



# Application of the University of Udine for the 'HR excellence in research' Award with reference to Consensus January 7, 2016 (EC ARES)

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## **INTRODUCTION**

The present document supports the updated application of the University of Studies of Udine for the recognition of the 'HR Excellence in Research Award' on the basis of the assessment made by the EURAXESS Rights Team with the Consensus EC ARES of the 7 January 2016.

In 2008 the University, alongside seven other Italian universities, started the process of adopting and applying the principles of the European Charter for researchers and the Code of Conduct. In 2011 it presented an initial proposal for its strategy in human resources (henceforth HRS/2011) which was not accepted and in 2015 a second proposal (henceforth HRS/2015) which was accepted but on a number of conditions.

Throughout the period (2011/2015), despite the absence of any strong pressure from the central government to activate the principles of the C&C and bearing in mind their changing political and administrative governance, the University of Udine continued to follow their chosen path with the intention of adopting the requirements of the C&C in their entirety. In spite of the negative evaluation of the HRS/2011 proposal and in response to feedback based on data gathered from internal research (in the form of a questionnaire) conducted in 2012, in addition to the various activities started up, certain steps were taken to improve both the working conditions and the individual awareness of researcher professionalism, by offering new services, benefits and opportunities for education and participation in academic life.

The hope is that the newly integrated proposal, updated in line with EC indications, will find, at the earliest opportunity, a positive reception as laid out in the procedure for the recognition HR Excellence in Research Award.

Person in charge of C&C at the University of Udine

Prof. Andrea Zannini



## 2008, November – Declaration of Commitment

In July 2005 the universities of our country, gathered together at the conference of Italian University Chancellors (CRUI), agreed to adopt the values and general principles recommended by the European Commission of 11 March 2005. In a ground breaking document they established general, responsible and transparent guidelines within a European framework, for the regulation of relationships between researchers and employers.

The relevant concepts were subsequently summarised and translated into prescriptions in the European Charter for Researchers and the Code of Conduct for their Employment (C&C).

Following initial action by a number of associations, the University of Udine, together with other similar institutions (Camerino, Padua, Palermo, Foggia, Urbino, Verona and the upper school Sant'Anna of Pisa) signed, in **November 2008**, **"a commitment to embrace human resource management strategies based on the C&C"**. They subsequently notified the European Commission of this decision in June 2009.

A few of the institutions mentioned above – University of Camerino (coordinator), Foggia, Padova, Palermo and Udine, formed a Working Group called 'Institutional HR Strategy Group' that set up a pilot scheme to determine how this aim could be achieved, which finally organised the process into five stages:

1. Internal analysis to assess the extent to which C&C principles are applied
2. Definition of a subsequent strategy for human resource management (HRS)
3. Attainment of recognition and the title "HR excellence in Research" from the European Commission
4. Implementation and evaluation of the effectiveness of the strategy every two years
5. External monitoring by international experts every four years

The University of Udine thereby started the process of implementing the principles of the European Charter for Researchers and Code of Conduct for their employment in its regulations and the daily life of the university.

## 2009, October – Establishment of the first Working Group

In October 2009, on the basis of the general indications provided by the pilot scheme, our University created its own work group (WG), with the specific aim of verifying the level of knowledge of C&C in the institution and of defining the measures required to guarantee the diffusion and sharing of such knowledge among the various members of the university community involved in research activity.

The Working Group was composed of the following members:

- contact person for the institutional HR Strategy Group  
Andrea Tonello, full professor
- members of the institutional HR Strategy Group



Alessandro Trovarelli, full professor  
Michele Morgante, full professor  
Luca Selmi, full professor  
Manuela Croatto, research department  
Nilla Colledani, research department  
Sandra Salvador, research department  
Raffaella Medeot, research department  
Gabriella Moratto, personnel department  
Silvia De Liddo, personnel department  
Elisabetta Vecchio, international relations center

### **2010/2011 - Internal Gap Analysis WG (see ANNEX 1)**

In the following months the Working Group carried out an Internal Gap Analysis, which was primarily theoretical with some sample checks, and which looked at the compatibility between the principles contained in the C&C and national regulations, University regulations and actual practice; in addition, the recommendations for HRS, in terms of the implementation of C&C, sought to improve not only researchers' working conditions but also the organisation and procedures in current use.

### **2011, September - first Human Resource Strategy and first application for the 'HR excellence in research' award (see ANNEX 2)**

The University Senate, in September 2011, approved the document entitled "Strategy for human resource management in line with the principles of the European Charter for Researchers and the Code of Conduct for the Employment of Researchers" of the University.

The document was submitted to the approval of the European Commission in September 30, 2011.

