

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2018IT341333

Name Organisation under review: Università degli Studi dell'Insubria

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GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. 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	++ = fully implemented		Research freedom is stated by the Item 33 of the Constitution of the Italian Republic, namely "Art and science are free, as well as teaching them is free". Accordingly, all the national and institutional laws and rules comply with this statement; in particular, this is confirmed by the Item 7 of the Legislative Decree n. 165/2001 and by the Item 1 of the Law n. 240/2010. In compliance with the above mentioned laws The University adopted its Charter (Statuto) and a Code of Ethics (Codice Etico) which set out Uninsubria's overarching policies in relation to research integrity, research misconduct, financial management and Intellectual Property. https://www.uninsubria.it/statuto-e-regolamenti The only limitations to such principle could eventually depend on a national reduction of funds supporting Research activities. However, in order to provide its staff with more opportunities, University

principles and practices, to which researchers have to adhere			of Insubria supports research activities with its own resources, either directly with specific funds assigned to senior researchers or with research grants for recognized researchers – both assigned on a competitive basis, and indirectly with investments in shared scientific infrastructures.
<p>2. Ethical principles</p> <p>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, sectorial or institutional Codes of Ethics</p>	+/- = almost but not fully implemented	<p>Survey results: Question 1.1. on “Diffusion of ethical principles”: Low priority / medium (good) accordance (2.9)</p> <p>National law n. 240/2010 binds universities to adopt a Code of Ethics. Art. 7 of the Uninsubria Charter commits the institution to apply all the general principles stated in the University Code of Ethics, where academic integrity and scientific ethics are defined as pillars of our institution. Nevertheless the survey reveals a low priority perception of the importance of these principles and, as the comprehension of an adequate ethical rigor in scientific research and integrity help to promote and consolidate public consensus towards research and academic institutions, it is particularly important to enhance the diffusion of these principles and their implementation both among all researchers and Society. The public and private financiers are oriented to support or contribute economically to a research in which they can trust and are able to perceive as responsible, qualitative and integrated in every aspect. More and more funding bodies require the researcher, already in the phase of presenting the application for funding, to demonstrate that they are able to deal correctly and responsibly with the ethical implications and the impact of their own research: from clinical trials, to the environment, to informed consent to patients, to the protection of the animals involved, to data management.</p>	<p>https://www.uninsubria.it/la-ricerca/etica-ricerca</p> <p>1. Concerning Clinical Experimentation, the University adheres to a territorial Hospital Ethical Committee with the fundamental task to protect the rights, dignity, integrity and well-being of people participating in biomedical research and to provide public guarantees of such protection through the scientific and ethical evaluation of the study design, the evaluation of its feasibility and monitoring of its execution.</p> <p>2. Regarding Animal Experimentation, the Institution adopted since 2014 a specific regulation stating a Committee for the animal welfare.</p> <p>3. Finally, the University participates to various projects focused on research ethics and integrity: * European Network for Academic Integrity, coordinated by the Mendel University in Brno (CZ) * external funds to carry on specific projects on integrity and ethics https://www.uninsubria.it/la-ricerca/ambiti-di-ricerca-pubblicazioni-progetti-finanziati/progetti-di-ricerca-finanziati</p> <p>NEW PROPOSALS: The Code of Ethics will be revised in order to :- be integrated with the Institutional Code of Conduct; - guarantee that Research and all our researchers must comply with general principles of integrity, ethical standards both in methodology and use of results and with the orientation expressed by a Commission of experts on their research projects Action n. 1. ; Action 2</p>

		Finally, researchers dealing with activities not involving patients or animals lack a specific support within the Ethical Commission that should be integrated with components who could assure a wider range of expertise.	related initiatives should be designed and implemented
3. 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 quoted. 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.	++ = fully implemented		All aspects related to professional responsibility are fully covered by national laws and policies as well as by internal rules such as the University Charter and the Code of Ethics. Concerning actions already taken against plagiarism, since October 2016 the University of Insubria provided its academic staff with an online software in support of the correct use of documental sources in the documents produced within our institution. https://www.uninsubria.it/servizi/software-antiplagio-compilationet Survey results show perfect adherence with the institutional evaluation of the status of implementation of this principle. Question 1.2. on "Scientific integrity (plagiarism etc.)": High priority / high accordance (3.5)
4. 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	+/- = almost but not fully implemented	A gap is identified in the access to all information related to organisational implementation of research projects funded by external entities after a competitive call. It is necessary to define and promote roles, tasks and procedures within the different phases of the research projects implementation: from projects' planning to submission of the proposals, from grant preparation to governance's approval, from projects management to intermediate to final financial reporting.	General Regulations, Reports of Academic Senate and Administrative Board are accessible to researchers, technical and administrative staff and students through intranet section. According to the internal rules of Uninsubria, research projects funded by external competitive calls are submitted to Department Board for initial approval, thus stimulating free scientific debate within each Department Board in conjunction with new publications or funds. Orientation and support on funding mechanisms and internal procedures are provided to researchers by Research and Innovation

		<p>General regulations, accountant and authorisation procedures or common practices exist within the institution and are applied by administrative staff and central or departmental governance. Notwithstanding, there is no specific and shared guidelines for research projects that could be spread out to researchers, avoiding a bureaucratic vocabulary and focusing on their responsibilities towards the institutions, staff involved in the project, external funders, in order to increase their knowledge of funding mechanisms and relative awareness of institutional commitment.</p> <p>Guidelines are crucial also to normalize and even all practises and procedures within our University and to allow the diffusion of a common archiving system of all information related to research projects that we have been testing in last years, but that has difficulties of implementation because of the lack of codification of roles, lexicon, and responsibilities.</p>	<p>Office: https://www.uninsubria.it/la-ricerca/supporto-ai-ricercatori</p> <p>NEW PROPOSAL: Action n. 3 Production and dissemination of specific guidelines defining roles and tasks within the different phases of the research implementation (fund raising, budgeting, resources management)</p>
<p>5. Contractual and legal obligations</p> <p>Contractual and legal obligations Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of</p>	<p>+/- = almost but not fully implemented</p>	<p>Existing institutional regulations are available to researchers on a public dedicated web page; on demand and when needed, every administrative office guarantees a proper training or individual information. However researchers are still unfamiliar with those aspects not allowing a wide and deep consciousness of the responsibilities deriving by such contractual obligations (including awareness of binding adherence to ethical principles and of responsibility of researchers committed in external funded research projects).</p>	<p>NEW PROPOSALS: As part of Action 2, a specific paragraph about the compliance with the Code of Ethics and similar will be included in every agreements/contracts. As part of Action n. 3 on funded projects, specific mention to such responsibilities will be provided in guidelines and templates of agreements/contracts (in order to strengthen also principle n. 6 on accountability). As part of Action n. 7, English translation of main binding conditions related to research activities management will be explicated in all information or communication measures already foreseen in this action</p>

