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Important message to institutions:

How do you know?

Site Visits: All HRS4R in-house audits planned for 2021 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

Action Plan

Case number: 2020IT523402

Name Organisation under review: Università degli Studi di Siena

Organisation's contact details: Via Banchi di Sotto, 55, SIENA

1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	1547
Of whom are international (i.e. foreign nationality) *	94
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	0
Of whom are women *	731
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	709
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	172



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STAFF & STUDENTS**FTE**

How do you know?

Of whom are stage R1 = in most organisations corresponding with doctoral level *

666

Total number of students (if relevant) *

17000

Total number of staff (including management, administrative, teaching and research staff) *

896

RESEARCH FUNDING (figures for most recent fiscal year)**€**

Total annual organisational budget

221494465.80

Annual organisational direct government funding (designated for research)

7127053.93

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)

7821727.33

Annual funding from private, non-government sources, designated for research

7200664.54

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

The University of Siena dates back to 1240, when a tradition of teaching and research was established in one of the most fluorescent free towns of Middle Age's Italy. Since then the attraction of international scholars and the respect of academic freedom have been cultivated within our university.

As a result of the consolidation of a strategy of internationalization enhanced over the years, today USiena is a Europe-leading teaching-research institution, but also a truly global university able to welcome a growing number of international students and researchers, thanks also to a new plan of web-based strategic communication called International Faculty.



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2. Strengths and weaknesses of the current practice

How do you know?

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

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

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Ethical and professional aspects*



How do you know?

Strengths and Weaknesses (max. 800 words)

For some time now, the University of Siena has developed a policy for the protection of academic freedom in their broadest sense - teaching, research projects, dissemination of scientific knowledge - which not only looks at formal compliance with EU and national standards but intends to keep a high and constant attention in daily work on the ethical aspects and on the quality of the profession of those who are part of the community. In line with the holistic vision of the university, consolidated since the ancient manifestations of the Studium Siena, and today in perfect harmony with the values of the EU Charter&Code for Researchers, the public ethics of the professionals working in USiena is conceived as a sum of values constructed on a daily basis and necessarily widespread throughout the community. A community whose different roles - teachers, researchers, technical staff, students - share a strong bond with society and with institutions that surround it, from the local ones in the territory to the large international and transnational research networks. Such a learning community is therefore characterized by continuous growth and parallel work on sharing the ethical dimension.

The statutory provisions and the regulations developed in the context of the regulatory autonomy conferred on the university regarding the training of personnel selection commissions go in this direction. This requires university employees to pay constant attention to gender representation, to full transparency in the definition of the evaluation criteria and in the establishment of the required professional profiles, as well as the inclusion of skills and talents that come from the less well-off society groups, from the peripheries of the world, without any kind of bias. This includes the adoption in 2021 of the Gender Budget and the Guidelines for an inclusive administrative and institutional language and the drafting of the University Gender Equality Plan is underway.

The policies that our university has pursued over the years to strengthen the inclusive and meritocratic nature of the community, starting with the solidarity provisions for students without financial means and the assistance provided to avoid bankruptcies and dropouts linked to situations of financial and personal, but also psychological hardship, are part of this "package" of values that is constantly renewed. In this sense, the support guaranteed by the DSU (Tuscany Regional Agency for the right to university study) is of fundamental importance as it guarantees the provision of scholarships and accommodation to low-income students, including many international ones. Our University has also activated a coaching and psychological counseling service for young people with difficulties. Furthermore, the idea of openness towards cultural diversity remains fundamental. An example of this

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is the financial commitment in favor of scholarships assigned within some networks, in particular Unimed and Coimbra group of European Universities, in favor of candidates from areas of the world such as Latin America, Africa and Mediterranean countries of the Middle East and North Africa.

Another crucial aspect in preserving the founding values of the community is pro bono participation in specific networks and projects for the protection of academic freedom, the values of peace and cooperation. It is in this perspective that the reorganization of the offices has recently given space to the dissemination of scientific culture, drawing the attention of the entire academic community to the centrality of public engagement activities, as a moment of restitution to the community of the investments made in research.

The recent survey developed internally on the occasion of this candidacy confirms a series of high skills - defined by the University Code of Ethics - already present in the system. Among these, namely the sharing within the university of a sense of attention towards ethical problems; respect for the intellectual property and reputation of the individual as well as of the entire university, the systematic rejection of any kind of discrimination (gender, generational, sexual orientation, racial, against physical and mental disabilities, religion or linguistic). The establishment in 2019 of the CAREUS (Committee for Ethical Research in the Humanities and Social Sciences) is part of this logic, as it is aimed at examining research methods and procedures involving human beings, to ensure that they are socially useful, in compliance with the ethics of research, and protect the rights and well-being of the humans participating in the relationship between costs and risks on the one hand and social usefulness on the other. The participation in important thematic networks such as the Italian section of Scholars at Risk and the University for Peace Network, of which USiena is co-founder is also worth mentioning.

