

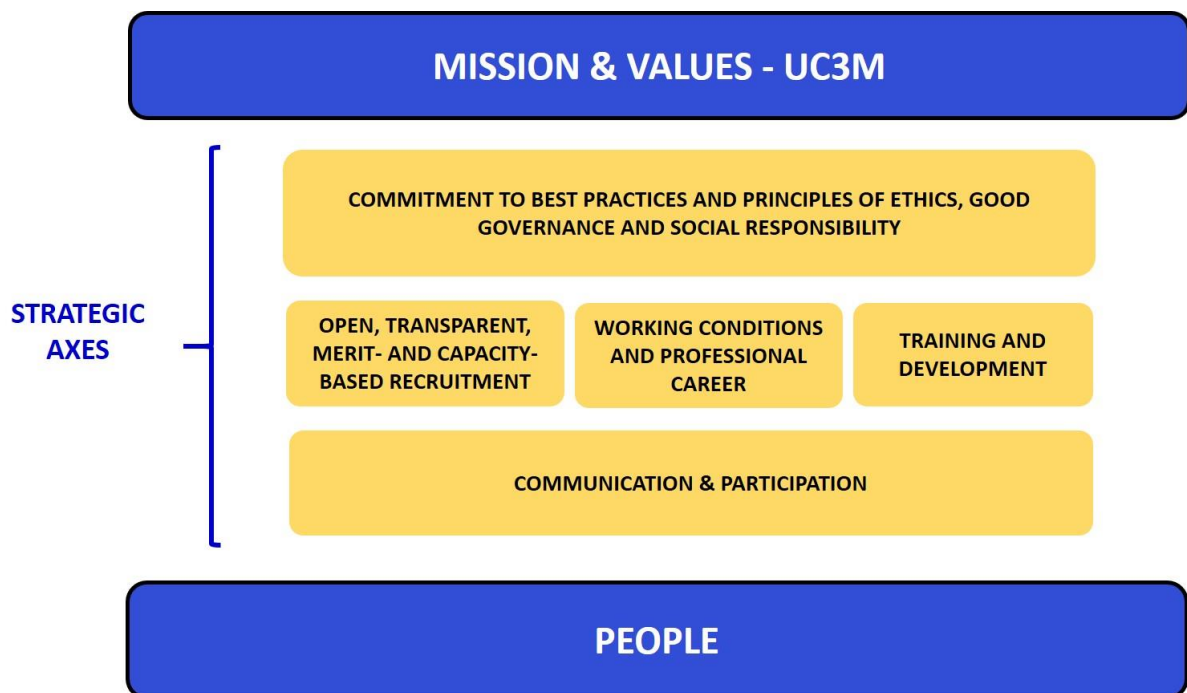
Human Resources Strategy for faculty

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Approved by the Governing Council on 15 April 2021

The Human Resources Strategy for Faculty (PDI) of Universidad Carlos III de Madrid is aimed at fulfilling the mission of the university, that is, to contribute to the improvement of society with quality teaching centred on the student and advanced research in accordance with demanding international criteria. The strategy also aims to increase the visibility and impact of knowledge, making it accessible and open, while boosting the transfer of results to society.

To define the strategy, the Carlos III University of Madrid culture has been taken into account as a set of values and principles with which the institution identifies itself, which are reflected in the people who make up the institution through their commitments and actions, the international principles of the European Charter for Researchers and the Code of Conduct for the recruitment of researchers, those derived from the documents agreed within the framework of the YUFE alliance (Young Universities for the Future of Europe), as well as the objectives defined through a series of relevant instruments of our University, such as, among others: the Strategic Plan, the Equality Plan, the Code of Good Practice in Research and the Plan to achieve the Sustainable Development Goals (SDGs). The following figure represents the axes on which the strategy is based and the pillars on which they are founded, our mission and values and the people who make up the faculty.



