

Internal Review

Case number: **2019IT406251**

Name Organisation under review: Sapienza University of Rome (Sapienza)

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1. Organisational Information

*Please provide an update of the key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	11.946
Of whom are international (i.e. foreign nationality) *	669
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	307
Of whom are women *	6.252
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	2.846
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	1.447
Of whom are stage R1 = in most organisations corresponding with doctoral level *	7.653
Total number of students (if relevant) *	115.000
Total number of staff (including management, administrative, teaching and research staff) *	15.449
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget ¹	768.907.744
Annual organisational direct government funding (designated for research)	74.388.009 ²

¹ Budget 2021

² The main public funding is provided by the "Fondo di Finanziamento Ordinario" (FFO), which does not bind the university or provide specific use limitations except in rare cases. Moreover, the funding is calculated by ASURTT by adding the following expense items: Funding for University Research Calls, International Inter-university Agreements, Visiting Professors Call, University Research Funding, Sapiexcellence Programme, Research Funding (from "5 per mille" public

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	17.937.000
Annual funding from private, non-government sources, designated for research	28.269.000

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

With over 700 years of history, around 115.000 students, 4.293 academic staff, 7.653 Phd students, and 3.553 employees, technicians and librarians, in addition to 1.350 administrative staff units in university hospitals, Sapienza is the largest university in Europe. Our mission is to contribute to the development of a knowledge society through research, excellence, quality education and international cooperation. Sapienza currently offers over 290 degrees (Bachelor's and Master's), including about 60 ones taught in English, more than 200 professional master courses, almost 80 PhDs and 80 schools of specialization. The School of Advanced Studies provides a programme of excellence and free tuition for the best students.

Today, it is recognised as the best universities in the world for Classics & Ancient History (QS ranking 2022). In the Academic Ranking of World Universities (2022: Shanghai Ranking Consultancy) Sapienza is ranked in the 101-150 range.



2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the four thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Ethical and professional aspects:

Strengths

One of the main accomplishments during the implementation of the HRS4R action plan was, in 2021, the approval of the Sapienza Gender Equality Plan (GEP). The GEP aims to enhance the full participation of people in University life by promoting a culture of respect, combatting gender discrimination and promoting effective gender equality through a series of internally consistent actions pursued over the next three years (2022-2024).

Moreover, Sapienza has recently issued a Regulation on Recruitment procedures for "I and II fascia" professors, and recruitment of fixed term researchers (RTDB). The principle of gender balance for commissions is warmly recommended, and is taken into consideration, as far as possible.

Sapienza pursues its objectives, respecting human dignity, in the pluralism of ideas and transparency of information and procedures. Sapienza ensures full liberty of thought and the expression of political, trade union and religious freedom. It guarantees to all personnel and students the conditions necessary to freely express and communicate their thoughts as well as by ensuring equal opportunities in both the workplace and the educational environment. In 2012, Sapienza adopted the Code of Ethics that establishes the fundamental values that must inspire the academic community and promote the recognition and respect of individual rights, as well as the assumption of university duties and responsibilities. In 2015, Sapienza approved the Code of Conduct to ensure the quality of services, the prevention of corruption, the respect of the constitutional rights of diligence, loyalty, fairness and exclusive service in the public interest.

Sapienza, as indicated in its Statute (Art.1, Paragraph 5), "guarantees its full and associate professors, researchers, and equivalent-level staff autonomous research and academic freedom, equal rights and access to research funds, instruments and infrastructures, as well as appropriate coordination. The assignment of funds must be based on projects evaluated according to the criteria of the international scientific community". The great importance that Sapienza recognises to the value of research freedom is also evident in the broad range of funding opportunities available to all personnel, in any role and category that is directly involved in research activities. Funds are assigned according to a bottom-up and merit-based approach. In particular, funding opportunities include 3 internal calls for proposals - aimed at funding research activities and archeological excavations, and the purchase of research equipment - and the Sapiexcellence Programme (including the following specific sub-schemes: Seal of Sapiexcellence; Add Sapiexcellence; BE-FOR-ERC, SEED of ERC).

During the implementation phase of the Charter & Code principles, there are other milestones reached that will impact the progress of the HRS4R programme moving forward. Sapienza has strengthened its collaboration within Civis Alliance (Aix Marseille Université, National and Kapodistrian University of Athens, Sapienza Università di Roma, Stockholms Universitet, Universidad Autónoma de Madrid, Universitatea din Bucuresti, Université Libre de Bruxelles, Université de Lausanne, University of Glasgow, Universität Salzburg, Universität Tübingen). Researchers from these universities regularly conduct research activities and promote the planning of project applications in partnership with Sapienza's researchers. The integration of the Charter and Code principles regarding ethical and professional aspects is ensured by the fact that these universities hold the HRS4R award.