The major critical aspects which may be identified today in the protection of public and professional ethics and on the practices to be implemented in the years to come concern an adequate availability of qualified technical personnel - legal experts but also psychologists, professional counseling experts, linguistic experts, and translators - capable of transferring knowledge of the main problems that all components of the community may encounter. In particular, it is a question of strengthening specialist knowledge relating to competition, intellectual property, codes of conduct in classrooms and laboratories.

How do you know?

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Recruitment and selection*



How do you know?

Strengths and Weaknesses (max. 800 words)

The issue of recruitment within the academic community (and in general within a still small but remarkably complex organization such as the University of Siena) has been the subject of a careful review of the procedures, and in the last phase also of a constant internal and external communication activities, aimed at avoiding inappropriate selection practices and guaranteeing full transparency in all matters concerning recruitment and career progress within the university.

Compliance with national rules on openness (for example, the rule on the minimum quota in calls for applications for Professors not intended only for the categories of "internal" members of the community who have obtained the national scientific qualification, or the one that requires the training of selection boards adequate for each scientific disciplinary sector when recruiting research staff) was not intended only as a mere procedural constraint but to reach the objective of openness and transparency in the selection of merit.

These measures, together with a careful monitoring work by the government bodies, which are echoed by the timely reconstruction conducted in a third way by the University Evaluation Unit, have long made it possible to anticipate practices that are the basis of an Open , Transparent and Merit-based Recruitment. The formal criteria for the clarification and communication of the terms have been revised over time, obtained by applying the current legislation and adding, where possible, agile but fundamental regulatory provisions on a series of elements consistent with the requirements of the checklist of the European Charter for Researchers. In particular, information on the administrative units of reference, name and contact details of projects, dates of contracts, researchers' professional profiles, skills and experiences expected from the candidates, both "mandatory" and "desirable" ones, selection procedures, general conditions of work.

The administrative reorganization of the university has allowed a correct implementation of these rules, which sees both central structures and departments as protagonists, as they are specifically responsible for recruiting positions relating to researchers. This refers to those included in the teaching staff pursuant to the provisions contained in Law 240/2010, thanks to the usual resources of the university, and those temporarily recruited on the basis of the resources found by the departments themselves through participation in national and supranational competitive calls. Procedures apply erga omnes to all positions, from those that provide for extremely short contracts on specific projects with few resources, to selections for tenure-tracked positions.

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For each of the procedures that determine some entry into the academic community of researchers in various capacities, the essential principles relating to the management of the process are respected: just think of the collegiality of the commissions and gender equality in them, the inclusion in the commissions and consultation experts bodies, including external and if necessary international ones, the connection with the private and institutional partners of the territory that contribute to the realization of the projects, the use of metric evaluation practices of qualifications in the scientific sub-communities that admit this principle, and finally judgments and arbitration in the event that the delicacy of the recruitment processes make it necessary to conduct a preliminary investigation.

The availability of an institutional repository for research products - combined with the availability of a wide range of scientific resources in electronic format, the convenient availability of a series of facilities that make up the Sienese library system and the cooperation between researchers and technical staff - allow to carry out the selection and recruitment processes quickly, ensuring full compliance with the demanded quality requirements.

A significant example of the internationalization process for recruitment at the University are some projects intended for the selection of young researchers who have obtained the Seal of Excellence, following the presentation of Individual or Postdoctoral Fellowship projects, within the Marie Skłodowska- Curie Actions of the EU, without obtaining the financing of the project, but receiving the appreciation and the title from the commission.

However, it cannot be said that the overall recruitment and selection process has shown, as indeed in the vast majority of Italian universities, only virtue and no defects at all. In particular, the issue of international mobility and in general the issue of opening up recruitment processes to a global target which is potentially very rich in researchers, are the two major elements of concern. The procedural and bureaucratic constraints imposed by the national legislation constitute the main source of inertia. Just think of the discrepancy between the rapid force-play celebration times of a junior researcher competition financed on an "expiring" fund and the long times for an extra- EU applicant to obtain recognition via certified translation of a diploma or any other qualification of merit. But local factors also contribute to a learning process that is still too slow: for example, the scarce resources made available in previous decades for international mobility, for the "at home" internationalization of structures (in particular for technical personnel) and also the still imperfect management of translations at our university.

How do you know?

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Working conditions*



How do you know?

Strengths and Weaknesses (max. 800 words)

The overall work environment that characterizes USiena and its community has always been a strong point of the university. The reputation of its researchers, the environment of academic freedom and the location of its structures in a region that is very rich both from a cultural and environmental point of view have represented the key to the attractiveness of USiena from the times of the ancient Studium until its present-day successful recent mobility schemes for students - Siena is among the cities in Italy with the highest rate of visitors for study reasons in relation to the population - and also for researchers numbers.

In more recent times, the university's efforts have focused on adapting the workplace and also on the premises for an excellent quality of life for all members of its community.

