

[Doc1] GAP ANALYSIS - PROCESS

Case number:	2018ES328092
Name Organisation under review:	Universitat de Girona (UdG) (http://www.udg.edu)
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SUBMISSION DATE: **PENDING**

DATE ENDORSEMENT CHARTER AND CODE: 10 October 2018

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Management line/ Department
Quim Salvi	Rector	Executive Council HRS4R Steering Committee
Elena Ribera	General Manager	Executive Council HRS4R Steering Committee
Maria Martín	Deputy to the Rector for Infrastructures and Scientific and Technical Resources	Government team HRS4R Coordinator HRS4R Steering Committee HRS4R Implementation and Monitoring Committee
Maria Pla	Vice-Rector for Research and Knowledge Transfer	Executive Council HRS4R Steering Committee HRS4R Implementation and Monitoring Committee
Joan Andreu Mayugo	Vice-Rector for Staff Management	Executive Council HRS4R Steering Committee HRS4R Implementation and Monitoring Committee
Josep Daunis	Vice-Rector for Quality and Transparency	Executive Council HRS4R Steering Committee HRS4R Implementation and Monitoring Committee

Name	Position	Management line/ Department
Jose Antonio Donaire	Vice-Rector for Communication and External Relations	Executive Council HRS4R Steering Committee
Sílvia LLach	Vice-Rector for Territory and Social Commitment	Executive Council
Josep Calbó	Vice-Rector for Strategic Projects	Executive Council
Miquel Solà	Director of the School of Doctoral Studies	Executive Council HRS4R Steering Committee
Anna Pla	Delegate to the Rector for Gender Equality	Government team
Sílvia Simón	Delegate to the Rector for Promotion and Dissemination	Government team HRS4R Steering Committee
Jaume Feliu	Delegate to the Rector for the Territory and Sustainability	Government team
Isabel Muradas	Technician of the General Manager's Office in Support of Strategic Projects	General Management HRS4R Steering Committee Implementation and Monitoring Committee
Helena Montiel	Head of the Office for Research and Knowledge Transfer	Office for Research and Knowledge Transfer HRS4R Steering Committee
Montse Estopà	Head of the European and International Programmes Section	Office for Research and Knowledge Transfer
Marc Sabaté	Valorisation and Transfer Technician EuKTS Professional TECNIO Public Technology Facilitator	Office for Research and Knowledge Transfer
Glòria Plana	Head of the Human Resources Service	Human Resources Department HRS4R Steering Committee
Pilar Camarero	Head of the Section for Teaching and Research Staff	Human Resources Department
Núria Vilardell	Technical and Administrative Assistant for Teaching and Research Staff	Human Resources Department
Pep Gómez	Head of the Planning and Assessment Office	Planning and Assessment Office
Nuria Mancebo	Head of the Occupational Health Office	Occupational Health Office HRS4R Steering Committee
Àngels Merino	Head of the Library Service	Library Service HRS4R Steering Committee
Brigit Nonó	Head of the Library Project Development Unit	Library Service
Meius Ferrés	Head of the Area of Communication and Institutional Relations	Area of Communication and Institutional Relations HRS4R Steering Committee
Carme Delgado	Technical Support Staff	Vice-Rectorate for Quality and Transparency
Teresa Roura	Technical Support Staff	Management Team
Josep Solé	Researcher	Head of the Department of Private Law HRS4R Steering Committee
Gerusa Giménez	Researcher	Head of the Department of Organization, Business Management and Product Design HRS4R Steering Committee
Carolina Martí	Researcher	Head of the Institute of the Environment HRS4R Steering Committee

Name	Position	Management line/ Department
Moisès Esteban	Researcher	Head of the Institute of Educational Research HRS4R Steering Committee
Josep Costa	Researcher	HRS4R Steering Committee
Marcel Swart	Researcher	HRS4R Steering Committee
Albert Artigas	Researcher	HRS4R Steering Committee
Camilo Alfredo Arévalo	Researcher	President of the Association of Trainee Research Staff (R1) at the Universitat de Girona HRS4R Steering Committee

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process. Provide information on how the above groups were involved in the GAP-analysis:

Stakeholder group	Consultation format	Outcomes
R1-R4	CAWI	<p>From 20 June to 30 June 2019, the entire research community of the institution had the chance to express their views on the application of the Charter and Code (C&C) principles at our University by completing an online questionnaire available in both Catalan and English.</p> <p>The questionnaire was sent to 777 researchers. Participation was 55%, or 428 participants, of which 16.8% were R1, 8% R2, 44.2% R3 and 31% R4.</p> <p>The Lime Survey program was used to implement computer-assisted web interviewing (CAWI). The target audience were contacted by institutional email containing an individualised link with information about and access to the online survey. On 26 June, a reminder was sent.</p> <p>The involvement of research group leaders was central to promoting the participation of the research community in the survey. The call for participation was further promoted with the hashtag #UdGHRS4R through social networks (Twitter and Instagram).</p>
R1-R4	Meetings Email queries	<p>The administrative and service staff is a key component in ensuring the successful development of the Universitat de Girona's HRS4R.</p> <p>The different structures and units gather knowledge about the strengths and weaknesses of the procedures as expressed by researchers in the various stages of their career (R1-R4). Special attention has therefore been devoted to the involvement of key structures and offices throughout the process.</p>
R1-R4	Short interviews	<p>To supplement the analysis of feedback from the online survey, a series of short non-formal interviews was conducted with 45 academics and researchers at various career stages.</p> <p>This exercise afforded the Implementation and Monitoring Committee an opportunity to delve deeper into areas identified for improvement in the online survey. The main topics addressed were research data management and open access practices.</p>