Weaknesses

Sapienza is currently working on an updated version of the Code of Ethics and Conduct. The Code will be amended with additional contributions in order to comply with the new national regulation referred to art. 4, law n. 36/2022, (regarding the correct use of information technologies and social media, also in order to preserve the public administration's reputation), therefore, the document has not yet been formally approved by the relevant governing bodies of Sapienza. The translation is scheduled as soon as the document will be formally approved.

Remarks (max 500 words)

Recruitment and selection:**Strengths:**

Many of the selection processes carried out in Sapienza are regulated by national legislation, since most research positions are financed by public sourced funding. The law requires and guarantees that the recruitment procedures are open, transparent, and tailored to the type of positions advertised, to prevent any discrimination regarding age, citizenship, language, or ethnic origin. Such a system ensures equal opportunities for all, and it is particularly important for our institution since Sapienza seeks to attract international research talent. Sapienza, as required by national legislation and in particular by Law N. 240/2010, has adopted open recruiting and selection procedures based on the principles of transparency, merit and the respect of equal opportunities.

Sapienza has built a web-portal entirely dedicated to transparency, to provide citizens, institutions, enterprises and users, in general, with a full access to complete information on university activities and the use of public resources.

Sapienza, as required by National Law N. 240/2010, adopted the internal University regulations that define clear and specific recruiting procedures for each academic and researcher category:

- Regulation for Recruiting Full Professors, Associated Professors, and Type “B” Fixed-term Researchers, D.R. N. 3606/2021 – 27/12/2021;
- Regulation for Recruiting Type “A” Fixed-term Researchers, D.R. N. 2578/2017 – 11/10/2017;
- Regulation for Research Fellows, D.R. N. 427/2021 - 11/02/2021;
- Regulation for PhD Research, DR N. 1000 - 24/03/2022

The work environment at Sapienza is also becoming more internationalised thanks to membership in the Civis Alliance. One of the aims of this alliance is to increase the mobility of all researchers and employees.

According to law number 79/2022, a new discipline for post-doc has been established. The national legislation has introduced some relevant changes to academic recruitment and training procedures.

Weaknesses:

Notwithstanding the fact that recruiting procedures are open, transparent, and based on merit and equal opportunities, there still is a gap in the University capability to attract foreign researchers. For example, the documentation providing information on recruitment calls and procedures is still mostly available in Italian, according to Italian regulations.

Even though the gender equality plan also contains actions to address the visible gender gap at the institution in the next few years, the HRS4R new action plan needs to complement those efforts. In that sense, training actions to address gender bias in selection processes and career development has been deemed essential.

A new web-tool needs to be created and implemented in future calls (and it is currently being developed), to collect applications and carry out evaluation of candidates. The aim of the new tool is also to dematerialise to great extent the administrative process of university recruitment, accelerating it, and reaching the whole academic community with complete information.

According to national law number 79/2022, a new discipline for post-doc recruitment has been established. The remarkable changes to academic recruitment and training procedures that the new national legislation introduced makes a large part of the current internal procedures outdated, and in urgent need for updating. Sapienza will work on adapting the internal regulations according to the new national law.

Remarks (max 500 words)

Working conditions:**Strengths**

Sapienza implements all legislative requirements in order to guarantee the best working conditions. Sapienza, as required by the national legislation, adopted:

- Regulation for Recruiting Full Professors, Associated Professors, and Type “B” Fixed-term Researchers, D.R. N. 3606/2021 – 27/12/2021;
- Regulation for Recruiting Type “A” Fixed-term Researchers, D.R. N. 2578/2017 – 11/10/2017;
- Regulation for Research Fellows, D.R. N. 427/2021 - 11/02/2021;
- Regulation for PhD Research, DR N. 1000 - 24/03/2022.
- Regulations for Regulating Advanced Traineeships and Research Activity Traineeships - D.R. N. 3287 - 2017.
- Extracurricular Internships Regulations and Code of Conduct for quality extracurricular internships promotion - D.R. N. 2033/2018 -03/08/2018;
- Regulations for Telework (TeleLavoro Sapienza - TLS), D.D. N. 3311 - 13/12//2021
- Regulation for smart working D.D. N. 2637 - 14/06/2022
- Regulations for the Assignment of Research Activity Scholarships by Departments - D.R. N. 1622/2018 .
- Regulations for University Performance Funding - D.R. N. 2487/2018 - 18/10/2018 and the Regulations for Salary Increases - D.R. N. 943/2018 - 28/03/2018
- Patents Regulations - D.R. N. 199/19 - 16/01/2019

According to its Statute, Sapienza's Code of Ethics defines the rules of conduct, promotes the fundamental values of legality and solidarity and explicits the rejection of all discriminations. The Code appoints a Guarantee Committee for equal opportunities, the improvement of worker wellbeing and against discrimination (CUG). A proposal for the modification of the Statute approved on 22/01/2019 indicates the appointment of the CUG, composed of academic and technical-administrative staff.