Starting from a high availability of facilities, concentrated in the historic city center- easily accessible and from a close city/countryside relationship with large green parks available, which provide for enviable living conditions- USiena is the engine of the territorial Alliance for Carbon Neutrality, which has involved the entire province and its companies, with consolidated results for years.

Moreover, researchers count on a wide network of high-level laboratories and research centers, which are located within the scientific poles, but also within prestigious research centers such as TLS Toscana Life Science, GSK, SAI -HUB and other local centers of excellence, with which the University has established solid partnerships.

This is accompanied by a cultural offer of the highest level and prestige, thanks to the presence in the city of institutions such as the Chigiana Music Academy, Siena Jazz, the Franci Musical Institute, which are a constant point of international attraction.

All these elements are reflected in the positive positioning of USiena in national and international rankings, above all for the quality of the research produced, the personal teacher/student ratio and the quality of the services. These results are at the basis of the excellent record of incoming students and the applications for positions of visiting researcher and visiting professor already received by the various departments in relation to the academic year 2021-2022.

If local and environmental conditions certainly mark a point in favor of the good attractiveness of USiena and its structures (including decentralized ones such as the medical-scientific center located outside the city center and the various decentralized structures such as, namely the densely populated

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venue of Arezzo), this is not always true about the financial conditions reserved for visiting researchers. The low elasticity of the labor market in Italy, the comparatively unattractive profile of research contracts and academic salaries in this country, especially when compared to Northern Europe and Western European countries, undoubtedly represent the main exogenous factor which may slow down a virtuous restart. However, it must be said that the goodness of research projects, the resilience shown by research laboratories and networks even in the recent phase characterized by suspensions and lockdowns, and also the recent successes of the community such as those found in today's crucial sectors such as biotech, vaccines, environmental studies, and agri-food show that USiena's attraction potential remains intact.

Among the elements that deserve further attention, placing themselves as potential critical issues in the development of USiena in the coming years, three deserve particular consideration:

- The relative isolation of Siena in the geographic system and in the Tuscan and Italian transport network. This element has virtuous aspects in itself considering the added value of a certainly superior quality of life - certified annually by the specific rankings on Italian cities and on the share capital in the various provincial and regional areas. However, it also entails potential counterproductive features, such as fast connections with the 2 airports in the Region and lack of adequate rail links.
- The relative scarcity of a city accommodation system, in a context with a strong tourist vocation and the lack of a Convention Center for large events. Nevertheless, these aspects are partially offset by a jewel like the ancient Certosa di Pontignano - the Carthusian abbey owned by USiena, now transformed into a modern congress center - suitable for numerically limited but prestigious events. All these are flanked by the spaces and auditoriums within the modern facilities of the University. Finally, a peculiar fact is the presence of an Events Structure, in the context of the Third mission, (which is rare in Italian universities), entirely dedicated to the support and organization of all types of conferences and events - whether in person or on -line - which all researchers may rely on.
- Finally, the problem of professional update. This issue is also connected to the knowledge by the staff of at least one lingua franca (English) as a foundation point also to obtain a more profitable relationship between the city and the university and among colleagues determined to use bilateral exchange schemes and come to Siena to study and write projects.

How do you know?



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Training and development*



How do you know?

Strengths and Weaknesses (max. 800 words)

The organizational principles and procedures adopted by USIena in recent years are perfectly compatible with the profiles and requirements established for this candidacy. Starting with the training of First Stage Researchers. Starting with the training of First Stage Researchers. The USIena doctoral system, also thanks to international networks and consortia on which the various doctoral programs are based- including the consortia financed by the Tuscany Region and the industrial partnerships- have already internalized the procedures necessary for a high-quality internationalization. For example, the development of tutoring procedures (and also international supervision), learners' methodological preparation, the ability to produce data and replicate analyzes, the development of critical skills also thanks to participation in conferences and research initiatives international. Finally, the ability to communicate the results achieved, also favored by an internal communication activity and proactive participation in interactive events such as scientific communication courses, seminars on transversal skills, research days and scientific events such as the European Researchers' Night.

Even researchers already recognized at the community level [R2] from our community are today exposed to a good level of internationalization and have the added values necessary to compete globally in this professional category: ability of critical review and theoretical systematization in their own discipline, ability to plan, implement and adapt one's own line of research, interaction with national and international researchers who constitute the reference point for research practitioners who have already entered the professional chain but are at the phase of "circulation" between the professional sphere and of their own career.

For the groups of researchers who are still relatively young, the organizational effort and the processes recently attempted are based on restructuring the research registry, dissemination of calls with particular reference to international research, development of a system of interdisciplinary cooperation of excellence through the birth of the SCL (Santa Chiara Lab), within which the Teaching and Learning Center was consolidated. This center was dedicated to the exchange of good practices and the divulgation of new advanced methodologies in the organization of teaching.