### **2011, November - Assessment by the EU assessors on the first Human Resource Strategy (see ANNEX 3)**

The most important comments from the three assessors were:

- the gap analysis was carried out by a working group consisting of various professors and administrative personnel representing different departments and services; however, the key stakeholders in the process – the researchers, in particular junior researchers at doctoral and postdoctoral level – seem not to have been consulted
- the document has not yet been published on the University website

## **2012, January to May - Comprehensive Internal Analysis (see ANNEX 4)**

In consideration of the observations made by the European Commission assessors concerning the strategies proposed by Udine University, a specially designed questionnaire (the Internal Analysis) which was administered to both permanent and temporary employees who conduct research for whatever reason in the University, was prepared. This was particularly necessary, not only because of the European Commission, but also to respect the directives of the MIUR (of 8/11/2011) for 2012 especially as regards the monitoring of the implementation of the recommendations contained in the already mentioned documents at a national and European level. The main objectives were to:

- carry out the necessary modernisation of national regulations, to make our country more welcoming and stimulating for researchers of any background or nationality, thus laying the basis for a substantial reassessment of national and international research.
- apply the Charter and Code in a concrete manner to better attract highly qualified applicants.
- gain recognition so as to be able to use the title "HR excellence in Research", which will enable individual institutions to add to their international visibility and will constitute a decisive element in any future request for funding from the European Union.

The main aims of the Internal Analysis were to build up a reliable picture of the level of awareness and individual and collective perception of the principles and general rules contained in the C&C and to upgrade HRS in such a way as to make it normal practice in the politics and processes of the University.

### ***THE QUESTIONNAIRE***

The questionnaire was divided into four main sections, reminiscent of the main themes in the C&C, with a final open ended consultative part: on the one hand the University asked for a response to the good practice already adopted or to be adopted in the University, while, on the other, it asked respondents for their own suggestions so as to involve those most directly interested in the choices to be implemented.

## **2014, May - Establishment of the second Working Group**

After a break due to changes in the governance of the University, a new Working Group was established in May 2014, following the recommendation of the EU assessors to include early-stage researchers.

The new Working Group is composed of the following members:

- Contact person for the C&C Working Group  
Andrea ZANNINI, full professor
- members of the C&C Working Group  
Silvia BOLOGNINI, research associate  
Giulia GIORDANO, PhD candidate  
Caterina GUARDINI, PhD candidate  
Alessandra POZ, fixed term collaborator  
Nicolo DOSSI, fixed term researcher  
Raffaella MEDEOT, research area  
Franca CAUFIN, research area



Silvia DE LIDDO, administration and personnel area

## **2011/2015 - Implementation of the Principles of the Charter & Code**

While the request for recognition and the title "HR excellence in Research" from the European Commission was being made, the University of Udine proceeded, as it had done for some time, to adopt the principles of the C&C autonomously.

As mentioned in the premise, in light of the observations made by the EC assessors and the indications from the Comprehensive Internal Analysis 2012, activities designed to improve the working conditions and foster awareness among researchers of their rights and duties by offering new services, benefits, educational opportunities and participation in the life of the academic community, were started up throughout the period.

The most important steps which have been taken since 2012 in the four areas identified by the C&C are listed below. The aim is to demonstrate that most of the gaps identified in the First Human Resources Strategy (2011) and in the Second Human Resources Strategy (2015) have already been filled both through changes in the internal regulations of the University and in the application of a range of good practices. The beginning of each section highlights the major areas of concern as gleaned from the Internal Gap Analysis 2010/2011 and from the Comprehensive Internal Analysis 2012.

### **1) ETHICAL AND PROFESSIONAL ASPECTS**

The **Internal Gap Analysis 2010/2011** noted the need or the opportunity to:

- define the principles and values recognised and shared by the academic community;
- promote awareness among researchers of their rights and duties as set out in legal, contractual and professional regulatory requirements;
- share in the University's strategies and their implementation by the whole academic community;
- evaluate the activities of the researchers and the areas they are affiliated to in an effective and transparent manner as part of the process of governance in the University;
- utilize the research results and make them available to the public (where possible).

The **Comprehensive Internal Analysis 2012** noted the need or the opportunity to:

- encourage autonomy and provide suitable professional tools for research activity;
- ensure the teaching load does not impede the carrying out of research activity especially among young researchers;
- promote the participation of researchers and PhD students in collegial bodies and/or groups or commissions;
- establish criteria for the award of merit including motivational leadership of research groups involving young researchers;
- promote the respect for all the prescriptions of the ethical code.
- provide a clear ruling on the relationship between internal employees who also work for external companies and the spin offs from the University in such external situations (conflicts of interest)
- achieve a fair balance between external consulting and scientific work