Stakeholder group	Consultation format	Outcomes
R1-R4	Work groups	<p>Four work groups were established corresponding to the thematic headings grouping the C&C principles. The work group meetings took place between 8 and 17 July 2017.</p> <p>A total of 68 researchers, at different stages of their professional carriers, and support staff participated in the discussion of the Gap Analysis, OTM-R and Action Plan drawn up by the HRS4R Coordinator and the Implementation and Monitoring Committee through an open call for participation launched by e-mail on 3 July 2019 and a remainder on 5 July.</p>
R1-R4	Meetings	Representatives of researchers (from R1 to R4) participated via the Delegate Committee for Research, Knowledge Transfer and Doctorate and the Delegate Committee for Staff. Both committees are gender- and knowledge area-balanced, to guarantee a broader view on aspects concerning research.
R1-R4	Meetings	<p>Research group leaders are essential nodes to ensure the successful achievement of the Human Resources Strategy at the Universitat de Girona. Research groups are able to provide information about the backgrounds and prospects of research professionals at different stages of their careers.</p> <p>About 31 research group leaders attended the two meetings on 28-29 May 2019. The meetings aimed to raise awareness of the relevance of the HRS4R initiative, explain the procedure and the steps to be undertaken, and outline the main outcomes of the HRS4R's Initial Phase and the activities planned for the Implementation Phase.</p>
R1-R4	Meetings	<p>The involvement of various stakeholders and key actors behind the enactment of the HRS4R initiative at the Universitat de Girona was ensured by their contributions on the Steering Committee.</p> <p>Two meetings took place during the Initial Phase. The first, on 27 July 2018, coincided with the endorsement of the institution's letter committing itself to the HRS4R initiative after a discussion on the methodology and main activities to be undertaken. During the second meeting, on 10 July 2019, the main results of the Initial Phase of the HRS4R, including the analysis of the survey conducted, were discussed in conjunction with planning for the proposed Implementation Phase.</p>

Please describe how was appointed the Committee overseeing the process:

On 27 June 2018, the UdG set up a **Steering Committee** chaired by the Rector to monitor the Gap Analysis and Action Plan developed in this proposal. The Steering Committee members, initially 21 and then extended to 24 for the supervision of the Implementation Phase, include (see the full list above):

- Top-level representatives of the Executive Council and Governing Team
- Heads of administrative offices and services with competences in human resources, external relations, research and knowledge transfer, quality, data management and communication
- R3-R4 researchers' representatives with roles as heads of departments or research institutes
- R1-R4 researchers' representatives

An open call for participation among the representatives of researchers, heads of departments and heads of research institutes in the Delegate Committee for Staff and in the Delegate Committee for Research, Transfer and Doctoral Studies was issued. The participation of the president of the Association of Research Staff in Training at the Universitat de Girona was essential to ensure representation of R1 researchers.

Please describe how was appointed the Working Group responsible for the implementation of the HRS4R process:

The Implementation and Monitoring Committee (IMC) has overseen the executive and coordination tasks during the Initial Phase. The IMC will coordinate the Implementation Phase and review performance indicators to monitor it. The IMC will submit quarterly reports to the Steering Committee and the Governing Council about the HRS4R implementation.

For the initial phase, the Executive Council appointed as members of the Implementation and Monitoring Committee the vice-rectors and deputy rectors on the Governing Team who assume the main political duties within the scope of HRS4R:

- Maria Pla, Vice-Rector for Research and Knowledge Transfer
- Joan Andreu Mayugo, Vice-Rector for Staff Management
- Josep Daunis, Vice-Rector for Quality and Transparency
- Maria Martin, Deputy to the Rector for Infrastructures and Scientific and Technical Resources

Organizational units of the university management (vice-rectorates) are responsible for the actions to guarantee strong and coordinated participation of the administrative units. In the Universitat de Girona, thanks to its size and its consolidated organisational structure, the administrative units interface directly and easily with the governing bodies. This guarantees that the units operate in line with the strategic directions and with the involvement of the entire community.

The integration of HRS4R into the Universitat de Girona's existing structures is crucial to its effective achievement. Following this rationale, for the Implementation Phase, the administrative structure of the IMC is strengthened by the addition of a qualified technician who combines a broad view of the institution and in-depth understanding of key areas. Isabel Muradas, Technician of the General Manager's Office in Support of Strategic Projects, will assume this role.

Maria Martin will coordinate the HRS4R Implementation Phase and continue the activities already begun for the Initial Phase.