These strategic axes are:



- **Commitment to best practices and ethical principles, good governance and social responsibility, as well as to the Sustainable Development Goals of the 2030 Agenda:** Universidad Carlos III de Madrid is committed to complying with and enforcing all applicable regulations, particularly in specific matters, such as intellectual property and confidentiality. It trusts in the work of its Research Ethics Committee and ensures compliance with the best practices and ethical principles set out in international and national codes of ethics, as well as

those of the University itself. It complies with the principles of good governance, while striving to commit its faculty to continuous improvement, accountability, promotion of equality policies, protection of diversity and inclusion, as well as promoting open access to research. Along with this, Universidad Carlos III de Madrid frames its mission in the 2030 Agenda, and aims to contribute to the definition of the role of the Spanish university in its implementation. In particular, to integrate the SDGs into university policies and make them cross-cutting in the different areas of action, while also committing to raising awareness in the university community that achieving them is everyone's responsibility.

Objectives:

- To commit the organisation and the PDI to respect the ethical principles set out in the international, national and Universidad Carlos III de Madrid Codes.
- To ensure compliance with the codes of good practice in research and teaching.
- Encourage innovation to improve teaching-learning processes.
- Encourage innovation and promote excellent, international and interdisciplinary research.
- To stimulate integration between research and transfer models and give priority to the transfer of R&D&I results.
- Increase the visibility and impact of knowledge through the institutional mandate, while promoting open access to research as a sign of commitment to society (Open Science) and actively participating in the development of Citizen Science.

- Respect and promote policies of equality, diversity and inclusion.
- Contribute to the promotion of the 2030 Agenda and its SDGs, promote environmental protection and accelerate, as far as possible, specific actions for the benefit of the climate and the ecological transition.



- **Open, transparent recruitment, based on merit and ability:** Universidad Carlos III de Madrid is working to adapt its Human Resources policies to best practices in order to incorporate high quality faculty and foster their professional development. In this way, scientific and technological progress will be favoured, and as a consequence, the quality of life and welfare of society.

Objectives:

- To apply the *European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers* and, in particular, the OTM-R UC3M principles incorporated in the annex to this document.
- To establish a clear and transparent recruitment and talent attraction policy:
 - To give greater publicity to the selection processes and the evaluation criteria for the different types of recruitment.
 - Improve the description of working conditions, including prospects for career development and recognition.
 - Select selection committees specialised in the areas and competences and gender balanced.
- Assess merits comprehensively, quantitatively and qualitatively, specifically recognising experience in academic and professional mobility, both in the public and private sector.
- Recognise excellent teaching activity in the recruitment and promotion processes for faculty.



- **Working conditions and professional career:** Universidad Carlos III de Madrid works to have an attractive, open and viable working environment for its faculty. Among its objectives is the continuous improvement of the physical and virtual environments to guarantee excellent teaching and research activity. Human resources are the most important factor to carry out the strategic objectives and, therefore, it is necessary to take care of people and facilitate the development of their professional careers, including the promotion of mobility.

Objetives:

- Career planning for faculty.
- Encourage faculty mobility to organisations of recognised prestige.
- Stabilise faculty employment within the standards that administrations allow us to achieve.
- Maintain a healthy working environment.
- To develop the digital transformation.



- **Training and development:** Universidad Carlos III de Madrid works on the design of training and professional development plans in order to promote the improvement of faculty at any stage of their professional career.

Objetives:

- Establish multidimensional training plans that favour the continuous development of all faculty at all stages of their careers.
- Design *mentoring* plans for the first years of their professional career.
- Develop plans to foster faculty motivation.
- Train and support faculty in the digital transformation process.
- Promote continuous improvement in faculty based on the evaluation of their activity.



- **Communication and participation:** Universidad Carlos III de Madrid works to achieve two fundamental objectives in the HR strategy: first, to involve the different faculty groups in the definition of the action plans of the different areas of action; and second, to establish communication mechanisms to publicise the strategies, plans and

actions.

Objectives:

- Develop a communication and dissemination plan.
- Incorporate a plan for faculty participation in each of the action plans.