<b>PRINCIPLES of C&amp;C</b>	<b>ACTIONS IMPLEMENTED from 2011 to 2015</b>
<p><b>Principle 1 Research freedom</b> Promote the autonomy, independence and creativity of researchers</p>	Provision of prizes / competitions for the most innovative ideas particularly those connected with the creation of start-ups (Business Plan, competition StarT Cup FVG since 2015 in collaboration with business associations)
	Establishment of a special prize for innovative doctoral theses (PhD Award UniUD)
	Organisation of a PhD Expo of the research activities conducted by PhD candidates
	Establishment of a special prize for the most popular scientific posters in the PhD Expo UniUD
<p><b>Principle 2 Ethical principles</b> Promote and publicise the contents of the C&amp;C to raise awareness of the role and responsibilities associated with the figure of the researcher</p>	Creation of a web page devoted to the C&C on the University web site including a complete version in English (updated December 2015)
	Updating of some internal regulations in response to C&C indications in the following areas: the university statute; regulations concerning incompatibility with external work and collaboration and the employment of researchers
	Involvement of both post doc and PhD fixed term researchers, in work groups concerning the adoption of the principles of C&C
	Creation of a new C&C workgroup composed of representatives of the various professional research figures (professors and senior lecturers, permanent and fixed term researchers, PhD students, administrators)
<p><b>Principle 11 Evaluation/appraisal systems</b> publicise the culture of quality, evaluation and merit</p>	Creation of a quality control system and adoption of a University policy on quality
	Establishment of systems for allocating resources connected to the productivity and evaluation of the quality of the research
	Organisation of periodic evaluation meetings, together with representatives from the National Agency for Evaluation (ANVUR) to highlight the importance of evaluative tools and to foster the divulgation of the culture of evaluation and meritocracy
	Introduction of a periodic quality evaluation of the PhD courses and the consequent adoption of a system to allocate doctoral grants to courses on the basis of their quality
	Adoption of a final evaluation of PhD students with the contribution of external reviewers
<p><b>Principle 3 Professional responsibility</b> <b>Principle 31 Intellectual property rights</b> Improve knowledge of the principles regulating intellectual property rights and protection from plagiarism, increasing the ability of the University to protect the work of its researchers and guaranteeing the widest divulgation of research results while respecting copy right and contractual and legal obligations</p>	Acquisition of an anti-plagiarism software at the moment being trialled
	Adoption of an open access policy in line with the indications of the "Berlin Declaration" regarding open access to scientific and humanistic literature
	Setting up of an open access institutional archive for doctoral theses ( <a href="https://dspace.uniud.cineca.it/">https://dspace.uniud.cineca.it/</a> )
	Setting up of an open access institutional archive for all scientific work by all researchers ( <a href="https://air.uniud.it/">https://air.uniud.it/</a> )

<p><b>Principle 8 Dissemination, exploitation of results</b> <b>Principle 9 Public engagement</b> Disseminate and share scientific knowledge, fostering interaction between researchers, the local area and society in general in order to identify the priorities and interests of the public at large</p>	Implementation of initiatives for the dissemination of scientific knowledge (PhD Expo, Notte dei ricercatori, Conferenze "Aperture", Conoscenza in festa ...).
	Organisation of conferences / lessons given by researchers in non academic settings and participation in events, to disseminate research results, organised by third parties
	Promotion of ongoing activities to inform the public at large of research progress and results via the media (the press, radio, TV, web sites, social networks)
	Creation of a web page on the University website ( <a href="http://www.uniud.it/it/area-magazine/futuro">http://www.uniud.it/it/area-magazine/futuro</a> ) devoted to the promotion and dissemination of research results that benefit the local area
	Creation of an office concerned with disseminating information about the scientific research work of the University
	Adoption of a policy for sourcing doctoral grant finance from local companies to foster collaboration in areas of common interest and eventual employment of doctoral research students in the aforesaid companies
<p><b>Principle 10 Non discrimination</b> <b>Principle 27 Gender balance</b> Raise awareness to prevent discrimination in any setting and increase positive action for equal opportunities so as to improve the sense of well being in the organisation</p>	Setting up of projects to utilise research results (R2B, Pocrn, InNet, .....)
	Approval of the University ethical code in 2012
	Establishment of a special Guaranteeing Committee for equal opportunities according to article 21 of law no. 183/2010
	Adoption and completion of the Plan for positive action 2013-2015
	Organisation of initiatives to monitor the sense of well being in the organisation and to encourage respect for equal opportunities in an environment and work conditions favourable to them

## 2) RECRUITMENT

The **Internal Gap Analysis 2010/2011** noted the need or the opportunity for:

- Sharing the principles and values laid down by the UNIUD academic community on the part of new researchers;
- widespread dissemination of information about public announcements for the recruitment of researchers to guarantee the greatest possible participation in the selection process;
- verification of selection procedures in line with international practice;
- guidelines for the evaluating commissions to guarantee the correctness of the evaluative procedures;
- more broadly based evaluating commissions, as these are usually comprised only of academic members

The **Comprehensive Internal Analysis 2012** noted the need or the opportunity for:

- a clear and wide publication of the announcements of competitions

- an impartial assessment, serious and based on a clear assumption of responsibility by the evaluating commission
- public exams open also to candidates from other countries
- transparency and verification of the procedures used
- verification of the suitability of the candidate's specific research competencies for the themes developed by the research group in which they are to be placed
- attribution of greater importance to interdisciplinarity/placement in research groups and publications/international experience
- streamlining of the procedures, assessment criteria decided beforehand, and introduction of assessment procedures for research in the departments