Moreover, Sapienza published the Sapienza Gender Equality Plan (GEP). This plan aims to enhance the full participation of people in the University life by promoting a culture of respect, combatting gender discrimination, and promoting effective gender equality through a series of internally consistent actions pursued over the next three years (2022-2024).

The Sapienza Gender Equality Plan aims at achieving 10 objectives in the three-year period 2022-2024, through the implementation of 26 strategic actions divided into 5 areas of intervention:

1. Working-life balance, acting on organizational culture and the fight against stereotypes;
2. Gender balance in leadership and decision-making;
3. Gender equality in recruitment and career progression;
4. Integration of the gender dimension into research and teaching content;
5. Combatting gender-based violence and moral and sexual harassment.

Sapienza has identified the need to ensure a balanced gender composition of committees; in this context Sapienza has included the principle of gender equilibrium for panels in various university regulations (Research Grants, external collaborations, scholarships, research scholarships, PhD students).

Sapienza, in order to promote a stimulating research and educational environment, has carried the following initiatives:

- Appointment, by D.R. N. 2334 - 18/09/2017, of the QUID - Quality and Innovation in Didactic Working Group that has designed and implemented the University Project for Teacher Training.
- Establishment of the Research and Fab Lab Services Centre, an infrastructure dedicated to research and innovation co-financed by Regione Lazio;
- Annual Call for the purchase of research equipment of common and strategic interest to Sapienza;
- Annual Report on Organisational Wellbeing;
- Kindergarten for children of university researchers and academic staff;
- Establishment of a Placement Office promoting the access of Sapienza graduates and PhDs , to the job market.

Following a constant exchange of information between the governing bodies of Sapienza and the representatives of PhD students and researchers, another issue emerged: the need of increasing training activities aimed at the enhancement of transversal skills and professional competences of PhD students and researchers. Sapienza has therefore started a programme of yearly such training courses.

Moreover, the university has extended the Placement Office services to PhD students.

Various initiatives addressing the improvement of organizational wellbeing of researchers and management staff have been already set up: in October 2022 Sapienza launched a new survey aimed at monitoring improvements of professional, psychological and social wellbeing of researchers and management staff.

Weaknesses:

Sapienza has not yet in place a career development service for researchers in order to support professional career development and to help researchers to develop competences as well as their career.

Remarks (max 500 words)

Training and development:**Strengths**

The number of educational courses has increased during the past two years, as well as the number of researchers that have attended the courses. In order to better coordinate the offer of training courses, a dedicated educational portal was created where all courses are offered centrally, including annotations, contacts and all relevant information.

Thanks to the membership to Civis Alliance, Sapienza offered a huge program on soft skills courses also for foreign researchers, entirely held in English.

National legislation and Sapienza Regulations attribute the right/duty to be supported and trained to professors and researchers. As per the internal regulations, Sapienza identifies and assigns to each early stage researcher (PhD students and research fellows) a tutor that will accompany the early stage researcher throughout their career. Moreover, Sapienza provides a wide range of educational opportunities to researchers throughout their careers: ad hoc training for experienced researchers on European projects, training for researchers coordinating research projects, soft skill training for PhD students and researchers, tools and training to improve scouting capabilities for identifying international funding, training for administrative staff on management and accounting of research projects.

Weaknesses

A medium/long-term strategy and planning are necessary for the various training and support initiatives (even those already implemented during experimental pilot events) in order to increase career development opportunities for researchers, to combat the fragmentation and to enhance synergies between Sapienza central administration and departments.

Remarks (max 500 words)

Have any of the priorities for the short and medium term changed? (max 500 words)

The current Sapienza Strategic Plan reflects Sapienza's commitment to improve the system of selection, hiring and working conditions of researchers, and short/medium term priorities have been reinforced by the actions related to human resources included in the SSP. The priorities at the institutional level remained as initially established, confirming Sapienza's Action Plan.

Unfortunately, the pandemic situation has affected some of the activities aimed at the development of the Action Plan, which have been delayed, since the governance team and the services of Sapienza have had to manage the new situation of teleworking, electronic records, online classes, online thesis, etc. Given the experience with telework that the institution's staff has accumulated due to the pandemic, telework has become a reality and a priority that needs to be addressed through internal policy. The institution will work to promote training on telework strategies and provide institutional resources to optimize the performance of the research community and the institutional staff in general in this current context.

Have any of the circumstances in which your organization operates changed and as such have had an impact on your HR strategy? (max 500 words)

Although Sapienza has managed to fulfill the majority of the planned measures, we have delayed some of them. Moreover, the pandemic (which concurred to some of the delays) has accelerated the process of internal digitization of procedures and has revealed the great capacity of the Sapienza community to rapidly acquire and promote the necessary digital skills.

