selection committees come from the institution itself, so measures to increase the diversity of these panels should be considered. Despite the decisions of the recruitment processes are published on the institutional website, a more detailed feedback should be provided to applicants, especially to those not selected.

Finally, the weight of some selection criteria should be reconsidered for a better compliance with some aspects included in principles 16, 17, and 29 of the Charter and Code, such as interruptions in the research career of candidates due to professional experiences in the private sector, mobility or international recognition of merits.

Survey results

The results of the Survey for researchers concerning the principles of this section are shown in the next table (questionnaire based on Likert scale with 5 categories).

	Question	R1	R2	R3	R4	TOTAL
Q7	The ULE procedures for recruiting researchers:					
	1- Are open	3,74	4,08	4,08	4,09	4,02
	2- Are transparent	3,78	3,93	4,01	4,00	3,95
	3- Are Internationally comparable	3,37	3,42	3,28	3,53	3,37
	4- Include a broad description of knowledge and competencies required.	3,71	3,79	3,76	3,79	3,76
	5- Include proper information about working conditions and entitlements.	3,59	3,60	3,83	3,67	3,70
	6- Are realistic in terms of deadlines for applications, reply and appeal.	3,88	4,12	4,24	4,3	4,15
Q8	The evaluation of the merits in the selection processes of the ULE is balanced between criteria based on bibliometric indices and others such as teaching, knowledge transfer, management, supervision and awareness activities.	3,76	3,44	3,56	3,42	3,54
Q9	Interruptions in the research career due to professional experiences such as contracts in companies, in public administration, training periods ...) are positively scored in the selection processes of the ULE.	3,36	3,00	2,89	3,06	3,03
Q10	Mobility experiences (stays in another country/region, changes in discipline, or between the public and private sectors) are recognized by the ULE as a valuable contribution to the researcher's professional development.	3,82	3,49	3,47	3,55	3,55
Q11	The academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility, are recognized by the ULE as a valuable contribution to the researcher's professional development.	3,65	3,50	3,36	3,58	3,48

<p>Working conditions</p>	<p>Strengths</p> <p>The recognition of the profession is channelled through by a wide range of contract modalities, covering all stages of the researcher's career. As mentioned above, the research staff regulation embeds some of them aimed at the stabilization of research staff at the beginning of their careers (stages R1 and R2).</p> <p>The ULE provides a favourable environment for research, by implementing protocols on prevention of occupational risks, ensuring safe and healthy workplaces, and encouraging networking activities. The pay-scale of the ULE complies with the national normative for teaching and research staff, with the new Statute for Research Personnel in Training (in force since march 2019) for pre-doctoral researchers, and with the current collective agreements for the rest of researchers. Teaching dedication is widely regulated by the internal normative of the ULE, making it compatible with research tasks.</p> <p>A set of measures is currently in place to enable professional development of young researchers, such as the assignment of tutors to PhD students (regulation of the Doctoral School), and allow them to create new research groups for the development of new lines of research (regulation of ULE working groups).</p> <p>The ULE implements its own grants program to promote and facilitate the mobility of researchers at all stages of their careers, supporting actions such as the attendance at conferences and training actions, short-term stays (up to three months per year) in national and foreign research centres, and the participation in European consortia for R&D activities and professional networks. FGULEM reinforces this support scheme with grants for meetings aimed at the preparation of proposals in the framework of national and international R&D programs and collaborative projects with companies.</p> <p>Weaknesses</p> <p>As a result of the GAP analysis made, a number of improvements has to be incorporated in some internal regulations of the institution referred to the principles of this section. In particular, some existing limitations for accessing to internal mobility aids have been detected for some types of researchers with temporary contract, and some changes in the current regulations should be addressed in order to prevent the succession of fixed-term contracts.</p> <p>A new regulation on sabbaticals must be developed and, as noted in section 1, the current internal rules on the protection of industrial and intellectual property rights must be updated. It is as well necessary to design and put in place a new regulation to enhance the creation of spin-off companies based on research results.</p> <p>There is not any service available specially devoted to provide advice and information to researchers on aspects such as professional development, training orientation or employment opportunities. These gaps have been particularly detected for R2 and R3</p>
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stages, mainly in researchers with fixed term contracts. Likewise, there appears to be a lack of a welcome protocol for those new researchers who join the institution.

Despite the ULE has an Ombudsman, whose role is protecting the rights and freedoms of researchers, students and administration staff, a more oriented service to the specific demands of the research community should be implemented.

Survey results

The results of the Survey for researchers concerning the principles of this section are shown in the next table (questionnaire based on Likert scale with 5 categories).