<b>PRINCIPLES of C&amp;C</b>	<b>ACTIONS IMPLEMENTED from 2011 to 2015</b>
<b>Principle 12 Recruitment</b> <b>Principle 13 Recruitment (Code)</b> <b>Principle 14 Selection</b> <b>Principle 15 Transparency</b> <b>Principle 16 Judging merit (Code)</b> Increase, for recruitment purposes, the visibility of all the positions vacant (including short term ones) guaranteeing and simplifying access to information that should always be available and up to date	Updating of the internal regulations concerning recruitment based on the C&C principles for contract researchers, doctors and post docs
	Redefinition, in line with the C&C, of ways to regulate incompatibility with external work and collaboration
	Continuous and regular posting of announcements on the EURAXESS site for all available posts including short term positions and those involving study grants
	The posting of announcements for recruitment, in accordance with the principles of C&C, on the University web site in both Italian and English and disseminated via mail and in the appropriate specialist reviews
	Adoption of digital procedures for the presentation of candidates in the recruitment announcements for researchers and PhD students
	Inclusion in selection commissions for PhD students and researchers of external members coming from other universities or research centres with, where possible, a careful balance between the members
	Adoption of evaluation procedures to compare candidates in line with international practice (evaluation of qualifications and, possibly long distance, interviews)
	Adoption of internal measures, in accordance with specific national indications, to cover conflict of interest situations

### 3) **WORK AND SOCIAL SECURITY CONDITIONS**

The **Internal Gap Analysis 2010/2011** noted the need or the opportunity for:

- an effective and transparent evaluation of the activities of researchers and the areas they are affiliated to, as part of the governance of the University (allocation of resources to areas and researchers);
- Increase in the services offered to researchers on entry (visas, residence permits, lodging etc...);
- integrated management of the University resources (equipment etc.) available to researchers;



- representatives of non permanent researchers in the colleges of the areas of research and the University;
- prompt information about the activities carried out in the University

The **Comprehensive Internal Analysis 2012** noted the need or the opportunity for:

- respect for the individual and their professional role
- suitable and easily accessible space and facilities for trainee researchers
- internal spaces for informal discussions (common rooms)
- the organization of compulsory courses concerning safety with an environmentally friendly emphasis in the work place
- the creation of a guide outlining the rights and duties (relevant regulations, definition of individual professional standards, teaching activities and/or research, holidays, teleworking, safeguards, social welfare and pensions etc...)
- encouragement in the formation of interdisciplinary networks and/or research groups

<b>PRINCIPLES of C&amp;C</b>	<b>ACTIONS IMPLEMENTED from 2011 to 2015</b>
<p><b>Principle 4 Professional attitude</b>  <b>Principle 7 Good practice in research</b>  <b>Principle 23 Research environment</b>            Improve researcher working conditions (in every phase of their career) offering an stimulating environment appropriate for research activity</p>	Provision of a sum of money once only for researchers as recompense for teaching, research and institutional activities
	Increase in the facilities and support services for the disabled
	Procedures / safety policy
	Updating of the site reserved for researchers with information about procedures and the documents needed for the presentation and management of projects
	Setting up of a support facility for the presentation of research projects with the creation of a special working group (SCOPRI) and the activation of research help sites in the departments (to be completed)
	An increase, with the backing of the Udine Council and in collaboration with SAF Autoservizi, in the number of buses connecting the railway station, the town centre and the science campus
	Provision of a car and bicycle service to move around more comfortably and rapidly between the various university sites in the town
	Establishment of a fund to cover maternity costs for post docs and contract researchers
	Compilation of a list of university research work (basic project data, map of competencies ...)
	Creation of a data base of the laboratories and scientific facilities
	Adoption of the university strategic plan for research and teaching in 2015 and the subsequent activation of departmental strategic plans in 2016
	A questionnaire on organisational well being for teachers and researchers in the project Best Practices which involved a number of Italian universities



<b>Principle 27 Gender balance</b> <b>Principle 35 Participation in decision-making bodies</b> Encourage researcher involvement in decision making activities in the University	Creation of a representative system for doctoral students on the boards of their doctoral courses
	Action by the Guaranteeing Committee to guarantee adequate female representation in the decision making of the University
<b>Principle 18 Recognition of mobility experience (Code)</b> <b>Principle 19 Recognition of qualifications (Code),</b> <b>Principle 29 Value of mobility</b> Promote the internationalisation of the researcher's professional competence and to create scientific and company networks	Start up of hospitality projects for foreign PhD students (integration of grants for staying in Udine, access to the services of the welcome office)
	Start up of projects to help PhD students staying in universities and research centres in foreign countries
	Inclusion in doctoral regulations of a minimum period of three months' research activity (during the PhD) to undertake in companies or universities / research centres outside UniUD
	The setting aside of resources to finance research periods, of at least six months, in other countries
	Adoption of regulations for the recognition of the title "Dr. Europeus"
	Activation of a service to aid the presentations of international mobility projects
<b>Principle 30 Access to career advice</b> Give guidance to young researchers on their future professional opportunities	Revision of the University and departmental web sites with the creation of a complete English language version
	The creation, in 2014, of the Career Centre, a job placement office, designed to facilitate contacts between graduates and researcher PhDs and the world of work and the professions, offering an up to date overview of any eventual occupational opportunities

#### 4) TRAINING

The **Internal Gap Analysis 2010/2011** noted the need or the opportunity to:

- organise specific courses for researchers;
- publicise the Formative Plan among the whole academic community (all recipients: e.g. administrative technicians, researchers etc.) to guarantee the widest possible accessibility.