To contribute to this development perspective, measures have been taken in recent years in relation to the redistribution of resources due to the overhead acquired thanks to research projects, the reward resources allocated to researchers who performed particularly, and especially to young people capable

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of producing good research outcomes as well as projects receiving international recognition through the allocation of funding on competitive calls, research works and patents awarded at an international level and university spin-offs worthy of incentives.

As for the most experienced and most advanced career community members [R3 - established researchers] and reference points for areas of excellence [R4 - leading researchers], USiena's recent effort has focused on simplifying processes and on the development of an effective research support infrastructure, thanks to the existence of a Research & Grant Management Division and a Liaison Office which support researchers in all scouting, design and project management activities, including audit activities.

Careful monitoring of research, its applicability in an integrated technology transfer system and also on USiena's training programs has caused a significant increase in university spin-offs and reconnected USiena's planning to strategic objectives in numerous sectors, from life sciences. to research on medical and pharmaceutical biotechnologies, and to some sectors of the social and human sciences. In particular, it is worth mentioning the work done to strengthen the university's research networks. These networks include those built at departmental level by individual researchers as well as those at central level built over the years within university associations (Coimbra Group, Unimed, European University Association, etc.), and to establish cooperative relationships with private and institutional actors.

The elements which are still evidence of a (relative) weakness which have been highlighted by the self-assessment process within the USiena system are related to an even now low rate of incoming mobility of researchers from international centers of excellence and the ability to build a development model for less advanced departments and research areas in the university.

Another critical aspect currently under analysis refers to the development model in which the USiena researchers operate. Despite their overall satisfaction with the information and support received regarding the strategic objectives of the University and the research funding mechanisms, the level of disconnection among research groups and the relative isolation of some areas from others demonstrate the crucial role strategic planning has. Indeed, it will be even more relevant in the period following the pandemic emergency and the development of community, national and local recovery, and resilience plans.

How do you know?

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How do you know?

3. Actions

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

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

<https://en.unisi.it/research/hrs4r-human-resources-strategy-researchers>

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

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

Proposed ACTIONS

Action 1

Integration of the Code of Ethics with principles of research integrity, management of external funds and the responsibility of the Principal Investigator.

GAP Principle(s)

(+/-) 4. Professional attitude

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

August 2022 - December 2023

Responsible

Unit

Indicator(s) / Target(s)

Research
and Grant
Management
Division

1- Appointment of a senatorial commission
2. Writing of a revision draft of the Code to be submitted to the governing bodies

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Proposed ACTIONS

How do you know?

Action 2

Creation of a single online point for the communication and dissemination of USiena research results

GAP Principle(s)

(+/-) 8. Dissemination, exploitation of results

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

May 2022 - November 2023

Responsible**Unit****Indicator(s) / Target(s)**

Communication Office

1 - Creation of a dissemination web page 2- Collection of research results

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Proposed ACTIONS

How do you know?

Action 3

Creation of a website in English dedicated to international researchers called "International Faculty", where the services offered will be described (training, access to laboratories, living and working in Siena).

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 21. Postdoctoral appointments (Code)

(+/-) 23. Research environment

(+/-) 29. Value of mobility

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

November 2021 -
February 2023

Responsible

Unit

Indicator(s) / Target(s)

International
Relations
Division

1- Website creation 2- Production of information materials for researchers 3- Communication campaign within the organization.

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How do you know?

Action 4

Update of the Regulations for Research Fellowships and of the Regulations for research grants from an OTM-R perspective (reference to the Charter and Code principles, gender balance in the selection committees)

GAP Principle(s)

- (+/-) 13. Recruitment (Code)
- (+/-) 14. Selection (Code)

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

February 2023 - May 2024

Responsible

Unit	Indicator(s) / Target(s)
Regulatory Acts and Institutional Affairs Division	1- Review and drafting of the Regulations for Research Grants. 2- review and drafting of the Regulations for study and research grants.



How do you know?

Action 5

Revision of the template of the selection announcements and the regulations in order to standardize the equivalence procedures, adopting the less onerous ones provided for by national legislation

GAP Principle(s)

(-/+) 19. Recognition of qualifications (Code)

(+/-) 21. Postdoctoral appointments (Code)

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

February 2022 - August 2023

Responsible**Unit****Indicator(s) / Target(s)**

Teaching
Staff Division

1 - Analysis of the legislation governing the matter. 2 - Update of selection notices. 3- Communication campaign within the organization.

Action 6

Measures to support gender equality (drafting, publication, divulgation of the "Gender Equality Plan (GEP)", gender equality in the R1 and R2 selection commissions, a communication campaign to raise awareness of the figure of the trusted advisor among researchers)

GAP Principle(s)

- (+/-) 14. Selection (Code)
- (+/-) 27. Gender balance
- (+/-) 34. Complains/ appeals

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

November 2021 - May 2024

Responsible

Unit

Indicator(s) / Target(s)

Guarantee Committee for Equal Opportunities

1. GEP web publication 2. GEP divulgation initiatives 3. Monitoring the Positive Action Plan (PAP) 2019-2022 and writing of new PAP 2022-24 3. realization of at least n. 2 public events for the presentation of initiatives/services (GEP, equality counselor, equality in recruitment, new PAPs)



How do you know?