According to law number 79/2022, a new discipline for post-doc has been established, including some remarkable changes to academic recruitment and training. Sapienza is working to adapt the internal regulations according to the introduction of the new national law.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

In 2022 Sapienza adopted a new Strategic Plan for 2022-2027. HRS4R (including taking care of people) has a primary role in Sapienza's strategy and vision, **and the spirit of the Strategic Plan is embedded by the responsibility descending from the HR Award certificate**. The adoption of the new Strategic Plan shall help significantly in fulfilling the HRS4R action plan.

The new strategic plan enhances the consideration of the role that the University is called to carry out in this particular historical phase, characterized by a vulnerability and uncertainty because of the pandemic crisis. The whole community of Sapienza University feels more than ever the responsibility to contribute, with its own institutional missions, to the citizens' well-being.

In this complex context *the digital transformation* has an important role in our Strategic plan:

- appointment of a Committee responsible for the digitisation of the public administration;
- specific programmes on digital training for teaching staff ;
- dedicated portals for research, third mission, placement and research internationalisation.

3. Actions

Please consult the list of all actions you have submitted as part of your HR Strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also select new objectives.

Note: Choose one or more of the principles from the GAP Analysis with their implementation ratings: New, In Progress, Completed, Extended

Proposed ACTIONS

Principles:

- ☐ 1. Research freedom ☐ 2. Ethical principles ☐ 3. Professional responsibility ☐ 4. Professional attitude ☐ 5. Contractual and legal obligations
- ☐ 6. Accountability ☐ 7. Good practice in research ☐ 8. Dissemination, exploitation of results ☐ 9. Public engagement ☐ 10. Non discrimination
- ☐ 11. Evaluation/ appraisal systems ☐ 12. Recruitment ☐ 13. Recruitment (Code) ☐ 14. Selection (Code) ☐ 15. Transparency (Code)
- ☐ 16. Judging merit (Code) ☐ 17. Variations in the chronological order of CVs (Code) ☐ 18. Recognition of mobility experience (Code)
- ☐ 19. Recognition of qualifications (Code) ☐ 20. Seniority (Code) ☐ 21. Postdoctoral appointments (Code) ☐ 22. Recognition of the profession
- ☐ 23. Research environment ☐ 24. Working conditions ☐ 25. Stability and permanence of employment ☐ 26. Funding and salaries
- ☐ 27. Gender balance ☐ 28. Career development ☐ 29. Value of mobility ☐ 30. Access to career advice ☐ 31. Intellectual Property Rights
- ☐ 32. Co-authorship ☐ 33. Teaching ☐ 34. Complaints/ appeals ☐ 35. Participation in decision-making bodies ☐ 36. Relation with supervisors
- ☐ 37. Supervision and managerial duties ☐ 38. Continuing Professional Development ☐ 39. Access to research training and continuous development
- ☐ 40. Supervision

Proposed ACTIONS	Responsible unit	Gap principle	Timing (by quarter)	Indicator(s) / Target(s)	Status
A.1.New courses for PhD students and Researchers on Soft Skills (in particular, introductory and advanced courses on Ethics and Science)	Research and Technology Transfer Area	1. Freedom of Research	Q4	Two courses on Ethics and Science for PhD students are been held on December 2021: the 14th December 2021, a course dedicated to discuss about the objectives and rules of the institutions involved in scientific research (for PE and LS areas), 500 participants; the 15th December 2021, a course with the same object of the previous course, but it was dedicated to PhD students for the SH area, 500 participants. The target was at least 1 course on Ethics and Science (at least 150 participants)	Completed
A.2.Ongoing revision of regulations for participation in EU research projects	Research and Technology Transfer Area	1. Freedom of Research; 6. Financial Responsibility	Q1-Q6	Rather than general regulation for participation in research projects, Sapienza has recently issued a new specific Regulation to encourage Principal Investigators of national and international programmes of excellence .	Completed
A.3.Revision and adoption of the new Code of Ethics and Conduct, as per the principles of the European Charter for Researchers and the European Code of Conduct for Research Integrity	Legal Affairs Area	2. Ethical Principles; 3. Professional Responsibility	Q1-Q4	Sapienza is currently working on an updated version of the Code of Ethics and Conduct. The Code will be amended with additional contributions. The target is the adoption of the new Code of Ethics and Conduct.	Ongoing
A.4.Translation into English of the new Code of Ethics and Conduct	Communications Office	2. Ethical Principles	Q5-Q6	Sapienza is currently working on an updated version of the Code of Ethics and Conduct. The Code will be amended with additional contributions.	Ongoing
A.5.Planning and implementation of communication activities to promote the new code to all research categories	Research and Technology Transfer Area	2. Ethical Principles	Q5	Events of promotion of the new code of ethics and conduct to all researchers' categories will be organized in the second part of the year 2022, on the occasion of training courses on soft skills that will be held in November and December 2022. The target is the implementation of at least 1 initiative to promote the new code (at least 300 participants)	Ongoing
A.6.Development and distribution of an informative welcome kit on internal regulations for researchers and PhD	Academic Programmes Area	5. Contractual and Legal Duties	Q5-Q8	During the last PhD welcome day (held in January 2022) the on-line welcome kit was officially presented to the participants and made available through the dedicated Sapienza webpage , (estimated 7.000 kit). Moreover, the on-line welcome kit has been further promoted during the edition of training on soft skills targeted to PhD students (November 2021)	Completed