The **Comprehensive Internal Analysis 2012** noted the need or the opportunity to:

- promote courses oriented to research and teaching for the academic community, as well as courses to disseminate knowledge of the regulations, the ways of evaluating research projects and the manner in which the University and the relevant ministry are organised
- define a complete and interdisciplinary training programme for young researchers
- define a specific update plan with reference to mentoring and supervision activities
- promote work experiences in public or private industries/companies
- promote the training abroad with the possibility of a mobility grant



PRINCIPLES of C&C	ACTIONS IMPLEMENTED from 2011 to 2015
<p><b>Principle 3 Professional responsibility</b>  <b>Principle 29 Value of mobility</b>  <b>Principle 38 Continuing Professional Development</b>  <b>Principle 39 Access to research training and continuous development</b></p> <p>Promote an on-going educational process for researchers in all phases of their career            Raise awareness of legal protection and intellectual property rights connected with scientific research</p>	<p>Creation of the research training office in 2011</p> <p>Activation in 2012/13, in collaboration with the University of Trieste and the international High school for advanced studies in Trieste, of three intensive international PhD summer schools on innovative themes and an intensive interdisciplinary PhD Spring school; the initiatives involving students in PhD courses from universities in the FVG and Veneto regions</p> <p>Definition in 2013, starting from 1.1.2014 and constantly updated and implemented ever since, of a continuous inclusive and interdisciplinary educational plan designed, in the first place, for PhDs and post docs but open also to the whole academic community. The following courses are activated annually or if necessary more frequently:</p> <ul style="list-style-type: none"> <li>➤ seminar on the rights and duties of researchers in all phases of their career</li> <li>➤ seminar on the contents of the C&amp;C, student prospects and their pathway through UniUD according to the definition of the University's Human Resources Strategy for Researchers incorporating the C&amp;C (strategy and action plan)</li> </ul> <p>LANGUAGE COMPETENCES</p> <ul style="list-style-type: none"> <li>➤ an EAP course - English for Academic Purposes (two each year, financed by the University, includes a final test)</li> <li>➤ an ESP course - English for Specific Purposes (one each year, accessible via the EAP course)</li> </ul> <p>INFORMATION TECHNOLOGY COMPETENCES</p> <ul style="list-style-type: none"> <li>➤ course introducing the university's information resources (online library search; the search process, sources and tools for bibliographic searches)</li> <li>➤ courses in information science (starting from 2016: advanced office automation, advanced network search, advanced statistical tools)</li> </ul> <p>HEALTH AND SAFETY AT WORK COMPETENCES (article 37 legislation number 81/2008 State and regional agreement 21.12.2011)</p> <ul style="list-style-type: none"> <li>➤ general basic course in safety (attendance certificate, formative credit)</li> <li>➤ specific course in safety 1 (document of attendance, formative credit)</li> <li>➤ specific course in safety 2 (document of attendance, formative credit)</li> </ul> <p>Module on HOW TO UTILISE RESEARCH RESULTS AND INTELLECTUAL AND INDUSTRIAL RIGHTS</p> <ul style="list-style-type: none"> <li>➤ Open Access seminar (intellectual property, access to scientific information, copyright, author's rights, plagiarism; University Open Access policy)</li> </ul>



	<ul style="list-style-type: none"> <li>➤ seminar about the instruments and strategies required in digital environments to protect industrial copyright (patents, brands, plant varieties etc.)</li> <li>➤ seminar on how to set up a business (market analysis, business model and business plan, owners' and organisational assets)</li> </ul> <p>Module on HOW TO MANAGE RESEARCH, LEARN RESEARCH SYSTEMS AND FINANCE PROCEDURES</p> <ul style="list-style-type: none"> <li>➤ seminar on research finance opportunities (general indications, sources and strategies for research and finance tools, useful sites for information on announcements)/from 2015</li> <li>➤ a cycle of seminars on national and international research design (techniques for designing research; project design; structuring a project proposal: preparation, development process, budgeting)/from 2015</li> <li>➤ seminar HORIZON 2020 (European programme for research and innovation 2014-2020)/from 2016</li> <li>➤ seminar on European and international mobility (national and international mobility programmes, Marie Curie activities in HORIZON 2020 e others)/from 2016</li> </ul> <p>Module EFFECTIVE COMMUNICATION ( from 2015)</p> <ul style="list-style-type: none"> <li>➤ a cycle of seminars on communication in public (public speaking: theoretical and practical elements, techniques of verbal and interpersonal communication, techniques of elevator pitch, storytelling, scientific presentations)</li> <li>➤ a cycle of seminars on written communication (techniques of written communication: strategies for writing a research project or a scientific article effectively, use of social media, techniques of elevator pitch, story writing)</li> </ul> <p>Module JOB SEARCHES (from 2016)</p> <ul style="list-style-type: none"> <li>➤ seminar on active job searches (recruitment tools and techniques, job placement, the European CV, job interviews, settling into work etc.)</li> <li>➤ seminar on the professional competences required by companies and on types of work contract (opportunities, flexible working and employee status)</li> </ul> <p>OTHER TRAINING INITIATIVES</p> <p>Planned on request and according to the needs for such training (updated and in continuous evolution)</p> <p>Posting on the University web site of a link devoted to educational activities for PhD students (from 2016)</p> <p>Publicisation of all the initiatives for the whole academic community via the events page of the UniUD site and via specific mail (main recipients: PhD students, post docs, contract researchers, PhD coordinators and departments)</p>
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### **2015, September - second Human Resource Strategy and second application for the 'HR excellence in research' award (see ANNEX 5)**