	Question	R1	R2	R3	R4	TOTAL
Q12	The ULE provides me with a favorable environment to develop my research activity in terms of:					
	1- Facilities and equipment	3,68	3,34	3,55	3,06	3,44
	2- Health and safety conditions	4,05	3,74	3,99	3,64	3,88
Q13	The ULE guarantees or facilitates flexibility for a successful research performance in accordance with existing national legislation, in order to combine family and work, and other aspects such as flexible working hours ,part-time working periods, teleworking, sabbaticals ...	3,93	3,39	3,20	3,67	3,44
Q14	The ULE provides me with specialized support and guidance on aspects related to my scientific career and my professional development.	3,33	3,07	2,86	3,09	3,03
Q15	The ULE promotes and facilitates mobility of researchers due to participation in networks, stays in research centers, attendance to training actions	3,78	3,41	3,39	3,56	3,48
Q16	The ULE provides proper information and advice on IPR, including the exploitation of the results.	3,35	3,47	3,43	3,53	3,44
Q17	The ULE has established appropriate procedures to deal with appeals and complaints related to working conditions of researchers and conflicts concerning supervisor(s) and early-stage researchers.	3,38	3,02	3,14	3,41	3,05
Q18	The ULE allows researchers to be legitimately represented in the relevant information, consultation and decision-making bodies of the institution, to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.	3,73	3,51	3,76	3,67	3,67

Training and development

Strengths

The Doctoral School have developed a number of protocols, good practices and communication tools to manage relationships between tutors, directors and PhD students, including supervision procedures. In particular, the management platform of the Doctoral School allows students to present their research plan and enter information about learning outcomes; the tutors and directors validate and provide feedback on each item.

The ULE offers a wide range of training activities, mainly implemented by the Training School through yearly training plans, addressed to all stages of research staff. These plans offer training on key contents for continuous professional development on

research. As previously stated, the ULE supports the attendance to training activities through its own grants program, including special measures to allow PhD students to obtain the "International Doctorate" mention.

Weaknesses

Continuous training on the use of the different management tools, especially concerning the platform for the management of doctoral studies, and practices of the Doctorate School should be provided, both to students and supervisors.

Despite ULE's robust training offer for researchers, a lack of advisory services on research career and professional development addressed to researchers of all stages has been detected.

Survey results

The results of the Survey for researchers concerning the principles of this section are shown in the next table (questionnaire based on Likert scale with 5 categories).

	Question	R1	R2	R3	R4	TOTAL
Q19	The ULE promotes and evaluates good practices between the supervisors and the researchers in their training phase in terms of ensuring structured/regular follow-up, records keeping of the work progress and research findings, feedback by means of reports and seminars, working in accordance with agreed schedules, milestones, deliverables and/or research outputs.	3,61	3,17	3,18	3,42	3,29
Q20	The ULE provides adequate means, such as formal training, workshops, conferences and e-learning, for researchers in all career stages, to both continuous improvement and updating of their skills and competencies.	3,88	3,92	3,85	3,76	3,86

3. ACTIONS

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

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

*URL: <https://www.unileon.es/investigadores/investigar-transferir/hrs4r>

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

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
<i>Free text -100 words max</i>				
1-IPR regulation. The current regulation on IPR will be reviewed for a better adaptation to the researcher's demands and to update it with the latest national legislative developments: Law 24/2015 on Patents, and Law 1/2019 on trade secrets.	3, 31, 39	From Q1 to Q4	Office for the Transfer of Research Results (OTRI)	<u>Target:</u> -Updating of internal regulation. <u>Indicators:</u> -Document adopted -Internal dissemination of the document
2-HR Excellence Training. Different training courses and awareness-raising actions on the needs detected in the GAP analysis will be brought into the annual Training School plan. Some of these contents will be: -Industrial and intellectual property, -Data protection and confidentiality, -Open Science,	3, 5, 7, 8, 14, 28, 31, 32, 36, 38, 39	Continuous	Training School Office for the Transfer of Research Results (OTRI) Doctorate School University Library	<u>Targets:</u> -Training of researchers and other ULE staff on the contents of the C&C principles. - Training of members of the selection committees. <u>Indicators:</u> -Number of courses and awareness-raising events. -Number of

<ul style="list-style-type: none"> -Research data management, -Publication in high impact journals. -External funding of R&D projects, -Transversal skills related to evaluation and selection procedures, -Research career -Introductory course on doctoral studies management. -Charter and Code, and HRS4R process. 				<p>participants.</p> <p>-Satisfaction of participants.</p>
<p>3-Knowledge transfer services.</p> <p>Current services will be evaluated and redefined in order to provide a more researcher-oriented support on the valorization process of their research, from its protection to its exploitation by licenses or through the creation of spin-offs. Joint work procedures between the different units involved will be setup. Researchers will be informed about new services and the related regulations.</p>	<p>3, 8, 31, 32, 39</p>	<p>From Q1 to Q6</p>	<p>FGULEM</p> <p>Vice-Rectorate for Research</p> <p>Office for the Transfer of Research Results (OTRI)</p>	<p><u>Target:</u></p> <p>-Adaptation of services to the researcher's needs.</p> <p><u>Indicator:</u></p> <p>-Number of researchers involved in Knowledge Transfer activities.</p>
<p>4-Strategic research objectives.</p> <p>Priority areas of research will be updated within the framework of a strategic plan.</p>	<p>4, 5</p>	<p>From Q6 to Q8</p>	<p>Vice-Rectorate for Research</p>	<p><u>Target:</u></p> <p>-ULE research orientation.</p> <p><u>Indicator:</u></p> <p>-Document adopted.</p>