OTM-R-UC3M: OPEN, TRANSPARENT AND
MERIT-BASED RECRUITMENT POLICY
(OTM-R) OF THE UNIVERSIDAD CARLOS III
DE MADRID

ANNEX

OTM-R-UC3M: OPEN, TRANSPARENT AND MERIT-BASED RECRUITMENT POLICY (OTM-R) OF THE UNIVERSIDAD CARLOS III DE MADRID

I. Introduction

Open, Transparent and Merit-Based Recruitment (OTM-R) is one of the cornerstones of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers of the European Commission, as well as of the Human Resources strategy of the Universidad Carlos III de Madrid (UC3M).

The Commission adopted these two reference instruments, the Charter and the Code (Charter & Code; or C&C) in 2005. On the one hand, the Charter defines the responsibilities and rights of research staff and of the entities that employ and/or fund them; on the other hand, the Code aims at implementing certain principles and requirements in staff selection processes, in order to ensure that they are fairer and more transparent. Both aim to develop "an attractive, open and sustainable European labour market for researchers" in environments conducive to performance and productivity.

Along these lines, the Strategic Plan of the Carlos III University of Madrid has as a basis in its Human Resources policies, that the provision of sufficient and well-developed human resources in R&D is one of the pillars in the advancement of scientific knowledge, technological progress, improving the quality of life, guaranteeing the welfare of European citizens and contributing to the competitiveness of Europe.

Due to the conformity of the staff recruitment policy of Universidad Carlos III de Madrid with the recommendations of the Charter and the Code, as well as with the specific guidelines of the OTM-R policy, our University formally adhered in 2015 to its principles, integrating them and making them explicit in its institutional policy. Shortly afterwards, in 2016, Universidad Carlos III de Madrid received the HR Excellence Award. This recognition is a reflection of the effort made by the institution to ensure a policy that interrelates the general principles of recruitment, working conditions and career development; something that requires a continuous process of adaptation to change and implementation of new improvement actions.

In short, Universidad Carlos III de Madrid works continuously to improve the recruitment processes and the systems of evaluation and professional assessment of its researchers, with the aim of creating a more transparent, open, egalitarian and internationally recognised recruitment and professional development system.

II. II. Types of links between faculty (PDI) and the University Carlos III of Madrid

At Universidad Carlos III de Madrid, faculty (PDI) have two types of professional links with the institution: permanent and non-permanent staff.

In the case of **permanent staff**, article 62 of the **Organic Law of Universities** refers to the Statutes of each University the regulation of the procedure that must govern the competitions for access to positions in the University Teaching Bodies. The Carlos III University of Madrid, through its Statutes and its own regulations governing the creation, announcement and provision of positions in the University Professors and University Lecturers Corps (approved by the *Governing Council in sessions of 25 June 2009 and 24 November 2016*), established the procedure governing access competitions.

The call for applications is published in the Official State Gazette, in which the following are stated:

- The requirements that applicants must meet to participate in the process, both general and specific (*having obtained the accreditation to the Corps and having obtained the I3 certificate to participate in competitions for access to I3 posts*).
- The composition of the Selection Committees, which must comply with the criteria of impartiality, professionalism and specialisation of its members, ensuring a balanced composition between women and men, unless this is not possible for duly justified and objective reasons.
- The general evaluation criteria (*suitability of the applicant's curriculum vitae to the area of knowledge; the academic teaching and research record and the teaching project, referring to any of the compulsory subjects of the syllabuses of the Universidad Carlos III de Madrid corresponding to the area of knowledge; as well as the research project and the criteria that govern in general for the calls for applications for positions in the areas corresponding to each Department, approved by the Governing Council at the proposal of the Rector*).

The Commissions shall assess the applicant's academic, teaching and research record, his/her teaching and research project, as well as his/her abilities for the presentation and debate before the Commission in a public session.

Once the tests have been completed, the Commission shall send the Rector a reasoned proposal, which shall be binding, relating to all the applicants, broken down by each of them and with the aspects evaluated, in order of preference for appointment, without the proposal exceeding the number of places called for competition.