the contract or equivalent document			
<p>6. Accountability</p> <p>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>	++ = fully implemented		<p>Uninsubria's Code of Ethics dedicates close attention to accountability, which is described as a general principle for researchers, staff, students, and everybody who lives and works in University. Art. 12 of the Code states that: "Material resources, especially financial ones, must be used responsibly and transparently, in full compliance with the "accountability" principle. This means that each user must make himself available to account for the correct use of the resources made available by the University, or in any case financed with public funds, of the results obtained with them, and of their consistency with the institutional mission. Goods purchased with public research funds, consistent with the original needs for which they are intended and with the conditions imposed by the lender, must be made available for common use in teaching and research, becoming part of the University's assets." Concrete actions to reinforce researchers' perception of these duties have been already planned in response to other gaps identified in present analysis (see principle n. 4 and 5).</p>
<p>7. Good practice in research</p> <p>Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and</p>	++ = fully implemented		<p>National laws cover the various aspects related to good practices, in particular the legislative decree n.196/2003 dealing with data protection and the legislative decree n. 81/2008 regulating health and safety principles on the work places.</p> <p>In line with the national legislation, the University of Insubria adopted specific Regulations and policies for Privacy and data protection, for the access and use of institutional ICT services and for safety and health, focusing actively its attention on prevention.</p>

undertake the necessary steps to fulfil them at all times.			Regarding this last issue, training courses on safety rules for all staff are regularly held by experts. Finally, with the introduction of the GDPR and in compliance with its principles, the University delivered to all the staff, administrative officers, teachers and researchers, online training courses about the Regulation itself and its application at various levels. Among such courses, a particular focus on privacy and data protection in the HEI and research field has been stressed by means of a course module totally dedicated to such issues.
<p>8. Dissemination, exploitation of results</p> <p>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</p>	++ = fully implemented		<p>In case of exploitable results, researchers are obliged to inform the TT office in order to promptly evaluate the possibility to protect the IPR before any dissemination. Then, according to the EC recommendations, the University of Insubria promotes an Open access Policy and years ago launched a secure central open access repository for research outputs named IRInSubria (https://irinsubria.uninsubria.it/). It makes scholarly information produced in Uninsubria available to the wider academic community and offers greater visibility and higher impact for this material, which can be globally accessed over the internet. University of Insubria will apply Open Access and will test Open Data policies to results obtained thanks to H2020 grants and will support immediate, unrestricted, on-line access to peer-reviewed and published research papers free of charge. When research is funded by other sources (e.g. private sector), dissemination of research results depends on the funder's agreement, in compliance with their own dissemination policies. For the exploitation of results (patents, licenses, spin-off or start-up companies), specific support is provided to researchers through TT office's experts.</p>

			Thanks to the collaboration of APRE and Netval the TT offices participate to and organizes technical course open to our researchers.
<p>9. 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.</p>	<p>+/- = almost but not fully implemented</p>	<p>Social impact of existing initiatives is still not outstanding and public engagement experiences need to be valorised and improved in their communication and dissemination. At institutional level, all these initiatives should be properly documented (identifying category/objectives/target/human and financial resources/collaboration with other institutions...), recorded and possibly evaluated with reference to their effective impact. The aim should be to orient future actions of single Researchers, Departments and service offices to take the opportunity for sharing and comparing knowledge and expectations.</p>	<p>According to the Item 3 of the University Statute and to the item 11 of the institutional Code of Ethics the University valorises the cultural, social-economic, environmental, historical and artistic identity of the territory promoting continuous dialogue and considers primary need to contribute to the progress of knowledge aimed to improve the living conditions of the human being.</p> <p>Public engagement activities are undertaken every year to increase awareness in society about research activities: https://www.uninsubria.it/chisiamo/sostieni-uninsubria/le-storie-dei-nostri-ricercatori or https://www.uninsubria.it/il-territorio/universita-e-societa or https://www.uninsubria.it/eventi</p> <p>NEW PROPOSAL: Action n. 8 Coordination of collection of PE initiatives to be archived at central level and improvement of their visibility</p>
<p>10. 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.</p>	<p>+/+ fully implemented</p>		<p>In compliance with national laws, University of Insubria aims at creating the conditions whereby researchers, students, staff and all others associated with the University are treated equitably regardless of "gender, ethnic or social origin, physical appearance, age, genetic features, religious, personal or political beliefs, citizenship, economic conditions, disability, sexual orientation, personal health conditions, including pregnancy, role/position outside the University (Item 2 Code of Ethics). The ethos of Insubria, which is grounded in its policies, is one that appreciates the diversity of the community as the strength of the University by incorporating a broad range of human experiences</p>

			<p>and a rich variety of human perspectives. University community enlarges its capacity for learning, enriches the quality and texture of campus life. Specific units monitor the application of such policies, namely:</p> <ol style="list-style-type: none"> 1. The Ethical Committee working for the dissemination and respect of the Ethical Code; 2. The Guarantee Committee (CUG) for equal opportunities, valorisation of organizational well-being and non-discrimination works to ban any type of discrimination; 3. a Confidential Counsellor represents an independent unit with the function of collecting any report related to discrimination, sexual and moral harassment or mobbing cases as well as proposing conciliatory solutions, even with prevention techniques.
<p>11. Evaluation/ appraisal systems Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into</p>	<p>++ = fully implemented</p>		<p>ANVUR (National Agency for the Evaluation of Universities and Research Institutes) carries out a periodic Research Evaluation (last edition related to 2011-2014) focused on scientific production evaluation. Results, selected by authors, are submitted to the national evaluation procedure with an innovative methodology, based on a combination of peer review and bibliometric methods. Other results as projects, international collaboration and other scientific outcomes are also taken into consideration for the national evaluation (VQR). Central evaluation of supervision activities within PhD programs has been already planned and up to next year ANVUR will promote a survey addressed to all PhD researchers at the conclusion of their course and after 2 years from their diploma award. National Ordinary Funds for Universities are partially allocated on a merit base, taking into consideration VQR results. Other internal funds are allocated to</p>