students and research fellows					
A.7.Planning and organisation of periodic workshops on the management of data produced by research	Research and Technology Transfer Area	7. Good Conduct in the Research Sector	Q4	<p>On July 7th 2021 a workshop concerning open science, in collaboration with UCL and Scientific Knowledge, has been organized. Moreover 3 additional webinars specifically devoted to research data management had been held in November 2021:</p> <p>1) Data management and digital tools supporting research at Sapienza (23/11/2021);</p> <p>2) Open Access (16-17/11/2021);</p> <p>3) Sapienza research publication online catalogue (16-17/11/2021).</p> <p>Finally, Sapienza is going to purchase, by the end of the year, a research data repository.</p> <p>The target was the organisation of at least 1 workshop on the management of data produced by research (at least 150 participants)</p>	Completed
A.8.Planning and production of a digital magazine on scientific communication for a national and international audience	Communications Office	8. Diffusion and exploitation of results	Q4-Q6	<p>The contents of the digital magazine had been processed and the magazine had been issued on May 20, 2022.</p> <p>The reached audience has been about 2.400 academics and employers.</p> <p>The envisaged target was 1.000 recipients.</p>	Completed
A.9.Development of a Patent Kit containing information, guidelines and university regulations for all researchers who wish to apply for a patent.	Research and Technology Transfer Area	8. Diffusion and exploitation of results	Q1-Q2	<p>The Patent Kit has been developed and it is at disposal of all researchers who wish to file a new Patent. It can be requested by filling in the e-module on this page dedicated to Patent Application. The Patent Kit contains: Sapienza's Patent Regulation; Inventor's Handbook; Annex A – Patent disclosure; Annex B – Patent Rights' Assignment; Annex C – Invention Review; Annex D – Reviewer's Confidentiality; Annex E – Communication of Patent Filing</p>	Completed
A.10. Development of a system for monitoring and sharing all third mission activities developed by the university	Communications Office	8. Diffusion and exploitation of results	Q1-Q4	<p>A dedicated session for Sapienza Third Mission has been established on the University website https://www.uniroma1.it/en/pagina/outreach. The session reflects Sapienza approach towards third mission activities.</p>	Completed
A.11. New transversal courses for PhD students and researchers on soft skills dedicated to	Communications Office	9. Commitment to public opinion	Q4	<p>A course dedicated to scientific communication and dissemination has been arranged the 24th of November 2021, with about 500 participants.</p> <p>The target was at least 1 course dedicated to scientific communication (at least 100 participants)</p>	Completed

scientific communication, in agreement with category representatives.					
A.12. Development of an English-language Fact Sheet on Research Fellowships Calls	Human Resources Area	13. Employment; 15. Transparency	Q1-Q3	The action is concluded with the predisposition and the publication on the website the English-language template fact sheet: Fact Sheet .	Completed
A.13. Inclusion of the principle of gender equilibrium for commissions in various university regulations (Research Grants, external collaborations, scholarships, research scholarships, PhD students)	Research and Technology Transfer Area	27. Gender equilibrium	Q1-Q3	Sapienza has recently issued a Regulation on Recruitment procedures for "I and II fascia" professors, and recruitment of fixed term researchers (RTDB). According to art. 8, c. 4 (pag. 9) The principle of gender balance for commissions will be taken into consideration, as far as possible. Moreover Sapienza has recently issued the Sapienza Gender Equality Plan (GEP). The GEP aims to enhance the full participation of people in University life by promoting a culture of respect, combatting gender discrimination, and promoting effective gender equality through a series of internally consistent actions pursued over the next three years (2022-2024).	Completed
A.14. Planning and development of courses on transversal competences	Research and Technology Transfer Area	28. Professional Development	Q4 and Q8	Sapienza planned and developed a training program on transversal skills for PhD students which take place from November 2022, until mid-December 2022. The Soft Skills Training Programme will be aimed at enhancing the training pathway of doctoral students, which is increasingly aimed at a labour market not only in the academic field. The main topics that will be approached in modules are, for example, R&I project writing, Scientific calculation tools and Big data, Research data management, Communication and Ethics, Outreach and Public Engagement and Entrepreneurship. The target is at least 1 course on Ethics and Science (at least 150 participants)	Completed
A.15. Extension of Placement Office Services (currently targeted only to new graduates)	Academic Programmes Area	30. Access to Professional Orientation	Q1-Q2	The Placement Office Services has been opened to PhD students. Courses on soft skills have been arranged also including the acquisition of skills which increase employability (Third Mission, Public Engagement and Entrepreneurship) and 320 places have been published, which provide the hospitality of as many PhDs students in an equivalent number of companies, in addition to grants financed by companies (with provision of hospitality) on the ordinary call (34 agreements) and the participation in the Lazio Region call for further 63 scholarships which provide hospitality in the company. The target was 30% estimated increasing of potential	Completed