Proposed ACTIONS

Action 7

Stipulation of agreements with housing structures that can accommodate international researchers (in particular for profiles from R2 to R4)

GAP Principle(s)

(+/-) 23. Research environment

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

November 2021 - February 2023

Responsible

Unit

Indicator(s) / Target(s)

Third Mission Division

1 - analysis of the local housing offer and identification of suitable structures for researchers' hospitality. 2 - Stipulation of agreements. 3 - Internal and external communication campaign

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Proposed ACTIONS

How do you know?

Action 8

Definition of a University policy to enhance mobility paths (international and intersectoral) in researchers' recruitment and careers (R1 and R2), as well as recognition of their professional paths without penalizing any interruptions in their CVs, both in the selection phase and for career development purposes.

GAP Principle(s)

- (+/-) 17. Variations in the chronological order of CVs (Code)
- (+/-) 18. Recognition of mobility experience (Code)
- (+/-) 20. Seniority (Code)
- (+/-) 29. Value of mobility
- (+/-) 33. Teaching

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

February 2022 - August 2024

Responsible Unit

Indicator(s) / Target(s)

Teaching Staff Division
1- Analysis of the mechanisms for recognizing mobility implemented by other institutions. 2- Creation of a working group in charge of drafting the policy. 3- Approval of the policy. 4 - Internal and external communication campaign

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How do you know?

Action 9

Promotion and information on obtaining certification and use of the HRS4R label and communication and divulgation campaign among the university community of the principles of the European Charter for Researchers and the Code of Conduct for their recruitment

GAP Principle(s)

(+/-) 22. Recognition of the profession

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

May 2022 - February 2023

Responsible

Unit

Indicator(s) / Target(s)

Communication Office

1 - Definition of internal and external communication campaign
2 - Development of a web page dedicated to HRS4R. 3- Organization of n. 2 events for internal staff and 1 event for stakeholders. 4- Number of participants

Action 10

Creation of a web space intended to group all the initiatives on researchers' professional development, with the aim of improving their visibility and communication

GAP Principle(s)

(+/-) 30. Access to career advice

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

February 2022 - August 2023

Responsible

Unit

Indicator(s) / Target(s)

Communication Office

1- Creation of a web page dedicated to researchers' training. 2- Collection and publication of training initiatives aimed at researchers



How do you know?

Action 11

Scheduling and planning of courses and training initiatives aimed at researchers on funding opportunities for scientific research. Among the initiatives it will be possible to include communication events on the autonomy of researchers addressed to doctoral students (R1) and their supervisors.

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

February 2022 - August
2023

GAP Principle(s)

(+/-) 31. Intellectual Property Rights

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

Responsible**Unit****Indicator(s) / Target(s)**

Research
and Grant
Management
Division

1- Collection and analysis of existing initiatives 2- Drafting of a
training plan for researchers, with particular focus on R1 3-
Number of courses/initiatives conducted in a year 4- Number of
participants

Action 12

Writing of a vademecum to illustrate the processes related to the teaching activity: use of applications for inserting syllabus, lesson register, recording of exams, good practices, etc.

GAP Principle(s)

(+/-) 33. Teaching

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

November 2021 - February 2023

Responsible**Unit****Indicator(s) / Target(s)**

Teaching
Staff Division

1 - Writing of the vademecum in Italian and English. 2- Publication on the University portal. 3- Dissemination of the Vademecum among interested parties

Action 13

Definition of a University policy aimed at enhancing the activity carried out by teachers in the field of competitive research and in internationalization processes with possible revision of the teaching load.

GAP Principle(s)

(+/-) 33. Teaching

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

May 2023 - August 2024

Responsible**Unit****Indicator(s) / Target(s)**

Teaching
Staff Division

1- Creation of a working group in charge of drafting the policy. 2- Drafting of the Policy. 3- Approval of the policy. 4- Internal and external communication campaign



How do you know?

Action 14

Definition of an OTM-R POLICY "Open, Transparent and Merit-based Recruitment of Researchers" for the three main phases of recruitment and for the 4 researcher profiles (R1-R2-R3-R4): 1. advertising and candidacy; 2. selection and evaluation, 3. appointment and contracts. The aim is to standardize, formalize and make known the existing procedures and practices, improve them if necessary and introduce any corrections (where gaps have emerged in the OTM-R check-list), with particular reference to access to this information by international researchers (all documentation produced and published must be in English)

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 14. Selection (Code)

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

February 2022 -
February 2023

Responsible**Unit****Indicator(s) / Target(s)**

Planning,
Organization
and
Evaluation
Division

1- Drafting of an OTM-R policy 2- Approval of the policy. 3-
divulcation of the policy

Action 15

To implement the OTM-R policy, publication of a web page in English dedicated to the recruitment of researchers "ERA-European Research Area: researchers' recruitment" in which documents, forms, regulations, calls for applications divided by the profile of the R1-R2-R3- R4 researcher will be collected.