consideration in the context of career progression			the Departments using VQR results in each scientific area according to internal regulations. A Quality Committee (PQA) composed by Professors and Administrative Staff and locally by Departmental Units (AIQUA-R) is carrying out internal monitoring on Research Quality Assurance centrally
Recruitment and Selection			
<p>12. Recruitment</p> <p>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</p>	<p>+/- = almost but not fully implemented</p>	<p>No direct mention to European Code of Conduct for the Recruitment of Researchers is currently explicit in the selection calls and linked decrees or administrative acts, although main principles are respected. New communication strategy suggests to re-design and update this documentation, as long as a proper OTM-R policy will be adopted in our University (see Action Plan).</p> <p>Currently, members of Selection Committees do not formally adhere to the Code of Conduct for the Recruitment of Researchers' principles. This gap will be filled by specific mention in OTM-R policy and by training tools provided to support Committees' work.</p>	<p>Entry and admission standards at various levels of academic staff complies with current laws and regulation (see http://www.miur.gov.it/reclutamento-nelle-universita) and specific access requirements and selection standards are clearly stated in recruitment calls. Facilitations for special disadvantaged groups or for researchers returning to a research career are not possible considering the legal framework the university has to comply with. National legislation is very attentive in guaranteeing equal opportunities avoiding any kind of discrimination (art. 57 Law 165/2001) though not specifically referring to disadvantaged groups. Specific measures have been adopting to prevent localism (no parental relationships to governance's members or no affiliation of relatives to the same department, at least 20% of recruited senior researchers must be external). Specific reference to the European Charter for Researchers can be identified in our Regulations. Uninsubria staff (both recruited researchers and those in charge of the selection of other researchers) must accomplish with our Code of Conduct (last updated 30/10/2017), inspired by the principles of good performance, impartiality, integrity, good faith, transparency, reasonableness</p>

			and acting in a position of independence and impartiality, abstaining in case of conflict of interest. NEW PROPOSALS: Action n. 9 OTM-R policy and Action 18 Training for Selection committees' members
<p>13. Recruitment (Code) Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. All available instruments should be used, in particular international or globally accessible web-based resources such as the pan-European Researcher's Mobility Portal: http://europa.eu.int/eracareers . Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</p>	<p>+/- = almost but not fully implemented</p>	<p>Information, regulations and some selection announcements (R3-R4 calls) are currently available only in Italian on the institutional web page https://www.uninsubria.it/statuto-e-regolamenti and www.uninsubria.it/concorsi, although it is already under construction a specific webpage in English dedicated to researchers' recruitment (https://www.uninsubria.it/risorse-utili/era-researchers-recruitment), divided by professional categories where a proper OTM-R policy will be also published as a result of our Action Plan. The idea is to let applicants be able to find in OTM-R guide all necessary information on the whole recruitment process. Publication on Euraxess platform is mandatory and therefore systematically performed but often information on recruitment opportunities is not exhaustive or effective from a communicative point of view (i.e. title of the research grant is in English then a web link brings to Italian formal Call Selection, scientific skills could be better described). SURVEY RESULTS: Question 2.2. on "International advertisement of available positions": High priority / medium accordance (2.4; Question 2.1. on "National advertisement of available positions": High priority / medium (good) accordance (2.7); Question 2.3. on "Required skills encourage wide participation": Low priority / medium accordance (2.6)</p>	<p>Wide diffusion of our selection calls is provided by the publication of the announcement in the Official Bulletin (Gazzetta Ufficiale), on the website of the Ministry of Education, University and Research (MIUR), on Euraxess platform (through a ministerial automatic readdress) and on the University website. A realistic time-lapse from publication to deadline is guaranteed (at least 30 days for R1/R3/R4 and 15 days for R2). The selection announcement indicates all necessary information (i.e. type of contract, full or part-time, research profile, remuneration, requirements for participation, when necessary, maximum number of publication submitted to the selection committee, deadline, type of selection, contractual bonds, Department where to perform the activity, legal, economic and social security provisions). NEW PROPOSALS: as part of Actions n. 4 and 7, Internal guidelines to maximise impact on diffusion of our recruitment calls in English are necessary in order to ensure equal opportunity to all researchers. Action n. 9 adoption of a proper OTM-R policy with particular regard to access to information by international researchers</p>

<p>14. Selection (Code) Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</p>	<p>+/- = almost but not fully implemented</p>	<p>Gender Balance in selection committees is mandatory in all R2-R3-R4 recruitment processes, while it is only often applied to R1 selections but with no legal bond. Future selection calls for PhD candidates will require full gender balance in analogy with the other researchers' categories (at least 1/3 of evaluation committees). Uninsubria, apart from the "Selection-Kit" provided to all selection panels and including regulations and templates (in Italian) to help them managing the whole process, does not make available to them a specific training on the recruitment process. In parallel with the publication of a proper OTM-R policy, a related on line course/webinar/remote tutorial targeted to Selection Committees' members will be implemented in the intranet/e-learning section, focusing on OTM-R tool kit and stressing their formal adherence to Uninsubria's Code of Conduct, Code of Ethics and to the Code of Conduct for the Recruitment of Researchers.</p> <p>Survey results: "foreign evaluators/referees": Low priority/medium accordance (2.1); "non-academic evaluators/referees": Low priority/medium accordance (2.4); "Gender balance in commissions' composition": Low priority/medium (good) accordance (2.9)</p>	<p>Selection committees of R3/R4 include three national or international academic experts in the research sector of the position to be covered (no inter sectorial experts allowed). At least two of them have to be external members to the University of Insubria. Since 2018 an annual evaluation on academic duties of single established and leading researcher has been adopting and a positive result is mandatory to participate in recruitment processes. Selection committees of R1 and part of R2 include academic members having adequate curricula and competencies and may include external/international experts, coming from public or private sector. An Annual Senior "R2/Assegnisti di ricerca" selection procedure is completely peer review based (evaluating research projects and CVs). Selection practices depends on the researcher category and on the orientation of the Committee: from CV analysis, written test for PhD candidates or face-to-face interviews. Public dissertation in front of the Department Board can be foreseen for R3 and R4.</p> <p>Courses on Transparency and Anticorruption have been periodically organized together with specific training addressed to administrative staff. Selection Committees are provided with a "Selection-Kit" including regulations and templates are always gender balanced in R2-R3-R4. NEW PROPOSALS: Actions n. 17 and 18</p>
<p>15. 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</p>	<p>+ + fully implemented</p>		<p>In the announcements clear indications are always provided starting from the number of available positions. A standardized section of Insubria website dedicated to recruitment calls collects all information about the entire recruitment process: requirements, composition of the committees, evaluation criteria (where applicable), research</p>

selection process about the strengths and weaknesses of their applications			<p>activities programme to be performed (, i.e. post-doc positions etc.), references in case of complaints and appeals, results and final merit-based list (R3/R4: complete minutes of the final evaluation are also made public on the same webpage).</p> <p>In addition to the publication of selection's results, candidates have the opportunity to access further information about their evaluation. They just need to send a written request, according to the procedures stated by the Access Right legislation. Information on recruitment procedures and candidates' rights are ensured and will be appropriate communicated in the framework of several communication actions already foreseen in Action Plan.</p> <p>Survey results: Question 2.6. on "Correct description of criteria, rights, conditions": Low-medium priority / medium (good) accordance (2.8); Question 2.4. on "Communication of weaknesses and strengths after selection": Low priority / medium accordance (2.3)</p>
<p>16. Judging merit (Code)</p> <p>The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of</p>	++ = fully implemented		<p>The selection committees give a full description of the criteria in compliance with National law. Candidates are evaluated by their curricula and the whole range of experience, also in term of teaching, supervision, teamwork, management of research and innovation and public awareness activities including bibliometric indices and possible patents or inventions.</p> <p>On a national basis a scientific qualification must be achieved in order to apply for R3 and R4 positions and be further evaluated with regard to criteria established in the specific call.</p>