				beneficiaries	
A.16. Initiatives to improve the organisational wellbeing of researchers	Organisation and Development Area	34. Complaints and Appeals	Q3	<p>In October 2022, a new survey was launched aimed at monitoring improvements of professional, psychological and social wellbeing of researchers and management staff. The collected data will be analysed and shared with stakeholders within the end of the year 2022. Organization and Development Division and the Department of Psychology agreed a new and wider theoretical approach aimed at developing a questionnaire investigating new areas, such as:</p> <ol style="list-style-type: none"> 1. exploring staff perception regarding work and social context features; 2. analysing staff personal resources connected with organizational wellbeing and engagement; 3. identifying relevant differences in the staff perception, comparing groups of people with different socio-demographic and organizational features; 4. individuating those variables (both individual and working environment related) contributing in developing organizational wellbeing and engagement. 	Completed
			Q8		
A.17. Quality and Innovation in Didactic Working Group (GDL-QuID)	Quality and Innovation in Didactic Working Group (GDL-QuID)	38. Continuous Professional Development	Q3	<p>The Group organised 1 course for Sapienza researchers and professors in 2021; 5% increase in the course started in September 2021 compared to the course of September 2020. In particular:</p> <p>"Training project for Sapienza QuID teachers" Yearly 2020: 75 participants</p> <p>"Training project for Sapienza QuID teachers" Yearly 2021: 88 participants.</p> <p>The target was the organisation of at least 1 course for Sapienza researchers and professors (estimated increase of 5% of participants)</p>	Completed
A.18. Tutorial "Good practices and guidelines for students with SLD" – QUID Group - 2022	QUID Group	38. Continuous Professional Development	Q5	<p>The tutorial took place the 22nd of March 2022, aims to provide information on the Italian legislative process up to the application in the university field of Law 170/2010 which protects students with SLD in the academic environment, and the guidelines of the CNUUD (National Conference of University Delegates for Disability); it also aims to describe the programs that Sapienza uses for reception and care of students with SLD. The tutorial is addressed to all university teachers and is repeated 3 times a year.</p>	New completed

A.19. SYMPOSIUM FOR YOUNG CHEMISTS 2022 - SYNC2022 Conference	Chemistry Department	38. Continuous Professional Development 8. Dissemination, exploitation of results	Q6	Innovation and Sustainability (SYNC2022) is an International conference that takes over the legacy of the Young Researchers Conference, an event which has been organized every two years since 2002 by the Department of Chemistry of the Sapienza University of Rome to offer the young researchers of the Department the opportunity to present their scientific work publicly, with the aim of promoting ever greater collaboration between research groups and to provide young people with ideas and tools for the construction of new research projects.	New completed
A.20. Sapienza Research Call for proposals - 2022	Research and Technology Transfer Area	26. Funding and salaries	Q8	Sapienza promotes and supports start-up projects for young researchers and projects of relevant scientific and interest. Sapienza's Research 2022 Call for proposals has allocated a total amount of € 11.500.000,00 to the various funding lines.	New completed
A.21. Third mission call - 2021	Research and Technology Transfer Area	26. Funding and salaries	Q4	Sapienza has allocated a total budget of 500.000,00 € to the 2021 Outreach Call for Proposals. The Call for Proposals finances dissemination, scientific education, enhancement of Sapienza heritage, public engagement, etc.	New completed
A.22. Update of the International Researcher Guide	International Office	24. Working conditions	Q8 AP 2023/2025	The updating of this Guide provides information and advice for incoming researchers about the arrival and stay in Italy and at Sapienza University of Rome. The target is at least 100 incoming researchers.	New
A.23. Vademecum on research support services in English	Research and Technology Transfer Area	24. Working conditions	Q6 AP 2023/2025	Vademecum research support services will be translated in English and published on Sapienza institutional website.	New
A.24. Training program on soft skills targeted to PhDs and researchers	Research and Technology Transfer Area	28. Professional Development	Q4 AP 2023/2025 Q8 AP 2023/2025 Q12 AP 2023/2025	Sapienza will organize a yearly training program on soft skills targeted to PhDs and researchers. The target is at least 1 training program, including at least 10 modules, per year.	New
A.25. Phd Welcome day – 2023	Academic Programmes Area	28. Career development	Q1 AP 2023/2025	Sapienza will define and disseminate a new PhD brochure. Moreover, the brochure will be further promoted during the next edition of training on soft skills targeted to PhD students and researchers.	New