In the summer of 2015 the new Working Group for the C&C outlined a new Human Resource Strategy in the form of an Action Plan. They took into consideration the results of the Internal Gap Analysis 2010 and the comprehensive Internal Gap Analysis 2012 and compared them with the steps taken in the meanwhile by the University of Udine to implement the principles of the C&C. This group after consulting with all areas of the University formulated the new Action Plan which was sent first to the Senate for approval in September 2015 and then to the Euraxess Rights Team in October 2015.

### **2016, January - Assessment by the EU assessors on the second Human Resource Strategy (see ANNEX 6)**

The most important comments from the three assessors were:

- the documents submitted for the first application in 2011 were not given to the reviewers, so that an informed assessment in the framework of this new application was not possible
- the gap analysis was not really well presented and the participation rate of the researchers in the survey was questionable : only a 32% participation rate, too low to be representative
- the action plan covered many of the principles of C&C; however, not all of the actions correlated with the results of the questionnaire carried out for the gap analysis
- the action plan was designed for a three year period, from 2014 to 2016. As it was almost 2016, the action plan would be operative for only one more year and would therefore need to be updated at least until the end of 2017 (2-year plan)
- the documents were not easily accessible on the web

### **2016, May - University of Udine HRS Human Resource Strategy application (updated text 2016, May)**

In consideration of the observations expressed by the EC assessors, the Action Plan and HS4C&C of the University of studies of Udine was readjusted and updated in order to obtain the recognition of the "HR excellence in research" award.

The Action Plan was reformulated on a clearer plan as follows:

- the problem identified;
- the goal/task of the action;
- the planned action;
- the offices in charge of implementing the action;
- the timing;
- the result indicators.

The time frame to carry out the scheme was recalculated for the three years 2016 - 2018.

Specific attention was paid to the following observations:

<b>REMARKS by the INDEPENDENT ASSESSORS</b>	<b>NOTES by the UNIVERSITY of UDINE</b>
<b>Gap Analysis</b>	
"The documents for the first application in 2011 were not provided for the reviewers"	The documents are now included in this file
"The following points remain unclear: constitution of the working group..."	The constitution of the new Working Group and its components are described in this file
"... overarching HR strategy of the institution..."	The overarching HR strategy of the institution is now available in the University Strategic Plan 2016-2018
"... original gap analysis with description of the rules and practices in place at national and institutional level"	The Internal Gap Analysis 2010/11 and the Comprehensive Internal Analysis 2012 are now included in this file. The overall Italian legislation on the University is available on the MIUR website. The Statute of the University of Udine is available on its own website.
"The participation rate of the researchers in the survey is questionable: only 32% of participation, low for being considered as being representative"	Participation has been higher among young researchers (69,92%), The general rate is similar to that of other Italian Universities (Padova, Palermo) which have already been accorded the 'HR excellence in research award'
"It appears that the original gap analysis and action plan have to be revised, with a clear identification of the achievements during the last 2 years"	The Action Plan, completely revised, is part of this application. From 2012 onward, the University of Udine has constantly updated its HR Strategy so as to adapt it to the principles of the C&C.
<b>Institutional HRS for Researchers/Action Plan</b>	
"not all of the actions [of the Action Plan] correlate with the results of the questionnaire carried out for the gap analysis"	The new Action Plan has been revisited following this suggestion and by adopting a new format that more effectively correlates the problems identified with the action plans and the result indicators.
"The action plan is now only for the next year and needs to be updated at least until the end of 2017"	The Action Plan has been updated for the period 2016-2018
"Nothing is said on the internal follow-up and internal review process..."	See following point of this file.
"... and how the researchers will be involved in the near future".	Two young early-stage researchers have recently joined the Working Group: Martina Lorenzoni – post doc Anna Zuliani - PhD candidate
<b>Publication</b>	
"The documents are really difficult to find"	All the documents on C&C are duly uploaded on the web site
"They should also be available in English"	All the documents are now available in English

Hereinafter the updated Action Plan of the University of Udine

**HUMAN RESOURCES STRATEGY and ACTION PLAN  
2016-2018 University of Udine  
May, 2016**

**Charter & Code - General Principles**

<b>C&amp;C General Principles : Promotion and dissemination</b>					
<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Poor knowledge of C&C principles	Promote information about C&C and encourage the reception of its prescriptions	Continuous update of the web page devoted to C&C and to the University of Udine's Human Resources Strategy and Action Plan	ARIC, AINF, C&C WG	Continually	Number of visits to the web page
		Organization of seminars on the European portal EURAXESS/Researchers in motion and on his services on jobs, fellowships, rights and C&C, mobility	ARIC, C&C WG	Periodically from 2017	Number of organized seminars