research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions			
<p>17. Variations in the chronological order of CVs (Code)</p> <p>Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</p>	++ = fully implemented		<p>The evaluation about the overall consistency of the candidate's scientific production, the intensity and temporal continuity takes into account any periods, properly documented, of non-voluntary career breaks with particular reference to parental leave. Researchers working abroad, carrying out didactic and research activities, may apply to Italian academic positions if reflecting a representative array of achievements and qualifications appropriate to the position for which application is being made. Scientific international recognitions are appreciated.</p>
<p>18. Recognition of mobility experience (Code)</p> <p>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher</p>	++ fully implemented		<p>The selection committees take into account, where applicable, experiences performed both in Italy and abroad, the cooperation with foreign and international organizations and research centres, lecturer in international conferences, didactic teaching in international University or high qualification international research centres, achievement of international award.</p>
19. Recognition of qualifications (Code)	++ = fully implemented		<p>At local level, national and international regulation standards are fully implemented and all selection</p>

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels .			committees' members have the duty to know and implement them, when performing their evaluation. Dedicated administrative staff is devoted to the support of each procedure: they provide the selection committees with all relevant information on existing legislation.
20. Seniority (Code) The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised	++ = fully implemented		All announcements of available positions must contain clear indications of entry requirements for participation and, eventually, additional skills requested to the candidates: i.e. a specific master degree or PhD, national scientific qualification, expertise in a certain field or mobility experiences. The announcement for admission to the PhD program includes requirements, mandatory qualifications (curriculum vitae et studiorum, PhD proposal research, abstracts of the thesis allowing access to the Doctorate) and optional (reference letters). Evaluation committees' members are disregard to judge the candidates on the basis of the prestige of the institution they come from – both as university issuing the requested degree or as employer-, since the same weight in terms of evaluation should always be attributed to the same type of qualification.
21. Postdoctoral appointments (Code) Clear rules and explicit guidelines for the recruitment and	++ = fully implemented		The National law n. 240/2010 and Uninsubria regulation strictly establish the duration, extension, renewal, duration of the contract. The minimum

<p>appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.</p>			<p>duration of the first contract between the researcher and the University is established in 12 months and the maximum duration in 36 months. Research Fellows R2 's contract duration is closely related to his/her involvement in the related scientific project (entire project, some work-packages etc.) For scientific reasons linked to project results, it is possible to extend directly the contract (with no further selection, but after a departmental evaluation). Total duration, including any renewals / extensions or new grants granted – even by other Italian research institutions /Universities cannot in any case be more than 6 years. Total duration of all fixed-term contracts (as R2 “assegnisti di ricerca” or R3 temporary researchers) can not in any case exceed 12 years, even non-continuous. Maternity leave or for health reasons are not relevant for the purposes of the calculation of the duration. Uninsubria already reinforces post-doctoral career development with training opportunities, career advice service and research projects’ planning support as described in other principles of present analysis.</p>
Working Conditions and Social Security			
<p>22. Recognition of the profession All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral</p>	<p>++ = fully implemented</p>		<p>National legislative framework states professional requirements and contractual obligations of all researchers’ positions (http://www.miur.gov.it/reclutamento-nelle-universita). All researchers from R1 to R4 have an official status and can access to University facilities (labs, libraries, open access institutional repository IRInSubria https://irinsubria.uninsubria.it/, researchers’ support services, trainings as further detailed in section “Training and Development”). The Code of Ethics establishes general</p>

candidate, postdoctoral fellow, civil servants).			responsibilities and duties for all those involved in Research, as (quotation from art. 10) “The University requires from all the subjects involved in the research and in the activities and functions related to it, the highest level of scientific integrity understood as honesty and rigor in research and advertising of the relative results, abstention from any form of plagiarism or in any case of reprehensible conduct, as well as active engagement in their prevention and repression”. Internal regulations or practices define participation or representation in Academic Boards/Bodies and opportunity to afford international mobility or specific research budget. SURVEY RESULTS: Question 4.2 on “Autonomy and creativity” High priority / medium (good) accordance (2.7)
23. 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 for remote 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.	+/- = almost but not fully implemented	Uninsubria supports the professionalization of researchers and recognises that the researcher career path has levels with different roles, responsibilities and skills. Enhancing a stimulating environment for all researchers is the prerequisite to let them perform their research at the highest scientific standard. Uninsubria guarantees training opportunities, services and spaces and scientific facilities, although a recent recognition of laboratory instruments has shown the need of a general updating and optimisation of time-machine. Moreover, researchers are often recruited without sufficient consideration of all available information, services, opportunities, formal bonds and protection measures; therefore a specific communication plan will be provided. With regard to the possibility to access to University residency facilities, a formalization	1. Training environment: (see next section); 2. General facilities: All researchers are granted access to their Department and Labs, to the Campus Library and E-resources (conference calls service, on line services, free wifi connection through Edu-Roam, open access institutional repository, a dedicated repository for the doctoral thesis, a Personal Home Page to collect CV, contacts, automatic link to scientific publications and – if applicable- to university courses held by the researcher); 3. University Colleges - originally created for students- have been recently reorganized to host a specific number of R1 (last year 10% of rooms assigned to R1) and also young international researchers but this opportunity is still not very known; 4. Scientific facilities: Researchers can benefit of research equipment and scientific infrastructure in

		<p>process of existing opportunities for R2 is required as currently accommodation requests are evaluated on demand and with no adequate communication.</p> <p>SURVEY RESULTS: Questions 3.6 on “Compliance with health and safety regulations” High priority /medium (good) accordance (2.8) and 4.4 on “Research environment” High priority / medium accordance (2.6)</p>	<p>compliance with national health and safety laws (Legislative Decree 626/1994; Legislative Decree n.81/08 ; Inter ministerial Decree n. 363/1998). A specific Risk Assessment Plans is provided to guarantee personal safety to all researchers accessing laboratories and medical infrastructures (or any sort of biological, chemical risk).</p> <p>NEW PROPOSALS: As part of Action 7 Communication Plan, planning and implementation of e-tools for information and services related to accommodation, protection measures; Action 12. Scientific facilities optimization and Action 16 Residential facilities.</p>
<p>24. 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.</p>	<p>++ = fully implemented</p>		<p>National laws guarantee appropriate working conditions for all researchers in terms of flexibility, specific regulations for disabled workers and students, maternity, security; in particular: - Full possibility to switch from full time to part time work (R3/R4) and benefit of sabbatical leave; - researchers have no time bond and recording obligations, therefore flexible hours and teleworking are common praxis. Parental leave is guaranteed for R2/R3/R4 categories (moreover, in case of temporary workers as R2 “assegnisti di Ricerca”, Uninsubria covers 100% of maternity pay, instead of the 80% recognized by National Social Security Institute); PhD students have the opportunity to interrupt their scholarships and research plan with no prejudice to their career prospects.</p>
<p>25. Stability and permanence of employment Employers and/or funders should ensure that the performance of researchers is not undermined by</p>	<p>++ = fully implemented</p>		<p>National legislation rules access conditions through open, transparent and merit-based selection to all researchers’ positions in Italian Universities. Ministerial regulations, due to public spending</p>