<p>5-Welcome protocol. Implementation of a welcome service for all stages' researchers who join the ULE in order to facilitate their adaptation to the institution and the city. The protocol will include a guide containing relevant information about services, facilities, regulations and procedures, among other contents.</p>	5, 23, 24	From Q1 to Q3	Vice-Rectorate for Research	<p><u>Targets</u> -Service to new hired researchers</p> <p><u>Indicator:</u> -Number of researchers using the service.</p>
<p>6-Manual of Good Laboratory Practice. In the framework of the new policy on prevention of occupational risks adopted by the institution in 2019, the Manual of Good Laboratory Practice will be updated in order to ensure and reinforce safety conditions of researchers.</p>	7, 23	From Q6 to Q8	Prevention of Occupational Risks Unit	<p><u>Target:</u> -Updating of internal rules.</p> <p><u>Indicators:</u> -Manual adopted. -Internal dissemination of the document</p>
<p>7-Information security. Information security regulations will be developed to regulate the use of computer and communication equipment by the research community, in aspects such as: not allowed uses, information storage, use of memory devices, equipment protection, encryption of information,</p>	7	From Q4 to Q7	Vice-Rectorate for Resource Management and Infrastructure	<p><u>Target:</u> -Safe practices in the handling of information.</p> <p><u>Indicators:</u> -Internal dissemination of the document</p>

electronic signature, document cleaning, etc.				
<p>8-Institutional repository. Information, diffusion and awareness-raising activities will be implemented in order to boost the role of the BULERIA repository within the institutional open-access policy, encouraging the uploading of all types of documents: articles, monographs, communications in congresses, conferences, seminars, doctoral theses, teaching materials, etc.</p>	8	From Q2 to Q6	University Library	<p><u>Target:</u> -Access to scientific production.</p> <p><u>Indicators:</u> -Number of registered researchers. -Number of documents uploaded to the repository.</p>
<p>9-Research for society. A number of measures will be put in place to bring closer to the society both the ULE research and development activity and its results, including those of knowledge transfer. Some of these actions will be: -Creation of a specific website, - Greater presence in social networks, -Launch of a new quarterly magazine, which will include a section devoted to R&D contents, -Agreements with local and national media,</p>	9	Continuous	<p>Vice-Rectorate for Institutional Relationships</p> <p>Vice-Rectorate for Research</p>	<p><u>Target:</u> -Presence of ULE R&D activity in its social setting.</p> <p><u>Indicators:</u> -Number of contents posted in media. -Number of regular collaborations with media. -Active website. -Indicators of activity in social networks.</p>

<p>-Consolidation of a Scientific Culture Unit of the ULE.</p>				
<p>10- Regulation on support for people with functional diversity and special needs. New regulations aimed at guaranteeing the equal rights of all university collectives, including the research staff.</p>	10, 24	From Q1 to Q4	Social Responsibility Area	<p><u>Target:</u> -Strengthening of non-discrimination policies.</p> <p><u>Indicator:</u> -Internal dissemination of the document</p>
<p>11-Ombudsman. New responsibilities for the defence of the specific rights of researchers will be assigned to this figure. The reinforcement of its role will be adopted in the new regulation, which is being updated.</p>	10, 34	From Q1 to Q4	Vice-Rectorate for Social Responsibility, Culture and Sports	<p><u>Target:</u> -Adaptation of services to the researcher's needs.</p> <p><u>Indicators:</u> -Number of complaints received from researchers.</p>
<p>12-OTM-R Guide. Preparation of a guide setting out all ULE contracting procedures in accordance with the principles of the C&C, including the institution's policy on the subject. The document will be available on the University's website, and will be attached to the official documentation in all the recruitment processes for research staff.</p>	12, 13, 14, 15	From Q2 to Q7	Human Resources	<p><u>Target:</u> -Collection and adaptation of internal regulations and procedures.</p> <p><u>Indicators:</u> -Internal dissemination of the document. -Number of contracting procedures to which it is attached.</p>