The selection of **non-permanent faculty** is regulated by the **Regulations on the selection, hiring and renewal of non-permanent faculty hired under departmental budget** approved by the Governing Council in session on 19 March 2018. These regulations govern the recruitment of pre-doctoral and post-doctoral staff (assistant lecturers, visiting lecturers) and access (specific programmes for the recruitment of doctoral lecturers).

Faculty **selection processes** at Universidad Carlos III de Madrid are carried out by means of a public competition system in which the following **principles** are guaranteed:

1.- Publicity of the calls for applications: all selection processes are carried out through public calls for applications on the Employment website of the Universidad Carlos III de Madrid (<https://www.uc3m.es/empleo/inicio>) and to maximise the coverage of its job offers, the University supports each of the calls for applications published on the job portal with a comprehensive advertising campaign in online newspapers, dissemination of the offers on specialised job portals and informative posts on social networks for professionals.

The Carlos III University of Madrid develops its advertising strategy in different media, choosing media with national and international coverage, as well as those that best suit its target audience. The media usually used are:

- Portal de empleo Universidad Carlos III de Madrid
- Employment portal Universidad Carlos III de Madrid
- LinkedIn, social network oriented to business and employment use
- EURAXESS, European Commission initiative that acts as a support instrument for researchers
- El Pais.com
- El Mundo.es
- ABC.es
- Portal de empleo I+D+i Comunidad de Madrid

Each vacancy notice specifies the number of posts offered, the characteristics of the post, the department to which the post is attached, the requirements to be met by applicants, the evaluation criteria, the documentation to be submitted and how to send it, as well as, finally, the closing date of the vacancy notice and information on the protection of personal data.

2.- Equal opportunities and non-discrimination: candidates who meet the requirements for access to the selection process are evaluated strictly applying the principle of equality, in order to avoid discrimination on any grounds, such as gender, age, ethnic, national or social origin, religion or beliefs, sexual orientation, language, disability, political opinions and social or economic status.

3.- Transparency: applicants are informed of the receipt of their application, through the publication of the lists of admitted candidates on the University's Employment website, as well as of the development of the process in its different phases and the final result of the selection process.

4.- Merit and ability: applications will be assessed on the basis of the principles of merit and ability. To this end, the best possible match between the candidate's profile and the profile of the position offered is sought through a combination of a detailed analysis of the CV and possible interviews, by means of which evidence is sought, proof of the candidate's competencies, as well as contrasting their previous professional experience.

5. Professionalism, objectivity and impartiality: all selection processes have selection panels composed of members who will act in accordance with the principles set out in the *Code of Conduct for the Recruitment of Researchers*, respecting the principle of impartiality and ensuring equal treatment without discrimination of any kind in the exercise of their duties.

III. Faculty recruitment process

1.-Call and publication phase

The selection processes for both non-permanent and permanent teaching staff are carried out by means of a public call, in accordance with the regulations in force, on the University Carlos III of Madrid's Employment website <https://www.uc3m.es/empleo> and, in addition, the University supports each of the published calls with a complete dissemination and advertising campaign in and through all relevant media, i.e. national media, specialised employment portals and informative comments on strategic social networks aimed at professionals.

2.- Selection and evaluation phase

Permanent teaching staff are admitted to the University by means of a public competition, which is published in the Official State Gazette (B.O.E.), in accordance with the provisions of the *Organic Law on Universities, LO 6/2001 of 21 December; RD 1313/2007, of 5 October, which regulates the system of competitions for access to university teaching bodies; the Statutes of the Universidad Carlos III de Madrid*; and the University's own regulations governing the creation, announcement and filling of positions in the University Teaching Bodies (University Professors and University Lecturers) approved by the Governing Council in session of 25 June 2009 and modified by the *Governing Council Agreement of 24 November 2016*.

University teaching posts are approved by the Governing Council through the **Public Employment Offer** for each financial year, in application of the replacement rate for vacancies arising in the previous year and the posts endowed in the budget expenditure statement.

The recruitment of **non-permanent** faculty with a temporary employment relationship is carried out through the usual procedure for the provision of jobs in the Public Administration, public competitions which are widely publicised. The competition consists of the assessment of competences (knowledge + skills + attitudes) by collegiate bodies of a technical nature. The selection process, which is widely publicised, guarantees access to posts in accordance with the constitutional principles of equality, merit and ability and the principles set out in the *Code of Conduct for the Recruitment of Researchers*.