<p>instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work</p>			<p>limitation policy, establishes the annual staff quota “punti organico” to be strictly followed by all Public Universities in their recruitment plan. Nevertheless, in recent years Uninsubria has been reaching the full staff turnover for permanent positions. No tenure track automatism is allowed. Only in case of Temporary Senior Researcher, if the researcher at the end of his/her 3 years contract obtains the National Scientific Qualification, he/she could be evaluated for further upgrade to Associate Professor. With concern to EU Directive on fixed-term work and with the aim to prevent abuse of undue use of fixed-term contracts, National Law 240/2010 defines for R2 “Assegnisti di Ricerca” and temporary R3 “RTD”: the necessity to justify the renewal of fixed-term contracts and the duration of successive fixed-term employment contracts (a comprehensive maximum of 12 years of temporary contracts between research grants and temporary research positions).</p>
<p>26. Funding and salaries Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities</p>	<p>+/- = almost but not fully implemented</p>	<p>Good conditions in terms of salaries and social provisions are ensured to our researchers as long as national rules allow them. Improving measures could therefore be proposed with regard to those limits and therefore be confined to researchers’ knowledge of legal framework and to institutional strategies to financially support successful researchers, in order to answer to weaknesses elements emerged from the survey. SURVEY RESULTS: Questions 3.1. on “Financial incentives” High Priority / Low accordance (1.9) and 3.5 on “Information on supplementary pension rights” Low-medium Priority / Low accordance (1.9) With regard to pension rights, according to Italian Laws and EU Regulation 1224/2012, there is the possibility to cumulate working periods spent</p>	<p>Social security coverage and parental leaves are provided for all categories, even with different conditions (see also principle 24). Italian salaries and social security provisions for all academic positions are determined by law (i.e. recently DM 40/2018 has consistently increased the minimum annual amount of PhD researchers). On Uninsubria’s initiative, fixed-term type B researchers’ salary has been increased up to 20% (where national legislation states that the top-up could be in a wage of 10-30% of total amount) see Resolution n. 192/2017 of the Administrative Board. National law (art. 29 L. 240/2010) admits only a tantum economical rewarding for senior researchers compliant with academic and scientific merit criteria: in 2014 our University promotes the first</p>

		<p>abroad in terms of calculation of maximum limit for pension rights terms (but no contribution transfer is currently allowed among different states). The career reconstruction in terms of pensions right is expected to remain quite difficult in Italy when foreign institutions are involved, therefore single promising initiatives aimed at overcoming those obstacles (i.e. ReSAVER adoption among Italian Public Universities with the mediation of APRE as national NCP) will be monitored in terms of future dissemination to researchers. As legal framework is quite complicated and in progress, a recollection and periodic updating of information on supplementary pension contributions and contractual obligations is fundamental in order to guarantee effective access to alternative instruments and acknowledgment of international experiences.</p> <p>With regard to attractive conditions of funding and/or salaries, as no career progression automatism or direct funding/salary top-up are allowed by law, it is necessary to identify alternative measures to support research activities of researchers and financially valorise their role.</p>	<p>incentives assignment, currently second cycle assignment is being implemented (Administrative Board of 26/09/2018)</p> <p>When a researcher is directly involved in external commissioned research activities (not institutional research), a specific incentive could be assigned to his/her department or directly to the involved researchers or technical or administrative staff, according to the related Regulation and to departmental deliberations.</p> <p>Moreover, University professors and researchers benefit of a specific University Research Fund (FAR), yearly assigned according to evaluation of Disciplinary Areas Commissions and taking into account personal scientific performance.</p> <p>NEW PROPOSALS: Action n. 6 with particular regard to contractual obligation and supplementary pension rights; Action n. 13</p>
<p>27. Gender balance Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and</p>	<p>+/- = almost but not fully implemented</p>	<p>The “positive actions plan” promoted by Uninsubria Guarantee Committee is currently mainly addressed to non academic staff. The new Committee – to be installed at the end of October 2018)- will be steered in order to verify any possible extension of the future plan to all researchers.</p> <p>Gender Balance in selection committees is mandatory in all R2-R3-R4 recruitment processes, while it is only often applied to R1 selections but</p>	<p>Legislative Decree No. 165/2001 establishes in art. 7 equal opportunities for men and women at work, as well as the freedom of teaching and professional autonomy in the course of didactic, scientific and research activities. Art. 57 foresees the institution of internal committee to promote and supervise equal opportunity. Uninsubria’s Guarantee Committee (CUG) for equal opportunities, valorisation of organisational well-being, non discrimination works to ban any type of discrimination (see also principle</p>

evaluation committees should have an adequate gender balance		<p>with no legal bond. Future selection calls for PhD candidates will require full gender balance in analogy with the other researchers' categories (at least 1/3 of evaluation committees).</p> <p>Survey results: Question 4.3 on "Gender balance" Low priority / medium (good) accordance (2.97)</p>	<p>10) and periodically reports on ongoing activities and promotes positive actions. Uninsubria's Guarantee Committee, which, by the way, will be completely renovated by the end of 2018, approves regularly (every three years) a "positive actions plan". The plan is approved by the governing bodies and adequately budgeted. The plan is usually structured in four chapters: 1) organizational wellbeing 2) welfare opportunities 3) dialogue and integration with other private and public organizations 4) promotion of gender balanced awareness and equal opportunities fostering.</p> <p>Gender Balance in selection committees guaranteed by laws: at least one third of the component of the evaluation committees must be reserved to women. This principle is already applied to all R2-R3 and R4 selection committees.</p> <p>NEW PROPOSALS: Action n. 17</p>
<p>28. Career development</p> <p>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements</p>	+/- = almost but not fully implemented	<p>Multi-year Staff Recruitment Plan is discussed, updated and approved by academic bodies after internal recognition involving Departments, Rector and HR Service: it includes personnel needs and related recruitment strategies of permanent / temporary / mobility positions according to ministerial funds availability. No tenure track automatism is allowed by law.</p> <p>In order to value young researchers' career plans, a specific support to PhD students should be in charge of the institution and systematically performed. Current supervising support provided to First Stage Researchers needs to be formalized, guaranteed and empowered: R1s and their supervisors will adopt, as good practice already experienced in MSCA-ITN actions, and jointly draw a PCDP Personal Career Development Plan.</p>	<p>If a fixed term (Type B) R3 researcher, during his/her last year of contract, obtains the "National Scientific Qualification", he/she will be evaluated for a career progression to associate professor. Similarly, permanent researchers and associate professors with the "National Scientific Qualification", and in service until 31/12/2019, will be evaluated for progression.</p> <p>Career guidance is informally provided to Early-Stage Researchers by their interaction with the supervisor (see principle 36 for details). All researchers benefit of specific services and tools provided by University Placement Office and Research Office with regards to job offers, secondments, international mobility, research funding (see also principle 30 "access to career advice").</p>