GAP Principle(s)

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

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 5. Contractual and legal obligations		
(+/-) 12. Recruitment		
(+/-) 13. Recruitment (Code)		November 2022 - November 2023
(+/-) 21. Postdoctoral appointments (Code)		
Responsible Unit	Indicator(s) / Target(s)	
Communication Office	1-collection of existing regulations, procedures, good practices, and models subdivided by profiles. 2- activation of a web page in English "ERA: researchers' recruitment" for the circulation of such information. 3-translation of all information, regulations, and selection announcement. 4-inclusion of a reference to the C&C principles in all contracts and administrative acts of the recruitment process	

Unselected principles:

(++) 1. Research freedom (++) 2. Ethical principles (++) 3. Professional responsibility (++) 6. Accountability (++) 7. Good practice in research

(++) 9. Public engagement (++) 10. Non discrimination (++) 11. Evaluation/ appraisal systems (++) 15. Transparency (Code) (++) 16. Judging merit (Code)

(++) 24. Working conditions (+/-) 25. Stability and permanence of employment (++) 26. Funding and salaries (++) 28. Career development

- ☐ An official EU website (++) 32. Co-authorship (++) 35. Participation in decision-making bodies (++) 36. Relation with supervisors (++) 37. Supervision and managerial duties How do you know?
 (++) 38. Continuing Professional Development (++) 40. Supervision

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

Most of the Open, Transparent, Merit-Based Recruitment principles are stated in the Italian Law 240 of 2010 "Regulations on the organization of universities, academic staff and recruitment, as well as the authorization to the Government to encourage the quality and efficiency of the university system", that establishes prescriptions on the contents of researcher job advertisement, evaluation and selection criteria, appointment procedures. Consequently, procedures implemented by the University of Siena reflect these mandatory prescriptions.

Although the University of Siena guarantees a substantial accordance to OTM-R principles, we consider that the definition and adoption of a proper OTM-R policy is needed.

The item number 14 included in the Action Plan foresees the definition of an OTM-R Policy for the three main phases of recruitment and for the four researcher profiles (R1-R2-R3-R4): 1. advertising and candidacy; 2. selection and evaluation, 3. appointment and contracts.

The aim is to standardize, formalize and make known the existing procedures and practices, improve them if necessary and introduce any corrections (where gaps have emerged in the OTM-R check-list), with particular reference to access to this information by international researchers (all documentation produced and published must be in English)

The OTM-R policy will be drafted by the Human Resources Offices with the support of the different USiena departments and the EURAXESS Service Centre (created inside the International Relations Division).

To implement the OTM-R policy and promote it among internal and external stakeholders, USiena will create a new web page in English dedicated to the recruitment of researchers "ERA-European Research Area: researchers' recruitment" (see the item number 15 of the Action Plan). All documents, forms, regulations, calls for applications divided by the four profiles of researchers, will be collected and published in this webpage

The information will be provided in a "non bureaucratic" language, so that the website could act as an intermediary communication tool between the University and its complex procedures and the international applicants.

As far as the appointment of selection boards is concerned, some USiena regulations for researchers do not include the criterion of gender equality in their composition. The Item number 4 of the Action plan aims at updating the Regulations for Research Fellowships (R2) and the Regulations for Research Grants (R1) from an OTM-R perspective, to include the reference to the European Charter and Code for Researchers principles, and guarantee the gender balance

☐ in the selection committees. In addition, the item number 6 foresees measures to further support gender equality in all the phases of the recruitment process, through the drafting, publication and divulgation of the "Gender Equality Plan" How do you know?

In order to fill the gap in the principle number 19 of the Code of Conduct for the Recruitment of Researchers (Recognition of qualifications), USiena will revise and update the template of the selection announcements with the aim of aligning the equivalence procedures, adopting the less onerous ones provided for by national legislation (see the item number 5 of the Action Plan).

Finally, the item number 3 of the Action Plan aims at improving the current system of information provided by the USiena EURAXESS Service Centre to international researchers who are active in our community (<https://www.unisi.it/internazionale/international-researchers-and-visiting-professors>). The project called "International Faculty", already included in the multiannual Integrated Performance Plan, has the specific goal of the creation of a virtual place where incoming researchers shall find all the relevant information before moving to USiena from abroad, at the moment of their settlement and during their stay.

Furthermore, the University may arrange a suitable space in the city centre to open a physical room for international visitors, where they could meet, socialize with colleagues from the local community and share information and experiences.

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 overall implementation process of the action plan: (max. 1000 words)

The Action Plan was approved by the academic bodies of the University, the Academic Senate, and the Board of Directors, in the sessions of October 12 and October 22, 2021, respectively.

The implementation phase will be coordinated by the same working group that coordinated and prepared the HRS4R (Human Resources Strategy for Researchers) candidacy and supervised by a steering committee composed of professors involved in the governance of the University and researchers who are at different career levels (from R1 to R4).