<p>13-OTM-R web space. Hosted in the website devoted to the HR Award, this web space will collect all contents concerning recruitment of researchers. Calls, vacancies, regulations, information services, etc. will be posted, improving the description of the offers (with templates or ad-hoc information forms), giving details about recruitment processes, and gathering all official documents and regulations to provide a better service to applicants.</p>	13	From Q2 to Q8	Vice-Rectorate for Research	<p><u>Target:</u> -Service for applicants.</p> <p><u>Indicators:</u> -Visits and downloads.</p>
<p>14-Internationalization of job offers (OTM-R). Protocols for the international dissemination of job offers in foreign forums, mainly through EURAXESS, will be implemented. The protocol will indicate the types of job position for which international dissemination will be mandatory and the supervision procedures.</p>	13	From Q2 to Q6	Vice-Rectorate for Research	<p><u>Target:</u> -Protocol for job offers dissemination.</p> <p><u>Indicators:</u> -Number of job offers on Euraxess.</p>
<p>15-New contract modalities (OTM-R). Creation of new modalities of contracts linked to collaboration agreements with</p>	13	From Q5 to Q8	Research Management Service Human Resources	<p><u>Target:</u> -New types of contracts to improve transparency.</p> <p><u>Indicators:</u></p>

<p>companies (the so-called "Article 83") with the aim of avoiding the personalization of job offers. It would be implemented through a modification of the ULE Research Staff Regulations.</p>				<ul style="list-style-type: none"> -Modalities of contracts. -Number of hired researchers.
<p>16-Composition of the selection committees (OTM-R). The appointment criteria for members of selection panels concerning hiring processes of non-official research staff will be reviewed, and a number of measures will be introduced to reach a higher diversity (origin of members, sector ...) and parity improvement. The profiles of the committee members will be published in the OTM-R Space as a measure of transparency.</p>	14, 15, 27	From Q2 to Q6	Research Management Service Human Resources	<p><u>Targets</u></p> <ul style="list-style-type: none"> -More balanced selection committees. <p><u>Indicators:</u></p> <ul style="list-style-type: none"> -Variety in the origin of the members of selection committees. -Ratio men/women. -Published profiles of panel members.
<p>17-Information to candidates (OTM-R). New protocols will be incorporated to the different recruitment processes to give detailed information to applicants, especially those who have not been selected, on the results of the items evaluated.</p>	15	From Q2 to Q6	Human Resources	<p><u>Target:</u></p> <ul style="list-style-type: none"> -Information to candidates about the result of the selection processes. <p><u>Indicators:</u></p> <ul style="list-style-type: none"> -Protocol incorporated into the selection processes. -Number of informed applicants.

<p>18-Rating scale for hiring criteria (OTM-R). Review and modification of the merit assessment of all contracting categories with two objectives: 1-A more precise adjustment of the weight of the different criteria to the researcher profiles to which the call is addressed. Some of the merits concerned will be teaching, publications, research activity, knowledge transfer and management activities, 2-Incorporate or reinforce merits that are not sufficiently weighted, such as variations in chronology, recognition of international qualifications and mobility between the private and public sectors.</p>	16, 17, 19, 29	From Q2 to Q6	<p>Vice-Rectorate for Research</p> <p>Vice-Rectorate for Teaching Staff</p>	<p><u>Target:</u> -Merit adaptation to job profiles.</p> <p><u>Indicator:</u> -Modalities of contract with rating scale adaptations.</p>
<p>19-Access to mobility. Some limitations for accessing to travel expenses aids regulated by the ULE grants program for mobility of researchers will be revised. These limitations, concerning some types of fixed-term contract modalities, are linked to aspects such as the</p>	25	From Q2 to Q4	Vice-Rectorate for Research	<p><u>Target:</u> -Remove limitations to mobility of researchers.</p> <p><u>Indicator:</u> -Number of researchers obtaining mobility aids</p>

duration of the beneficiary's contract or the existence of previous contracts.				
<p>20-Support Unit for Professional Development of Researchers.</p> <p>Setting up and deploying a new support structure on professional development, including advice for employment for researchers.</p> <p>As part of this strategy, a mentoring program will be implemented: senior researchers will be in charge of monitoring the progress of R1 and R2 researchers in their research career.</p> <p>At the same time, a set of mentoring modalities for stages R2 and R3 will be implemented, with the participation of research group directors, department or research institute directors, among others figures, to assist them in the definition and conduct of a professional development plan which will be evaluated on a yearly basis.</p>	25, 28, 30, 39, 40	From Q4 to Q6	<p>Vice-Rectorate for Teaching Staff</p> <p>Vice-Rectorate for Research</p>	<p><u>Target:</u> -New support service.</p> <p><u>Indicator:</u> -Number of researchers using the service.</p>
<p>21-Improvements in fixed-term contracts.</p> <p>For some hiring modalities regulated by the ULE Research Staff</p>	25, 33	From Q4 to Q5	<p>General Secretariat</p> <p>Vice-Rectorate for Research</p>	<p><u>Target:</u> -Regulatory changes for contract modalities.</p>