		Survey results: Question 5.3 on “Career progression plans” (also principles 21, 30 and 39) High priority / medium accordance (2.1)	NEW PROPOSALS: Action 10 Personnel Career Development Plan
<p>29. Value of mobility Employers and/or funders must recognise the value of geographical, intersectoral, 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.</p>	<p>+/- = almost but not fully implemented</p>	<p>On national level, internationalization and mobility are widely recognized and supported through legislative means and specific mobility programs and grants: not only researchers have the opportunity to access short and long period mobility programs (up to 5 years with formal agreements between the involved institutions), but they can also apply for national and international mobility competitive grants (Erasmus Staff or Teaching exchange, H2020 Marie Curie projects, Ministerial bilateral scientific cooperation). Moreover, national law states that PhD students have a dedicated budget for international mobility up to 6 months, recognizing that mobility and internationalization are essential elements for their training. ANVUR, Italian Agency for the Evaluation of the Quality of Research, identifies “international mobility” as one of the quality elements to be evaluated for each researcher (period of more than 3 months abroad in the previous 7 years are considered). On local level, Uninsubria values internationalization and mobility thanks to the several initiatives described in the adjoining section. From all this detailed mapping arises that strategic framework is settled. Still, mobility is not yet completely achieved in terms of effective number of international research exchanges, attractiveness of external researchers and career recognition. New active initiatives and opportunities should be now implemented in order to realize the effective promotion and support to mobility in terms of incoming services</p>	<p>Uninsubria values internationalization and mobility and therefore: - supports exchanges between professors with the same academic qualifications (both for teaching and research); - supports "visiting fellows" in order to strengthen relations with the research group of the University of origin, facilitating the organization of mixed research groups; - recognizes the maximum allowed amount to PhD students for international mobility (50% of their scholarship); - formally agrees (already during the submission phase) to the portability of individual grants with concern to some external funding (i.e. ERC grants or Young Researchers Fellowship by local main Bank Foundation).</p> <p>NEW PROPOSALS: Action 5, Welcome “incoming” measures addressed to new international researchers; as part of the Action 6 “outgoing” measures addressed to our researchers interested in mobility experience</p>

		<p>offer (visa for international researchers, accommodation, Italian as a foreign language course etc.) and outgoing information (international exchanges for our structured researchers) and also the formalization of "mobility" as one of the merit-based selection criteria in recruitment procedures, where applicable.</p> <p>Survey results: Question 5.2 "Geographical, interdisciplinary and intersectorial mobility for researchers": High priority/medium accordance (2.54)</p>	
<p>30. 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.</p>	<p>+/- = almost but not fully implemented</p>	<p>Survey results: Question 5.3 on "Career progression plans" (also principles 21, 28 and 39): High priority / medium accordance (2.1)</p> <p>Information on all opportunities already offered by Uninsubria to all its researchers to support their professional development should be better organized in order to improve access to related services and initiatives. Career advice provided by Phd supervisors needs to be formalized, guaranteed and empowered through the adoption of PCDP Personal Career Development Plan.</p>	<p>Supervision for young researchers is guaranteed (see principle 36) and it could be improved with the implementation of quality elements and monitoring. Institutional services addressed to all researchers with regards to their scientific career is offered by Central Libraries Service and Research Office: external funding calls scouting, research project planning, IPR and technology transfer information, mobility opportunities, publication and scientific copyright, training on research planning and soft skills. Young researchers open to industrial research and collaboration with private companies can take advantage also of University Job Placement 's services already defined for post-graduate students (including R1) and to be further developed for post-docs: counselling, job search, CV review and e-tools support. Single good practice initiatives have been testing such as for the funded project "GLOCAL ERC" aimed to support and promote young researchers' participation in ERC-Starting grants 2017/2018/2019.</p> <p>NEW PROPOSALS: Action 6 Formalization of information and services addressed to permanent</p>

			researchers in order to increase access; Action 10 PCDP
<p>31. Intellectual Property Rights Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement</p>	++ = fully implemented		<p>Uninsubria regulations embrace: - Regulation on IPR; - Regulation on University start-up foundation; -Regulation on research agreements and third parties services; - Single articles in different regulations where non-disclosure and IPR are dealt with (i.e. art.26 of research grants regulation) . IPR regulation imposes the definition of the IPR ownership in any agreement signed with external/third parties and defines: 1. the ownership of the IPR for institutional, funded or commissioned research; 2. The procedures to be followed by the researcher and by employees in case of a valuable results; 3. the percentages of incomes that are due to inventor/s in case of profits arising from patents exploitation; these values are higher than required by national law. In case of commissioned research, the related regulation foresees the possibility for researchers to have a direct income from the profits arising from the contract.</p> <p>Regulation on University start-up foundation recognizes to researchers the possibility to take over the commercial exploitation of their research results.</p> <p>Uninsubria offers specific support with regard to the implementation of those procedures (i.e. templates, technical advice) and to scientific publication and copyright issues through a dedicated policy and an open institutional repository.</p>
<p>32. Co-authorship Co-authorship should be viewed positively by institutions when</p>	++ = fully implemented		Our Code of Ethics states that “Every researcher is required to (...) give due importance to the merit and contribution provided by each of the participants in

<p>evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</p>			<p>the research activities". Therefore technical and legal provisions are provided and clear and co-authorship is already considered positively in many recruitment contexts. Italian Universities benefits of a combined Open-Access archiving system (https://irinsubria.uninsubria.it/) and, due to ANVUR's initiative (Italian Agency for the Evaluation of the Quality of Research), every researcher has now an ORCID code that provides a unique identifier, indispensable condition to avoid the homonyms that pollute the implementation of an integrated system. Uninsubria Repository policy applies EU Recommendation 2012/417/UE and supports Open Access as defined in the Berlin Declaration 2003, signed by this University through the Messina Declaration 2004. In Uninsubria PhD Thesis Repository, the "author" field is devoted to the name of the PhD student, independently to the supervisor. The Repository aims to collect, store and preserve the scientific production of the institution maximizing its impact at a national and international level; the research papers are Open Access available, compatibly with the publishers' copyright policies and with the copyright transfer agreement signed by the authors. Metadata can always be freely accessed.</p>
<p>33. Teaching Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their</p>	<p>+/- = almost but not fully implemented</p>	<p>Current scenario speaks out of legal and environmental conditions which are quite favourable to an enhancement of time devoted to research thus recognizing the importance of teaching activities in the career development of a researcher. Training on teaching expertise is sporadic and not institutionally planned, discussed and promoted as shown by the priority granted to this item in the online survey (together</p>	<p>Teaching efforts (not only traditional lectures, but also tutoring, mentoring, thesis support, exams etc) are included in the 350 hours per year dedicated to institutional activities all Full and Associate Professors and Fixed-term Researchers must comply with. Post-doc research fellows and "old" permanent researchers (running out category) are fully devoted to research. In case they had teaching activities, these would be remunerated apart from</p>