A.26. IT Integrated Platform for recruitment Calls	Human Resources Area	13. Employment 15. Transparency	Q8 AP 2023/2025	Sapienza will adopt a new tool in order to dematerialise to a great extent the administrative process of university recruitment, accelerating it, and reaching the whole academic community with complete information.	New
A.27. Pilot Mentoring programme	Research and Technology Transfer Area	28.Career development	Q4 AP 2023/2025	Implementation of a mentoring programme for researchers, reaching at least 1 mentoring program for researchers (pilot-project + evaluation) within CIVIS Alliance: young researchers mentees are appointed with senior researchers' mentors). It includes training for mentors	New
A.28. Sapienza Research Call for proposals	Research and Technology Transfer Area	26. Funding and salaries	Q2 AP 2023-2025 Q6 AP 2023-2025 Q10 AP 2023-2025	Sapienza's yearly Research Call for proposals will allocate funds to promote the research activities and strengthen interactions between universities and research institutions. At least 10.000.000,00 € yearly	New
A.29. Third mission call for proposal	Research and Technology Transfer Area	26. Funding and salaries	Q1 AP 2023-2025 Q4 AP 2023-2025 Q8 AP 2023-2025	Sapienza will allocate a total budget of 450.000€ to the 2023 Third mission call for Proposals. The Call for Proposals finances dissemination, scientific education, enhancement of Sapienza heritage, public engagement, all aspects of inclusion, etc.	New
A.30. Sapienza Outreach calls	Research and Technology Transfer Area	26. Funding and salaries	Q1 AP 2023-2025 Q4 AP 2023-2025	Sapienza will allocate a total availability of 105.000 euros for projects presented by PhD students and research fellows.	New

			Q8 AP 2023-2025		
A.31. Events on public engagement	Research and Technology Transfer Area	38. Continuous Professional Development 9. Public engagement	Q4 AP 2023/2025 Q8 AP 2023/2025	Organization of large events including early stage researchers focused on public engagement . Target is at least 2 events on public engagement	New
A.32. Implementation of the internal regulations following the introduction of the new national law n. 79/2022 on post-doc recruitment and training	Human Resources Area	12.Recruitment 24.Working conditions	Q4 AP 2023/2025	According to law number 79/2022, a new discipline for post-doc has been established. The national legislation introduces some relevant modifications on academic recruitment and training. Sapienza has been working on adapting the internal regulations following the introduction of the new national law and following the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. The target is the publication of the internal Regulation.	New

Action Plan - Gantt Chart

Action/Quarter	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12
Action 22								T22				
Action 23						T23						
Action 24				T24				T24				T24
Action 25	T25											
Action 26								T26				
Action 27				T27								
Action 28		T28				T28				T28		
Action 29	T29			T29				T29				
Action 30	T30			T30				T30				
Action 31								T31				
Action 32				T32								

T: Target quarter for the realization of the action

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website. Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL: <https://www.uniroma1.it/en/pagina/hr-excellence-research-award>

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

The OTM-R principles have been implemented in Sapienza University as we proposed in the initial phase of this procedure. Since 2020, Sapienza University has implemented the principles of Open, Transparent, and Merit Based Recruitment (OTMR) for the recruitment of academic staff: we developed a fact sheet in English and it was published on web site. Interviews with candidates can now be conducted also remotely; this last measure, in particular, raised greater interest in applicants from other institutions, especially those from abroad (action nr. 13 in the previous OTM-R). Moreover, Sapienza has recently issued a Regulation on Recruitment procedures for “I and II fascia” professors, and of fixed term researchers (RTDB). The purpose of the regulation is to simplify and discipline recruitment procedures by bringing together three academic positions in one document.

Sapienza is developing a new tool (Integrated Platform for recruitment Calls), in order to dematerialise to a great extent the administrative process of university recruitment, accelerating it, and reaching the whole academic community with complete information.

According to art. 8, c. 4, the principle of gender balance for commissions is being taken into consideration, as far as possible.

Moreover, Sapienza has recently issued the Sapienza Gender Equality Plan (GEP). The GEP aims to enhance the full participation of people in the University life by promoting a culture of respect, combatting gender discrimination, and promoting effective gender equality through a series of internally consistent actions pursued over the next three years (2022-2024). (action nr. 18 in the previous OTM-R).

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL: <https://www.uniroma1.it/it/pagina/hr-excellence-research-award>

4. Implementation

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

The HRS4R process is carried out through an inclusive and participatory approach, aimed to involve the whole academic and research community, the Sapienza governing bodies and the management structures directly or indirectly responsible for researchers' HR-issues. Moreover, HRS4R is fully integrated into Sapienza policies by means of the Strategic Plan and the Performance Plan approved by the university governance. In this context, the University appointed a Scientific committee that features a wide representation of the array of university research components, regardless of career level and contract types, as well as all administrative personnel involved in researcher career and activity support.