<p>Regulation, a number of improvements will be introduced in order to:</p> <ul style="list-style-type: none"> -Avoid the succession of fixed-term contracts. -To allow the researcher to combine his research activity with teaching tasks, if the contract modality allows it. 				<p><u>Indicator:</u> Number of researchers concerned.</p>
<p>22-Regulations on sabbaticals. Sabbatical leaves will be promoted as an instrument for professional development of researchers. A specific regulation will be defined and adopted for this purpose.</p>	29	From Q1 to Q4	<p>Vice-Rectorate for Teaching Staff</p> <p>General Secretariat</p>	<p><u>Targets:</u> -Promotion of mobility and internationalization.</p> <p><u>Indicators:</u> -Number of sabbaticals.</p>
<p>23-Regulations on entrepreneurship. The regulations governing the creation of spin-off companies will be updated with the aim of promoting entrepreneurship as a way for professional development to be considered by researchers. This measure is planned within the Strategic Plan for Knowledge Transfer of the ULE.</p>	8, 31	From Q1 to Q4	<p>Vice-Rectorate for Research</p> <p>FGULEM</p>	<p><u>Targets:</u> -Updating of internal rules. -New option for professional development.</p> <p><u>Indicators:</u> -Manual adopted. -Internal dissemination of the document -Spin-off companies set up by researchers.</p>
<p>24-Code of good doctoral practices. The Code of Good Practices of the</p>	36	From Q1 to Q2	<p>Doctorate School</p>	<p><u>Target:</u> -Updating of internal regulation.</p>

<p>Doctoral School will be updated in order to incorporate the modifications recently adopted in the Doctorate regulations.</p>				<p><u>Indicators:</u> -Document adopted. -Internal dissemination of the document</p>
<p>25-Doctorate in industry. The participation of PhD students in R&D projects directly related to their thesis and carried out in companies will be supported. The goal of this action is both to promote knowledge transfer between academia and industry and to improve the employability of the PhD student with a business experience. This action is a key measure to be developed in the Strategic Plan for Knowledge Transfer of the ULE.</p>	39	Continuous	<p>Vice-Rectorate for Research</p> <p>Doctorate School</p>	<p><u>Targets:</u> -Improvement of the employability of R1 researchers.</p> <p><u>Indicators:</u> -Number of PhD students participating in this action.</p>
<p>26-Sponsorship program. PhD students in their last academic stages would sponsor newly arrived students, providing support in the initial steps of their doctoral studies and research activities.</p>	40	From Q2 to Q8	Doctorate School	<p><u>Targets:</u> -Initial support for R1 researchers.</p> <p><u>Indicators:</u> Number of students involved.</p>

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. (free text, 1000 words maximum)

The Spanish legal framework contemplates the obligation to implement personnel selection processes under the constitutional principles of **equality, merit and capacity**, as well as their **publicity**. All the ULE contract modalities are in compliance with these principles, embedded in the different internal regulations, such as the Regulation on Research Staff (particular fixed-term contracts for R1, R2 and R3 stages), the Official Teaching and Research Staff Regulation and the rest of the regulations linked to teaching and research staff.

Within the framework of the GAP analysis, the main stakeholders of the institution, from a self-critical approach, have carried out a wide and comprehensive review exercise of the internal policies and practices related to the selection processes, in which the tools proposed by the HRS4R process, such as the **OTM-R toolkit, have been crucial for the detection of weaknesses and to define a roadmap for the coming years.**

Overcoming these weaknesses is the goal of the **8 actions** included in the Action Plan directly linked to those policies (no. 12 to no. 18). Moreover, other actions, such as no. 2 and no 5, include measures related to the improvement of the selection processes, although they are proposed within a more general approach (example: action no. 2 “HR Excellence Training” includes courses addressed to selection committee's members on transversal competencies concerning selection techniques).

A key element in the ULE recruitment of researchers policy will be the **Open, Transparent and Merit-based Guide** (action no. 12), which will be the reference document for all the recruitment processes, focusing on institutional rules, documents and procedures. Within the process of development of this guide, the current regulations governing the different contract modalities will be reviewed and updated, integrating the improvements proposed in this Action Plan, always within the margins allowed by the national and regional legal framework for each of the aspects addressed. These actions are set out below, structured according to the three phases proposed by the OTM-R toolkit:

1-Advertising and application

ULE recruitment policy and procedures comply with legal advertising requirements, providing detailed information on the hiring processes, the selection criteria and the description of the positions, both through the regulations of the different contract modalities and in the calls for job offers. However, a better structured publication and dissemination of the information concerning the positions and the selection processes will be approached. To do this, the so-called “OTM-R web Space” (Action no. 13) will be created as a service to applicants which, linked to the “HR Excellence” brand, will collect all the contents related to the recruitment of researchers, including the improvement of the offers description. In addition, the dissemination of job adverts through international platforms, mainly EURAXESS, will be promoted (Action no. 14).