## Ethical and professional issues

### **1. C&C Principle: Research freedom**

*Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Insufficient knowledge on the part of the researchers of their rights and duties as outlined in existing legislation	Raise awareness of the professionalism and role of the researcher as outlined in the C&C	Organization of seminars on the autonomy and the independence of scholarly research open to the whole academic community	ARIC, C&C WG	Periodically from 2017	Number of organized courses
		Creation of guidelines for mentors and for supervisors in accordance with C&C principles	ARIC, C&C WG	2017	Publication and dissemination of booklets containing guidelines
		Creation of a handbook for PhD students and young researchers	ARIC, C&C WG	2017	Publication and dissemination of the handbook
		Institution of a special Award for the most innovative PhD poster	ARIC	from 2016	Number of assigned awards



**2. C&C Principle: Ethical principles**

*Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Lack of information about the University's ethical code	Promote the knowledge of the University's Code of Ethics among researchers and external stakeholders	Insertion of a reference to the Code of Ethics in the preamble of every agreement and contract with external organisations	ARIC, ALEG, APER	2017	Adaptation of standard contracts with the principles of the code of ethics
		Creation of a web page in a bilingual version dedicated to the Code of Ethics	APER, ALEG	2018	Number of visits to the web page
		Definition of Guidelines for Industrial Research, to encourage the activity of University researchers in external companies, and the participation of University employees in external enterprises and spin-offs	ARIC, ALEG, APER	2017	Publication of guidelines
Lack of any formal commitment on the part of the researchers to the ethical code	Ensure that all the members of the academic community genuinely respect the University's Code of Ethics	Creation of a form to be signed by all current researchers stating adhesion to the ethical principles	APER, ALEG	2017	Number of adhesion forms signed



**3. C&C Principle: Professional responsibility**

*Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly cited. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Lack of any guidelines to prevent plagiarism	Enhance the ability of the University to protect the unpublished work of its researchers	Diffusion of anti-plagiarism software and the necessary provision of information and training in its use	ARIC	2016	Number of researchers who use the software

**4. C&C Principle: Professional attitude**

*Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Need to share the general objectives set out in the University's Strategic Plan with the whole academic community	Enhance the knowledge and reception of the University and departmental strategic objectives throughout the departments	Informative meetings to share, discuss and embrace within each department the guidelines in both the University and departmental Strategic Plans	Departments	2018	Number of meetings organized in each department

**8. C&C Principle: Dissemination, exploitation of results**

*All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Need to increase the number of research result publications on Open Access	Ensure the widest dissemination of the results of scholarly research in full compliance with property or commercial rights	Implementation of an institutional Open-Access Archive for the registration, authentication, conservation and diffusion of scholarly research	University governance boards ARIC	2016	Percentage of products on Open Access

**9. C&C Principle: Public engagement**

*Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Lack of a plan for the communication and divulgation of research results	Spread and share scientific knowledge; allow non-specialists to understand research activities carried out at the University; allow researchers to interact with society at large and to understand the public's priorities and concerns	Definition of a plan for the communication and divulgation of research results	University governance boards ARIC	2017	Implementation of the communication plan



**10. C&C Principle: Non discrimination**

*Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Possible risk of discrimination	Improve positive action in the field of gender equality and opportunity and the prevention of every form of discrimination	Accomplishment of the scheduled Plan of Affirmative Action 2016-2018	Specific guaranteeing committee	End of 2018	Number of objectives of the Plan achieved
	Raise awareness of non-discrimination and presenting the University as an equal opportunity Employer	Translation into English of the web page of the Specific Guaranteeing Committee for equal opportunities	AINF Specific guaranteeing committee	2017	Full translation
Lack of an English language version on the University web site	Make the website of the University and the webpages of the Departments more accessible to international users as well	Preparation of an English language version of the main pages of the web sites of the University and of all Departments	AINF, SCOM and Departments	From 2018	Translation of 50% of the pages of the website



## Recruitment

### **15. C&C Principle: Transparency (Code)**

*Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Information about positions available not always easily accessible	Increase the visibility of open positions (including PhD and short-term positions) and make information always available for applicants	Creation of a specific webpage on the University website with all the information about all the available positions, included all forms of short-term contracts or grants	ARIC, AINF, SCOM	End of 2016	Realization of a web page
	Increase the available information and transparency of the selection procedures	Provision of a short description of the different stages of the selection process on the same webpage as all other information about the position available	ARIC, AINF	2017	Insertion of the description of the different stages in the web page



## Work and social security conditions

### **23. C&C Principle: Research environment**

*Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including what is needed for distance collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Lack of common areas for informal meetings to foster the exchange of experiences and knowledge also between different areas of research	Provide a research environment which offers appropriate facilities and opportunities	Creation of spaces and provision of appropriate equipment to carry out research	University governance boards, ABIL, ALOG, SPEP	End of 2018	Number of spaces created
		Identification of locations to accommodate a coffee/common room in each department	University governance boards, ABIL, ALOG, SPEP	End of 2018	Number of spaces created