<p>research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</p>		<p>with a medium-low level of accordance related to the implementation of the principle) .</p> <p>Survey results: Question 4.8 on "Teaching and research at the same level": Low-medium Priority / medium (good) accordance (2.7); Question 5.1 on "Training for teaching activities": High priority / medium-low accordance (2.2)</p> <p>In the framework of Training Plan for Researchers (foreseen in Action Plan), a specific chapter on "teaching" is expected and it could include regular edition of courses on specific learning disorders (after the positive experience of a una tantum workshop held in 2018), teaching and research integrity courses, teaching methodologies and lecturing techniques; peer-to-peer guidelines written by senior researchers expert in teaching and mentoring.</p>	<p>their salary. First Stage Researchers - attending a PhD program - may perform, if authorized by the Course Academic Board, no more than 40 hours per year of "integrative teaching activities". Specific additional funds are made available by the Ministry (D.M. 198/2003) and competitively assigned to PhD students as mentors of first level degree courses. Some ongoing initiatives related to professional development of teaching skills are offered: • Recently run, a training course focused on teaching to- and verification of learning of students with specific learning disorders; • Internal guidelines for the editing of a "syllabus" on teaching aims and methodologies of each course; • partnership with European Network for Academic Integrity ENAI Academic integrity with regard to both teaching and research</p> <p>NEW PROPOSALS: In parallel with current training opportunities already offered to researchers, a specific focus on teaching skills will be foreseen in the Action 14 "Training Plan for researchers" to be implemented in HRS4R Action</p>
<p>34. Complaints/ appeals</p> <p>Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and</p>	<p>+/- = almost but not fully implemented</p>	<p>Good ratio between senior researchers / professors and PhD students in a small dimension University allows a close interaction not only with the supervisor, but also with other PhD course professors and coordinator and circumscribes strong conflicts. However, when complain or misunderstanding or disagreement turn into something more structured, institutional figures and mechanisms are provided but not appropriate promoted. A gap is indeed identified in the lack of advertising of services and procedures ("to whom and how to submit a complaint") dedicated to assist the researcher in resolving the work-related conflicts, disputes and</p>	<p>- Confidential Counsellor performs functions of assistance and consultancy to all University Community members, who are subjected to harassment, bullying and discrimination and related to issues of equal opportunities and conciliation work-family times. Privacy is totally ensured and the expert is an independent mediator https://www.uninsubria.it/risorse-utili/consigliera-di-fiducia;</p> <p>- Guarantee Committee CUG promotes appropriate measures and actions to guarantee equal opportunities, also in collaboration with other bodies and individuals;</p>

equitable treatment within the institution and improving the overall quality of the working environment		<p>grievances. Low priority perception of the importance of a specific support to conflict management (see survey results) shows the need of a strong institutional commitment in order to promote all opportunities already offered and therefore effectively realize a fair and equitable treatment within the institution and improve the overall quality of the working environment. SURVEY RESULTS: Question 4.6 on "Complains/appeals between supervisors and early-stage career": Low priority / medium accordance (2.6)</p>	<p>- Responsible for anti-corruption Uninsubria has open an e-mail box dedicated to reports of "unlawful conduct of which (the employee) has become aware on the basis of the employment relationship" (Article 54-bis of Legislative Decree no. 165/2001), which are circumstantiated and not based on mere suspicions or rumours. University guarantees the confidentiality of the identity of the reporter, given that only non-anonymous reports will be taken into account. The protection of confidentiality is guaranteed, for the technological aspects, by the mail system adopted by the University;</p> <p>- An Administrative Procedure Referee (RPA) is appointed for any administrative act, including recruitment procedures: his/her name and contacts details are clearly provided; he/she acts as a civil warrant officer concerning the administrative correctness, transparency and impartiality</p> <p>NEW PROPOSALS: Action 11</p>
<p>35. Participation in decision-making bodies</p> <p>Employers and/or funders of researchers should recognise 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</p>	+/- = almost but not fully implemented	<p>SURVEY RESULTS: Question 4.5 on "Researchers' participation in bodies/boards": Focus on R2 Low priority / medium (good) accordance (2.6.- accordance)</p> <p>Recognized researchers (R2 – “assegnisti di ricerca” in Italian) have no direct representative in academic bodies and no institutional recognized access to specific committees, although single positive involvements in department committees have been already experienced. The temporary nature of their contracts has not encouraged their inclusion in permanent academic bodies and commissions: the short-duration (often a year contract) is perceived as a limitation of their commitment.</p>	<p>Terms of participation of researchers to academic decision bodies are included in national laws and university charters. Permanent professors and researchers have a full representativeness in all bodies: Senate, Administration Board and Department Board. Nevertheless, even fixed term researchers are entitled to participate in Department Boards: PhD students have a representative for each PhD course belonging to the single Department, all RTD (both type A and B) are admitted.</p> <p>Recently, internal guidelines on Research Quality System – approved by the Academic Senate of July 2018- have introduced the opportunity of a stronger involvement also of post-doc researchers in</p>

		<p>Nevertheless, trends of last years have shown that restricted extension of those contracts (according to EU fixed-terms Directive) are not so uncommon and that “certainty” with regard to the maximum duration of the contract implies the possibility to organize, manage and complete a research program, as well as to get more and more involved in the academic community the recognized researchers belong to. Our University has already begun to set up the premises for the valorisation of their contribution with the approval of the new guidelines on Quality Assurance System by the Senate. The implementation of the opportunity of an involvement of R2 in departmental consultation bodies will be a natural result of this institutional strategy in order to facilitate R2s’ active contribute to the workings of the institution and to develop their involvement in departmental management, dissemination and documentation of research funds</p>	<p>consultation bodies as AIQUA-R Departmental Committees for the Quality of Research. NEW PROPOSALS: Action 15 “Implementation of participation of R2 on AIQUA-R”</p>
Training and Development			
<p>36. 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</p>	<p>+/- = almost but not fully implemented</p>	<p>Beyond the regulatory bonds and the supervising initiatives already in place, the interaction between supervisor and First Stage Researchers (FSRs) develops on a spontaneous and not structured basis, as they informally create the opportunities to meet and discuss performance and development plans. These fundamental interaction needs now to be guarantee and formalized for all ESRs and to benefit of the implementation of quality elements linked to the achievement of specific research outputs, as well as of the recording of related progress. A good and already “tested” means could be the</p>	<p>According to the internal regulations for PhD programs, the Academic Board of each PhD course appoints a supervisor/tutor for each young researcher. PhD candidates regularly report on the progress of the research both to supervisor and to other young researchers (peer to peer reports). In addition, each candidate must report twice a year to the Academic Board in order to gain admission to the following year or to the final dissertation. (art 5-7 PhD courses Regulation). Uninsubria has been adopting a PhD candidates’ careers database that allows to record the association of a supervisor / tutor to each young researchers. Regulation on</p>