2-Evaluation and selection

The hiring processes for all contract modalities of research staff include the assessment of the merits referred to most of the OTM-R principles of the Charter and Code. However, merit score ratings will be reviewed in order to achieve a better allocation of the different criteria to each job offer, in addition to incorporating merits that are not sufficiently valued (Action no. 18). Furthermore, new contract

modalities focused on the transparency of the selection criteria will be implemented (Action no. 15). Measures to enhance the diversity of the selection committees and transparency in their appointment are also contemplated (Action no. 16).

3-Appointment phase

The OTM-R guide will collect relevant information referred to the appointment of researchers, such as services in charge of management, communication of the results of different recruitment processes and complaint mechanisms. Special attention will be given to improving the information provided to non-selected candidates (Action no.17). Other actions included in the Action Plan, with which there might be some overlap or shared goals with OTM-R, would be no. 5, focused on a welcome protocol for researchers joining the ULE, and no. 11, which will reinforce the role of the ombudsman for the defence of the specific rights of researchers, including those related to selection and appointment issues.

Towards the implementation of the OTM-R actions, a **specific task force** will be created, within the working structure for the HRS4R. OTM-R toolkit will be used to monitor and assess the implementation of the above mentioned actions, as a reference roadmap to ensure goals' achievement.

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

URL:

4. IMPLEMENTATION

General overview of the expected implementation process:
(free text, 1000 words maximum)

The HR Award is a **cultural and political target** for the University of León. Thus, HRS4R process becomes a **strategic priority** for its deployment and further consolidation. In this context, the OTM-R policy will be the **core of its human resources management policy**, according to the institutional commitment with the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers compliance. As a matter of fact, one of the structural axes, on which strong emphasis will be placed, will be embedding the essence of their 40 principles into the university community culture.

Illustrating this institutional commitment, the strategic measures linked to the HRS4R process will be submitted for approval by the **Governing Council** of the University of León, the highest representation and management body, which will act as the ultimate supervisor of the implementation of the planned actions. Therefore, the HRS4R process will be approached from the **highest level of structures, stakeholders and university authorities**, in order to ensure its correct set up, as well as an efficient coordination with the rest of the institution's strategic actions and a direct impact in the culture and the policies of the organization.

The structure in charge of the Action Plan's implementation and monitoring will consist of the following elements:

- A **Steering Committee** in charge of the supervision process and the submission of documents to the Governing Council for review and approval.
- The **Human Resources Excellence Working Group (HRE-WG)**, responsible for the overall coordination of the Action Plan and its technical monitoring. Its members will be directly appointed by the Steering Committee. The working group will be chaired by a member of the Steering Committee and a Coordinator will be in charge of its general management. At least one researcher from each research career stage will be engaged in the HRE-WG. Furthermore, a researcher will be appointed for the role of Coordinator.
- A number of **task forces**, responsible for implementing the actions. Each of these groups will be led by a member of the HRE-WG. They will be composed of researchers from R1 to R4 stages (at least a third of the total members) and management staff, all of them participating as volunteers. A starting approach of these groups is as follows:

Task Force 1	Actions no. 1, 3, 4, 8, 9 and 23
Task Force 2	Actions no. 2, 24, 25 and 26
Task Force 3	Actions no. 5, 6, 7, 10, 11, 19 and 20
Task Force 4 (OTM-R)	Actions no. 12, 13, 14, 15, 16, 17, 19, 21 and 22

Main implementation milestones for the Action Plan:

Milestone 1- Appointment of the HRE-WG members; In order to take advantage of the experience gained in the first phase of the HRS4R, a significant number of persons involved in the working group responsible for the GAP analysis and the design of the Action Plan will be engaged.

Milestone 2- Kick of meeting of the HRE-WG, with the following objectives:

- ✓ Decide the final structure of task forces and actions allocation.
- ✓ Appointment of coordinators to the task forces.
- ✓ Preparation of the institutional presentation of the Action Plan and HRS4R in the ULE (see milestone no. 3).

Milestone 3- Action Plan and HRS4R process presentation. The event will be aimed at the entire university community. The work plan for the next 2 years will be presented, as well as the call for task forces volunteer recruitment.

Milestone 4- Internal call for the recruitment of volunteers for the established task forces; information about procedures for submitting applications and deadlines will be disseminated by email.

Milestone 5- HRE-WG meeting for the selection and appointment of the task forces members.