The responsibility for each of the fifteen actions identified following the internal analysis will be formally assigned to an administrative structure by means of a Disposition by the General Manager. The provision will indicate the objectives, the indicators and the schedule contemplated for the implementation of the action.

☐ An official EU website If there were a need to allocate a budget for the implementation of the action, the same will be the subject to a resolution to be submitted for approval by the Board of Directors.

The 15 actions proposed will be included in the Performance Plan which must be drawn up by January 31 of each year, subject to approval by the Administrative Management and the competent bodies.

In order to start working on the implementation phase, a kickoff meeting will be organized. This meeting will include the participation of members of the HRE working group, the administrative structures involved as well as representatives of the University departments with the aim of discussing and defining the methods and tools for the implementation of the Action Plan

Periodic monitoring meetings (see below) will be organized with each individual structure to check the state of the art in the implementation, any deviations and apply additional measures aimed at achieving the objectives within the timeframe set out in point 3.

How do you know?

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

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

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



How do you know?

Detailed description and duly justification (max. 500 words)

The supervision of the implementation of the Action Plan will be entrusted to the same working group and to the same Steering Committee which collaborated in the preparation phase of the application.

This choice is motivated by the fact that the awareness of the process gained by the various members of the group is considered an added value, both by the teaching staff and by the administrative staff who prepared the application.

According to the internal procedures of the University, the composition of the HRE (Human Resources Excellence) working group must be renewed by December 31. Even having adopted a continuity criterion, its composition will be partially modified in order to include representatives of the administrative structures most involved in the implementation phase.

The Rector's Delegate for Internationalization, coordinator of the project, will propose to the governing bodies of the University the formation of a committee for the implementation of the action plan which will be composed of the same researchers who took part in the organizing committee. On the basis of the specific activities, it will then be appropriate to work alongside the Committee and involve other colleagues, both from the administrative staff of the departments and from the teaching staff.

The working method comprehends the scheduling of operational meetings with the various administrative structures and the sharing of the state of the art through periodic meetings of the working group and the implementation committee, as well as the creation of a project cloud and finally, the updating of the web page dedicated to the HRS4R application

Each member of the HRE working group will be responsible for coordinating the implementation of two/three actions relating to the issues most connected to their skills. Roles will be defined during the first meeting of the working group

☐ An official EU website How do you intend to involve the research community, your main stakeholders, in the implementation process?

*



How do you know?

Detailed description and duly justification (max. 500 words)

The heterogeneous composition of the implementation committee, in terms of departmental affiliation but also of professional profile (given that it will include representatives of all researchers, from the doctoral student to the ordinary one, as well as the key resources for the management of activities such as staff for research services, international relations, recruitment and communication), will guarantee full and constant access to the various components of the entire academic community who deal with research and appreciation of researchers.

However, to be considered participatory and "responsive" the process of actions implementation will necessarily have to be based on the highest possible involvement, one which will go beyond the contact with individual representatives, no matter how qualified and strategic it may be. In this regard, a first milestone in order to guarantee immediate access to information and activities, even at the preparatory stage, was the activation of a specific web page dedicated to the accreditation process HRS4R <https://en.unisi.it/research/hrs4r-human-resources-strategy-researchers>, where all progress, new challenges and any critical issues that have emerged will be reported over time.

This is what we intend to put into practice systematically in the next implementation period:

- tools: a. definition of an ad hoc communication plan: following the achievement of the HRS4R label, a communication plan will be defined in which the media (web, social media, e-newsletter, mailing list, press releases), the target groups or recipients of the messages and the concept of the key messages to be conveyed, modulated on the basis of the target audience. b. updating of institutional communication guidelines that should include the HRS4R label, aimed at confirming the image of a University that communicates clearly and transparently outside the academic community. This may be done, for example, with the insertion of the HRS4R logo in the letterhead, in flyers/posters/brochures layout, web pages footer, etc.
- initiatives: a. launch of the internal and external communication campaign as detailed in Action plan b. HRS4R ambassador: a group of researchers, of several seniority levels and recruited on a voluntary basis, whose task will be that of disseminating the elements characterizing HRS4R among their peers with ad hoc interventions in university departments. c. organization of ad hoc dissemination events aimed at internal staff and stakeholders.

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services: a. the periodic monitoring process of implementation of HRS4R actions will be supervised by the University staff of research services and international relations and, with respect to specific initiatives implemented through the two-year Action Plan, there will be an assessment, from time to time, of which stakeholders to involve and in which manner, in order to have a direct and as representative a feedback as possible with respect to the objectives of each action and with respect to a more widespread knowledge of the European Charter and Code.

How do you know?

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

Detailed description and duly justification (max. 500 words)

Obtention of the HRS4R label will be communicated by the Rector to the governing bodies of the University, the Academic Senate, and the Board of Directors, and subsequently to the entire academic community. In addition, the fifteen initiatives identified in the Action Plan will be presented in the Department Councils to disseminate and promote awareness of the label and the objectives set by the University in order to confirm and consolidate this recognition. These presentations will be entrusted to the network of professors responsible for research and for the internationalization of every single department.