		<p>introduction of a PCDP Personal Career Development Plan, starting from a template provided by EC in the context of the Marie Skłodowska Curie Action addressed to Young Researchers (ITN International Training Network). Our University has already adopted it and positive evaluated. A personalisation of the template and a wider adoption will contribute to improve the effectiveness and the assessment of the supervision offered to our PhD students.</p> <p>SURVEY RESULTS: Question 4.6 on "Complains/appeals between supervisors and early-stage career "(see also principle 34 on conflicts with supervisors) Low priority / medium accordance (2.6) - Detail on R1: 2.72 of accordance</p>	<p>Regulation on Post-doc fellows specifies that these researchers work on specific research programs and their activities are agreed with the Director of Department in which they work. They work according to the advice and under the supervision of a "Scientific Responsible", listed in the agreement signed at the beginning of the fellowship. Post-doc fellows annually submit for evaluation a written report on their research to the Scientific Responsible and the Department Board (art. 34 Post-doc grants Regulation).</p> <p>NEW PROPOSALS: Action n. 10 Jointly definition of Personal Career Development Plan by Supervisors/R1</p>
37. Supervision and managerial duties	++ = fully implemented		<p>National regulation concerning scientific background of PhD courses' members is very qualifying (see "VQR Valutazione Qualità della Ricerca" performance and PhD course accreditation, described in Principle n.11). Each PhD Academic Board identifies among its members several supervisors on the basis of specific scientific knowledge and previous experiences. Supervision and mentorship skills are more and more positively evaluated in national and international competitive calls (i.e. H2020 projects), therefore increasing scientific reputation and attractiveness of these tasks. Tasks and scientific requirements of supervisors have been detailed in principle 36 "Relation with supervisors" and 40 "Supervision</p>
38. Continuing Professional Development Researchers at all career stages should seek to continually improve	+/- = almost but not fully implemented	<p>Opportunities of life-long learning and professional development inside and outside the University, formal or informal, individual or collective are provided to our researchers both</p>	<p>1. Training: all our Researchers have the opportunity to participate in workshops, events, training courses organized by the University (see point 39);</p>

<p>themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning</p>		<p>through in-house training initiatives and financial support to the participation to external conferences and dissemination activities. A gap is identified in the access to those opportunities: researchers' participation in institutional or external training initiatives as well as their use of specific tools and services provided by the Institution need to be further developed. Supervision is guaranteed but not systematically applied with specific templates, defined timeline and other quality implementation elements.</p>	<p>2. Access to international mobility: researchers may apply for international mobility programs; a proper budget for international mobility is foreseen for each PHD candidate (min. 30 days, max 18 months up to 50% of the budget of the period spent abroad);</p> <p>3. Research activities budget: in case of First stage researchers, a dedicated budget is mandatory in their grants (10 % of the yearly grant) for their second and third year; senior researchers access to departmental budget for travel costs to participate in external initiatives</p> <p>NEW PROPOSALS: Action 7 "Communication Plan" on information, services and procedures addressed to potential, new and permanent researchers has been planned; Action 10 "Career Development Plan jointly defined by supervisors and FSRs". The introduction of PCDPs will lead to an improvement of career guidance for FSRs (as they will benefit of a structured support subject to monitor and evaluation) and, on the other hand, they represent an empowerment measures for the supervisors (as they will enhance their mentoring skills with the introduction of quality elements in the process.)</p>
<p>39. Access to research training and continuous development</p> <p>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</p>	<p>+/- = almost but not fully implemented</p>	<p>The University values professional leadership and management skills and provides specific supports for Researchers, both junior and senior. Services and opportunities (mainly Research planning and Career advice) as well as successful training initiatives (i.e. annual trainings held by APRE or English courses for ESRs) should be improved in terms of visibility, planning, and further assessment in order to strengthen future employability and career development of researchers. A bottom-up initiative on</p>	<p>Support Service on research funds, planning and Technology Transfer or IPR issues with specific workshops https://www.uninsubria.it/la-ricerca/supporto-ai-ricercatori Workshops addressed to FSRs promoted by Departments or, if cross-sector skills, by Doctoral School; - course on "Animal welfare and protection in research activities and laboratories" available also in streaming; - highly specialized international courses called "Summer and Winter Schools"; - Career Service offers a series of placement opportunities for PhD candidates and active liaison with companies is</p>

<p>their accessibility, take up and effectiveness in improving competencies, skills and employability</p>		<p>researchers' training needs (such as online survey) has never been performed.</p> <p>SURVEY RESULTS: Question 5.3 on "Career progression plans" (also principles 21, 28 and 30)</p> <p>* First among the "prior statements" of this dimension High priority / medium accordance (2.1); question 5.5 on "Senior researchers and mentorship": Low-medium priority / medium accordance (2.2)</p>	<p>promoted; - Uninsubria's association with APRE (Italian NCP for H2020), NETVAL (Italian Network of Technology Transfer Offices of Universities) and ENAI (European Network for Academic Integrity) ensures each year training courses open to researchers and administrative staff involved in research projects; 3-years project "GLOCAL ERC: Researchers of international success for Lombard Research" aims at the training of 9 young researchers in order to improve and support a wider participation in the ERC-Starting Grant; - a specific budget for mobility and travel costs is foreseen: see principles 38.</p> <p>NEW PROPOSALS: Action n. 7 Communication Plan for researchers' services will help to increase visibility of opportunities and Action 14 a proper Researchers' Training Plan, regularly discussed, updated, evaluated and disseminated will be realized.</p>
<p>40. Supervision</p> <p>Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.</p>	<p>++ = fully implemented</p>		<p>R1: a supervisor/mentor to whom they report and who supports them in their professional development is mandatory and identified at the beginning of their training phase (see art. 5 PhD courses Regulation). Scientific qualification of the whole Academic Board and their "exclusivity" obligations are guaranteed by law: the doctoral board must be composed by at least 16 members with documented international research results in the disciplinary areas of the PhD course. Each professor belongs only to one PhD course at national level in order to ward personal commitment and due time to run a proper training and supervision to the young researchers. R2: The "Scientific Responsible" of the research project is clearly listed in the agreement signed at the beginning of the fellowship and will annually evaluate a written report by the</p>

			<p>researcher together with the Department Board. Since 2013, some post-doc fellowships have been granted after a peer review process, taken into consideration not only the innovativeness of the research project, but also the CV of the Scientific Responsible who will monitor them.</p> <p>Central evaluation of supervision activities within PhD programs has been already planned and is going to be promoted by ANVUR (see principle 11).</p>
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