Specific monitoring tools and practices will be put in place, including periodic meetings of the working groups, a **scorecard of indicators** and an ad-hoc management application. The role of the HRE-WG coordinator will be a key figure in the follow-up tasks.

The preparation of the interim assessment will be a continuous task: apart from the inputs coming from the monitoring of both the targets and the indicators of the Action Plan, relevant information about the measures implemented will be collected from researchers and other stakeholders involved in the process, as well as suggestions for new actions.

The internal review, including the renewed Action Plan for the following two years, will be prepared by the HRE-WG, reviewed by the Steering Committee and submitted to the Governing Council for approval.

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

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	<p>The following monitoring mechanisms are established at the HRE-WG level:</p> <ul style="list-style-type: none"> • The head of the HRE-WG will be a member of the Steering Committee, and will be responsible for overseeing the whole process and to report on the progress of the work. • The coordinator of the HRE-WG will be in charge of, among other functions, being in permanent contact with all task forces leaders, supervising the progress of the implementation process, and reporting about incidents or unexpected events that may affect the normal development of the actions. • The leaders of the task forces will be recruited from the HRE-WG members, which will facilitate direct supervision of the actions assigned to each of them. • The HRS-WG will hold supervision and coordination meetings at least every four months. <p>The Steering Committee will monitor the progress of the plan at a strategic level, and will report to the highest political body of the University of León, the Governing Council, about all the aspects concerning the project within the framework of its governance meetings.</p>
How do you intend to involve the research	<p>Researchers from all stages of the research career will be directly engaged in the different tasks to implement the Action Plan through the following means:</p> <ul style="list-style-type: none"> • Members of the HRE-WG; at least one researcher from each of the 4 stages

<p>community, your main stakeholders, in the implementation process?</p>	<p>of the research career will be involved in the main working group.</p> <ul style="list-style-type: none"> • The figure of coordinator of the HRE-WG will be held by a researcher. • Participation as volunteers in the different task forces. A minimum quota of at least a third of researchers involved in these working groups will be established. <p>Furthermore, one of the objectives of the Action Plan will be to foster a “HR Award culture”; for this purpose, awareness-raising actions aimed at researchers (Action no.2), on contents referred to the European Charter for Researchers, the Code of Conduct for the Recruitment of Researchers and the HRS4R will be undertaken. An expected impact of this policy will be to strengthen researchers' engagement with those actions for which their participation will be necessary (actions no. 8, 9, 25 and 26).</p> <p>Last but not least, during the implementation of the Action Plan, a number of surveys for researchers will be conducted in order to know their satisfaction with the services and actions implemented, as well as collecting suggestions for improvement.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p>	<p>This Action Plan has been approved by the Governing Council of the University of León, the highest governing body of the institution, in charge of establishing the strategic lines of the University, as well as the regulations and procedures for its execution. As a guarantee of the institutional commitment to the HRS4R process, the regulatory changes and strategic decisions included in the Action Plan will be submitted to the Council for approval, especially those linked to the OTM-R actions.</p> <p>As mentioned above, during the HRS4R process a special effort will be made to imbue the university community with the culture of research and human resources linked to the HR Excellence Award, connecting it to the ULE brand and its values.</p> <p>In addition, the alignment of the HRS4R with institutional policies will be enforced in two other ways:</p> <ul style="list-style-type: none"> • The Strategic Plan for Knowledge Transfer 2019-2022, currently underway, which includes actions connected to the Action Plan, such as no. 1 (IPR regulations), no. 3 (support services in knowledge transfer), no. 9 (research for society), no. 23 (regulations on entrepreneurship) and no. 25 (industrial doctorate). • A Strategic Plan for Research, which will allow not only the renewal of the priority research lines of the ULE (action no. 4) but also a significant reinforcement of some of the actions included in this Action Plan. <p>Moreover, the University of León confirms its strategic commitment to the European HR Excellence in Research award within the framework of the Knowledge Transfer</p>