The inclusion of the actions identified in the "2022 Performance Plan" will be promoted among the administrative structures. This document is drawn up every year by the public administration and it contains the organizational and individual objectives planned and the resources allocated until they have been reached.

The Performance Plan must be approved by the Board of Directors and is subject to monitoring and a final report.

During the review of the 2021-2023 Strategic Programming, the Rector's Delegates for Research and International Relations will promote the inclusion of the achievement of the Action Plan objectives in the aforementioned document

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

How do you know?

Detailed description and duly justification (max. 500 words)

Work monitoring measures during the next two years.

1. Definition of a "Monitoring Plan": during the first meeting of the working group responsible for coordinating the implementation phase, a monitoring plan will be discussed and defined with the aim of ensuring the achievement of the objectives set in the Action Plan within the time limits indicated.

The Monitoring Plan will be submitted to the HRS4r Implementation Committee and the University Evaluation Unit (description) for their opinion and finally it will be communicated to the governing bodies of the University.

1. As has been mentioned above, most of the fifteen actions will be linked to the Performance Plan which is binding for the administrative structures involved and the achievement of the objectives is linked to the remuneration of the technical-administrative staff through the disbursement of bonuses related to individual and organizational performance.

The annual performance plan provides, for each action, specific indicators to measure achievement: the plan and the indicators are validated, from a methodological point of view, by the internal evaluation unit (Evaluation Unit) and approved by the board of directors.

As has been mentioned previously, each action of the HRS4R action plan will be included as one of the specific objectives within the annual performance plan.

In addition, the Italian public administration annually draws up the Performance Report which shows, in the final balance, with reference to the previous year, the organizational and individual results achieved with respect to the individual planned objectives and resources, with detection of any deviations, and the corresponding gender budgeting. The Performance Report is approved by the Board of Directors and validated by the University Evaluation Unit. The Report is also presented as part of the Transparency Days organized by the University. For further methodological insights, please, visit

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<https://www.unisi.it/ateneo/adempimenti/amministrazione-trasparente/performance/sistema-di-misurazione-e-valutazione>

The official nature of the monitoring plan together with the strong commitment of the University ensure the Plan's implementation

How do you know?

☐ An official EU website

How will you monitor progress (timeline)?*



How do you know?

Detailed description and duly justification (max. 500 words)

The monitoring plan mentioned in the previous point will offer a breakdown of the verification moments contemplated in order to monitor the work progress in the implementation phase of the actions included in the action plan. Quarterly checks are scheduled and will be conducted through meetings (in mixed mode, in person and online) agreed upon by the heads of the working groups and the structures responsible for implementing the actions. A cloud storage space will be set up for sharing works, reports, and related documents.

Implementation starting date - Nov 15, 2021

First year monitoring:

First interim monitoring - Feb 15, 2022

Second interim monitoring and WG meeting - May 15, 2022

third interim monitoring - September 1, 2022

fourth interim monitoring and WG meeting - November 15, 2022

Second year monitoring:

First interim monitoring - Feb 15, 2023

Second interim monitoring and WG meeting - May 15, 2023

Third interim monitoring - September 1, 2023

Final monitoring and evaluation and WG meeting (Plenary) - November 15, 2023

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

How do you know?

Detailed description and duly justification (max. 500 words)

For each of the 15 actions proposed in point 3 of this document, different indicators have been defined. The administrative structure responsible for the implementation of each single action will be entrusted with the task of monitoring (together with the other structures involved in the action) the progress of the actions and the achievement of the objectives.

In addition, the same monitoring scheme contemplated in the University Performance Plan will be adopted: the administrative units in charge will be consulted periodically to verify the state of the art.

A set of indicators and targets will be used to monitor each single action, towards achievement of the objectives. The scores assigned to each action through the indicator will be compared against the specific target. The list of indicators is presented in the document "Proposed Action" at point 3. "Action".

In case the level of achievement is weak a strategy for improvement will be implemented.

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

The internal analysis carried out in the initial phase, of preparation of the application, which is a preparatory stage for the drafting of the Action Plan, raised awareness among the actors involved of the extent of the commitment made by USiena to develop the figure of the researcher and strengthen the university as a center of research excellence.

The most critical aspect to be faced was how to communicate and make visible the many initiatives adopted and the results of the research.

☐ An official EU website The project, imagined for a long time and inserted in the University programme called "International Faculty" demonstrates the existence of a widespread awareness among teachers and administrative staff regarding this critical issue.

Most of the objectives will be fulfilled within the first two years of the implementation phase, while we believe that some of those objectives which have a more widespread impact on culture, strategy, and even academic regulation - even if only at the policy or regulatory level - require a long-term perspective. Consequently, their achievement has been set beyond the two-year programming.

How do you know?