**24. C&C Principle: Working conditions**

*Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Possible risk of mobbing	Prevent mobbing in all its forms and safeguard employees' psychophysical well-being	Definition of an anti-mobbing action plan and determination of strategies to improve the working conditions of the individual	Specific guaranteeing committee	2018	Completed plan
Need to provide spaces, facilities and amenities which can easily be accessed by disabled people	Improve working conditions through the elimination of any residual architectural barriers	Census update of the remaining architectural barriers and implementation of a feasibility study for their elimination	ALOG, SPEP, Specific guaranteeing committee	2017	Updated census
Need to raise the awareness of health and safety issues at work which are not equally known to all researchers	Improve the knowledge and skills of researchers as regards health and safety in the context of the research activities carried out within the University	Implementation of a plan for risk prevention among researchers and its propagation through specific training initiatives	SPEP	2017	Number of courses organized
No perception of researchers satisfaction and individual sense of well being	Create situations to encourage well being and to improve the working conditions and the life of the University community	Start up of a project to monitor the researchers' sense of well being in the organisation	Specific guaranteeing committee	2018	Survey conducted

**29. C&C Principle: Value of mobility**

*Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Need to increase the services offered to the researchers on entry (for visas, residence permits, lodgings etc.)	Acknowledge the value of mobility and increase the possibilities of scientific exchange with professors and scientists as they move around	Adoption of regulations covering visiting professors	University governance boards ARIC, ALEG, APER	From 2017	Guidelines adopted
		Creation of a specific webpage devoted to the outgoing mobility of researchers (opportunities, tasks, coverage)		From 2017	Web page created

**30. C&C Principle: Access to career advice**

*Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Need to encourage career paths for researchers also outside the academic context	Guide young researchers in their future career prospects	Organization of seminars about how to write a CV, job interviews, job placement, professional competences etc. (mandatory for PhD students, open to the whole academic community)	ARIC	Periodically from 2016	Number of seminars organized



		Extension of services, offered by the Career Centre to bachelor students, also to PhD students	ASTU	From 2017	Number of PhD students reported to companies
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**35. C&C Principle: Participation in decision-making bodies**

*Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Poor involvement of post doc researchers in the departments	Engage researchers at the beginning of their careers in the life and the organization of the University	Definition of actions to promote the introduction of a representative of researchers with short-term positions (research fellows, experts on the subject) in each Board of Department	University governance boards ALEG	From 2017	Number of departments participating

## Training

**36. C&C Principle: Relation with supervisors**

*Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>



No clear definition of the duties and responsibilities of the supervisors	Create a broader culture of the duties and responsibilities of supervising or mentoring early-stage researchers	Implementation of a survey on the tasks and the best practices of mentoring and supervising, based on anonymous questionnaires to be compiled by early-stage researchers (PhD students, research fellows, etc.)	ARIC, C&C WG	From 2017	Survey conducted
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**39. C&C Principle: Access to research training and continuous development**

*Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.*

<b>Problem identified</b>	<b>Goal/Task</b>	<b>Planned actions</b>	<b>Offices in charge</b>	<b>Timing</b>	<b>Results indicators</b>
Need for specialised training and updates for all researchers	Create a tool to monitor researcher satisfaction of the training offered	Introduction of a customer satisfaction questionnaire for the training courses organised for PhD students at the end of the three years of the doctorate	ARIC	from 2017	Number of completed questionnaires
	Support ongoing training and updating for researchers at all stages of their career	Devising of a training and updating programme specifically for senior researchers	ARIC	End of 2017	Training plan for senior researchers implemented
	Guarantee the widest possible accessibility to training opportunities for all researchers	Creation of a web page to include all the training initiatives available for researchers	ARIC, C&C WG	End of 2018	Number of visits to the web page

## **KEY**

ARIC - Research Services Area/Area servizi per la ricerca  
ABIL - Administration and Budget Area/Area amministrazione e bilancio  
AINF - Computer and multimedia services Area/Area servizi informatici e multimediali  
ALEG - Legal and institutional affairs Area/Area affari legali e istituzionali  
ALOG - Building & logistics Area/Area edilizia e logistica  
APER - Organization and personnel Area/Area organizzazione e personale  
CUG – Specific guaranteeing committee/Comitato unico di garanzia  
SCOM - Communication Service/Servizio comunicazione  
SPEP – Integrated services for prevention and protection/Servizi integrati di prevenzione e protezione

## **2016, May – Assignment of the follow-up tasks of the Action Plan to the Quality Control Panel**

Following the decisions of other universities who have already implemented the C&C and to optimise resources without wasting competences, it has been decided to assign the follow up to the implementation process of the C&C to the Quality Control Panel of the University of Udine, which will therefore act as a steering committee. The Quality Control Panel of the University of Udine is composed of the following members:

- Coordinator for the Quality Control Panel  
Alessandro GASPARETTO, full professor
- members of the Quality Control Panel  
Andrea GUARAN, researcher  
Alvisa PALESE, associate professor  
Stefano COMINO, associate professor  
Lauro SNIDARO, researcher  
Sandra SALVADOR, research area  
Mauro VOLPONI, planning area and directional control  
Cristina ZANNIER, services area for didactics  
Gianpiero BRUNO, planning area and directional control  
Renzo SHTYLLA, student