	<p>Plan of Castilla y León 2018-2020 (TCUE Plan), a regional initiative aimed at supporting cooperative R&D and innovation actions between the academic world and industry. One of the priority actions of the TCUE Plan is to encourage regional organizations to obtain the HR Award, both because of the positive impact on the institution, and, in the context of Horizon 2020, to comply with Article 32 of the Annotated Model Grant Agreement.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>As a priority institutional project of the University of León, the articulation of the HRS4R process is approached from the highest level of structures, stakeholders and authorities, in order to ensure its correct implementation and its full embedding in the culture and policies of the entity. Some of the elements that will allow achieving these goals are:</p> <ul style="list-style-type: none"> • The Steering Committee will be chaired by the Rector, as the highest authority of the institution, and composed of two vice-rectors representing key areas for HRS4R (Research and Teaching Staff), and a high level representative of the General Secretariat. • Senior managers of key services and units of the ULE, such as Human Resources, Doctorate School, Knowledge Transfer support offices, and so on, will be directly involved in the HRE-WG and will lead a number of task forces. • The overseeing tasks and measures mentioned above, together with the role of the Governing Council as the higher level of monitoring and approval of the planned actions. <p>Furthermore, the implementation of the Plan's actions is reinforced and ensured within the framework of a number of strategic initiatives, such as:</p> <ul style="list-style-type: none"> • The Strategic Plan for Knowledge Transfer, currently underway, and the next strategic plan for research. • The alignment of the ULE policies to promote R&D and innovation with the priorities set out at regional level within the framework of the mentioned TCUE Plan.
<p>How will you monitor progress (timeline)?</p>	<p>The envisaged monitoring measures are:</p> <ul style="list-style-type: none"> • HRE-WG follow-up and coordination meetings, on a four-monthly basis. The minutes will be transferred to the Steering Committee to inform about the progress of the actions undertaken by the different task forces. • The role of the HRE-WG coordinator, main responsible for the management control of the work plan and the monitoring of the task forces activities through direct and permanent contact with their leading members. Moreover, he will be in charge of managing the data collection for the scorecard of indicators.

	<ul style="list-style-type: none"> • Creation and set up of a monitoring tool to record relevant information about different meetings, task forces, indicators, etc. <p>The implementation of the Action Plan will be done in accordance with the following schedule:</p> <table border="1" data-bbox="411 409 1433 689"> <thead> <tr> <th rowspan="2"></th> <th colspan="12">Year 1 (months)</th> <th colspan="12">Year 2 (months)</th> </tr> <tr> <th>1</th><th>2</th><th>3</th><th>4</th><th>5</th><th>6</th><th>7</th><th>8</th><th>9</th><th>10</th><th>11</th><th>12</th> <th>13</th><th>14</th><th>15</th><th>16</th><th>17</th><th>18</th><th>19</th><th>20</th><th>21</th><th>22</th><th>23</th><th>24</th> </tr> </thead> <tbody> <tr> <td>HRE.WG appointment</td> <td style="background-color: red;"></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>HRE-WG kick-off meeting</td> <td style="background-color: red; text-align: center;">K</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Intitutional presentación</td> <td></td><td style="background-color: red;"></td><td style="background-color: red;"></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Taskforces members appointment</td> <td></td><td style="background-color: red;"></td><td style="background-color: red;"></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>Co-ordination and monitoring meetings</td> <td></td><td></td><td></td><td></td><td style="background-color: yellow; text-align: center;">M</td><td></td><td></td><td></td><td></td><td style="background-color: yellow; text-align: center;">M</td><td></td><td></td><td></td><td></td><td></td><td></td><td style="background-color: yellow; text-align: center;">M</td><td></td><td></td><td></td><td></td><td style="background-color: yellow; text-align: center;">M</td><td></td> </tr> <tr> <td>Scorecard Reports</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td style="background-color: lightblue; text-align: center;">R</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td style="background-color: lightblue; text-align: center;">R</td> </tr> <tr> <td>Elaboration of Internal Review</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td style="background-color: red;"></td><td style="background-color: red;"></td> </tr> </tbody> </table>		Year 1 (months)												Year 2 (months)												1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	HRE.WG appointment																									HRE-WG kick-off meeting	K																								Intitutional presentación																									Taskforces members appointment																									Co-ordination and monitoring meetings					M					M							M					M		Scorecard Reports												R											R	Elaboration of Internal Review																							
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<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>In order to prepare the interim assessment, the following measures are established:</p> <ul style="list-style-type: none"> • The achievement of the target of each action will be controlled through the meetings and supervisory measures mentioned above. • Regarding the indicators, a scorecard will be set up in order to monitor the information gathered about the implementation of the 26 planned actions, appointing a person responsible for providing the data to the HRE-WG coordinator. • New proposals that may arise in the task forces will be collected and taken into account to be incorporated into the renewed Action Plan. • A number of surveys will be conducted to find out the satisfaction of the research community and other stakeholders about the actions implemented. <p>Different types of indicators will be included in the scorecard, both quantitative (for example, number of online documents downloaded, researchers participating in the actions, number of attendees to courses, services provided, complaints received, job offers published in Euraxess, etc.) and qualitative (satisfaction of the attendees to courses or awareness-raising events, perception about modifications in internal regulations, etc.) adapted to the goals of each action, and their trend in the share.</p>																																																																																																																																																																																																																													

Additional remarks/comments about the proposed implementation process:

Some actions of the Action Plan (no. 2, 3 and 23) will be implemented with the collaboration of the General Foundation of the University of León and Business (FGULEM), a private non-profit entity linked to the University of León, whose aim is to promote its teaching and research activity. The FGULEM is active in student employability issues, continuous training and technology transfer promotion.