The selection criteria, established by the departments prior to the evaluation of the applications and agreed by the *Selection Committees*, made up of members from different areas and departments, and the *Hiring Committees* made up of members of the departments, for each of the contractual figures, will be available to applicants on the Carlos III University of Madrid Employment website and will be valid for two years from the time they are established.

The selection, hiring and renewal processes for non-permanent faculty hired on a full-time basis shall be carried out by the corresponding Hiring Committees and Selection Committees.

The Hiring Committees shall be chaired by the Director of each Department, or the person delegated, and shall also be made up of four other persons, who shall be appointed by the Department Council.

The Selection Committees will be made up of three members appointed by the Governing Council, at the proposal of the Rector, for a period of two years: president, secretary and

member, who must belong to a University other than Universidad Carlos III de Madrid and have accredited international experience. In addition, they shall include the Director of the Department and a person appointed at the proposal of the workers' representatives, in accordance with the provisions of the collective bargaining agreement. As far as possible, there shall be a gender balance in the composition of these Committees.

The competitions shall at all times guarantee equal opportunities for all candidates, respect for the principles of merit and ability, as well as the principle of equal treatment and opportunities between women and men, in accordance with the general regulations and those of this University.

In any case, the members of the Committees shall consider in their assessment the principles contained in the Charter and the Code.

The Recruitment Committees shall be responsible for submitting proposals to the respective Selection Committees for non-permanent contracted faculty positions financed from the budgets allocated to the Departments. Minutes will be drawn up of the proposals, in which all the candidatures will be recorded, together with the evaluations assigned, and the best-valued candidate will be proposed for recruitment.

The Selection Committees shall assess the proposals submitted by the Department Recruitment Committees in accordance with the established criteria and, in turn, shall propose to the Vice-Rector's Office with responsibility for Teaching Staff the awarding of the posts to the candidates with the highest scores for their recruitment.

The Vice-Rector's Office with responsibility for teaching staff shall decide on the proposal for the allocation of posts. Each applicant shall be informed of his or her score and, as far as possible, of his or her personalised assessment. Admitted applicants who appear on the Selection Committee's list as substitutes will be placed on a waiting list for each post.

3.- Complaints Phase

Adjudication decisions do not exhaust administrative channels, as appeals may be lodged against them with the Rector, who will resolve the appeals presented with the assistance of the Complaints Committee.

IV. Attracting talent

The Carlos III University of Madrid has been developing several specific programmes to attract talent in order to attract the best professors and researchers, to facilitate the development of the capacity and potential incorporated and to produce results, as well as, in short, to stimulate and maintain teaching and research excellence.

In Europe, our researchers have recently obtained three new "*Starting Grants*" and one "*Consolidator Grant*" from the "*European Research Council*" (ERC). Universidad Carlos III de Madrid currently has a total of 12 ERC grants. In addition, four researchers have received a Leonardo 2020 Grant from the BBVA Foundation and two research projects have been selected in the latest call for social research of the "La Caixa" Foundation. In turn, the 2020 Report on the scientific activity of the Alliance 4 Universities (A4U), published by the *Research Institute for Higher Education and Science* (INAECU), highlights the scientific and technological quality of the A4U universities (Universidad Carlos III de Madrid being one of

them), both at Spanish and international level. These four universities have obtained 17.37% of the Horizon 2020 (H2020) projects of the entire Spanish University System (SUE).

Some of the talent attraction programmes developed at the Carlos III University of Madrid are:

- The **Chairs of Excellence**: an initiative to promote excellence through the incorporation of researchers from centres of recognised prestige. This programme has been running since 2008 and is co-funded by Universidad Carlos III de Madrid and Banco Santander.
- The **CONEX-Plus** programme: mobility and training programme that aims to promote the career development of a cohort of international Experienced Researchers (ERs) at the University Carlos III of Madrid within the framework of the "Marie Skłodowska-Curie (MSCA) COFUND scheme". This programme is a continuation of another project in the same European programme called **CONEX**.
- **Postdoctoral stays**: mobility and training programme that aims to promote the professional development of young doctors in the University's departments. These programmes are developed individually or within the scope of national or international cooperation with other institutions (e.g. YUFE postdoc call).

In addition, participation in all types of competitive postdoctoral programmes and calls at regional, national and international level is encouraged, for which the University institutionally co-finances in most cases the postdoctoral contracts obtained in these calls.

The talent attraction programmes are aligned with the 9 principles and requirements established in the *European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers*.

The content of the recruitment process of one of the talent attraction programmes of Universidad Carlos III de Madrid, the CONEX-Plus, is detailed below as an example, in order to make visible its alignment at all stages with the principles set out in the C&C.

Thus, CONEX-Plus is a 36-month development and training programme, aimed at **postdoctoral researchers** with research experience between 0-6 years, in order to facilitate the acquisition of skills and competencies for the future development of their research careers, carrying out a project with the support of a supervisor at the University Carlos III of Madrid. The programme has its own website to disseminate its selection process and ensure that it is open and transparent. The text of the call for applications, which is always available on the website, describes in detail the position, the researcher's development objectives, the profile required, and the obligations and rights of the contracted researcher. It also explains in detail the stages of each selection process, the evaluation criteria for each stage, the method of notification of information and the candidates' right to complain.

In the **selection process**, different stages take place. Thus, to begin with, through the eligibility review, the proposals and CVs of the candidates are evaluated by academic panels, made up of experts from outside Universidad Carlos III de Madrid. Next, interviews of eligible candidates are conducted by panels of experienced professors (Department Directors/Deputy Directors and/or Professors), including job competency tests, and with the advice of recruitment experts who conduct competency-based interviews. It should be specified that the committees must comply with gender balance, as well as with criteria of internationalisation and interdisciplinarity in their composition. It should be noted that the intervention of the

Research Ethics Committee of the Universidad Carlos III de Madrid is ensured, in order to review those proposals that could raise any question of this type, ensuring at all times compliance with the H2020 guidelines, as well as with national and European regulations. It is expected that applicants will be informed at all times of the development of each phase, through individual notifications by email, the publication of the resolutions and results on the website, as well as through the attention of a "CONEX-Plus Helpdesk", which can be contacted by email or telephone.

With regard to the development of the selection processes themselves, the following should be highlighted:

- The estimation of skills and competences in a holistic way in the assessment of **merits** through proposals and CVs, as overall experience should be considered (beyond a simple count of publications or other merits provided) and **variations in chronology** that provide added value ("*non-conventional career paths*") should be judged positively, while **qualifications obtained** in different settings of **professional experience should be recognised**. These aspects are included in the CV template to be filled in by candidates when applying (teaching, grants and awards, commercialisation and transfer, collaborations with the company, reviews, dissemination activities such as workshops, seminars, etc.), while logically forming part of the evaluation sub-criteria, in order to ensure that all these achievements are considered in a comprehensive manner, avoiding a mere quantitative assessment of each career path.
- **Mobility** is also positively valued and promoted: on the one hand, international mobility is a compulsory eligibility criterion and, on the other hand, in order to enrich the training and the project, *fellows* have to carry out at least one *secondment* in a non-academic entity, while they can also carry out other stays, whether academic or not
- A constructive assessment is provided as a result of the analysis carried out, since after each selection stage, candidates receive a report with the scores for each criterion, as well as a reference to their strengths and weaknesses.

After recruitment, *fellows* are welcomed through an onboarding plan, which also has its own website, integrated within the CONEX-Plus website, in order to provide candidates with all the relevant and useful information for their integration: practical aspects about the documentation to be gathered; their arrival and first days; training plans and cultural activities within their reach, etc... In addition, meetings are scheduled specifically for them (welcome, information on taxation, etc.) or of interest to them. At the same time, each *fellow* has the valuable support of a *buddy*, already integrated in the University Carlos III of Madrid, to help him/her in his/her incorporation.