The Scientific Committee will meet periodically every 2 months, on the Meet platform in order to share and discuss the progress of the various actions of the plan, including any issues or needed modification.

In addition to the plenary meetings, there were many meetings and communications between the Scientific Committee and the management Board with various components on specific aspects related to the implementation of individual actions as well as the preparation and Monitoring template provided by the management Board.

Engaged stakeholders

In order to guarantee full representation both on the academic and administrative-managerial levels, the **Scientific Committee** will be composed as follows.

- Deputy Rector for Research enhancement (Scientific Coordinator)
- Deputy Rector for Student welfare and quality of teaching
- Deputy Rector for Organisational autonomy, administrative innovation, resource planning
- Deputy Rector for Higher Education and Lifelong Learning
- President of PhD Programme Commission
- President of Council of Directors
- Representative in the Council of Directors, macro-area A
- Representative in the Council of Directors, macro-area B
- Representative in the Council of Directors, macro-area C
- Representative in the Council of Directors, macro-area D
- Representative in the Council of Directors, macro-area E
- Representative in the Council of Directors, macro-area F
- Representative II fascia (R3 and R4) professors in Board of Governors
- Delegate for Data and digital tools for research
- Academic representative in Senate
- Representative PhDs and researchers' fellows
- Representative of Scientific Technical Committee on Diversity and Inclusion
- Director of the Research and Technology Transfer Area
- Director of the Human Resources Area
- Director of Organisation and Development Area
- Director of Academic Programmes
- Director of International Office
- Director of the Legal Affairs Area
- Director of the Institutional Affairs Area

The scientific committee carries out the implementation of the HRS4R process with periodic plenary meetings and, at the same time, sharing documents and contributions via digital tools. The activities of the steering committee will be addressed to:

- analyse the existing regulations and/or institutional practices;
- open a discussion on strategic initiatives and actions to be undertaken;
- receive inputs from the researchers' community and stakeholders,
- report results to the Governance and to the entire academic community.

The scientific committee, in order to constantly monitor progresses accomplished in the application of the corrective measures described in the action plan, will be supported in the implementation phase by a management Board, that is a task force composed by representatives from all Sapienza administrative divisions involved (human resources, research and technology transfer, communications, etc.) as well as from the representatives from researchers. The management Board monitors the implementation of the Action plan and the final accounting processes. In particular periodically:

- monitors the degree of implementation of the action plan and the satisfaction level of the research community;
- manages the involvement and commitment of the interested parties;
- reports to the Scientific Committee, the Governance (in particular, the Deputy Rector Rector for Research enhancement) and the entire community on the achieved implementation phase, developing a semesterly monitoring report;
- propose, if necessary, corrective measures or alternative plans, etc.

Members of the Management Board

- Deputy Rector for Research enhancement (Scientific Committee Coordinator)
- Head of Research Promotion and Support Services Office (Management Board coordinator)
- Grant Office Sector Manager
- Grant Office
- Representative of academic researchers - Delegate for Data and digital tools for research
- Representative PhDs and researchers' fellows
- Director of the Human Resources Area
- Organisation and Development Area
- Director of Academic Programmes
- International Office
- Legal Affairs Area
- Director of Institutional Affairs Area

The Management Board will meet periodically and will be coordinated by the Deputy Rector for Research enhancement.

Each Division will contribute to the implementation of specific parts of the HRS4R, as indicated in the Action plan, and it will report on progress in periodic plenary sessions, with a particular focus on filling in any gaps, with suggestions and proposals.

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

How have you prepared for the internal review? *

Detailed description and duly justification (max 500 words)

On November 16th, 2020, Sapienza has received the "HR Excellence in Research" Award, as a recognition of its commitment on implementing the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

Since then Sapienza organized:

Three Plenary meetings of the Scientific Committee and Management Board were held in July 2021, March 2022 and May 2022;

Three restricted meetings of the Management Board were further held between February 2022 and July 2022 to develop and implement the Internal Review document.

Finally, the document was further shared with the Scientific Committee.

The final document was ultimately submitted to the Academic Senate during the November 2022 sessions.

A frequent exchange of communications between the coordinator of the Management Board and the Area's directors (responsible for the actions), was settled. First, we evaluated the current implementation of the action plan, and then we collected ideas for a new action plan. The draft versions were first commented on within the Areas responsible for implementing the action plan and by other administrative staff members of the Rectorate. Subsequently, they were revised by the members of the Scientific Committee and the Management Board. Afterwards, the documents were also approved by the Academic Senate of Sapienza University.

Given that this is an implementation of a European strategy, we also focused on cooperation with other universities and research organizations such as the Civis Alliance.

How have you involved the research community, your main stakeholders, in the implementation process? ***Detailed description and duly justification (max 500 words)**

The academic staff and researchers were involved at several levels. The implementation process managed the following tasks:

- The Management Board collected and prepared documents
- All documents are reviewed by the Scientific Committee for comments and validation. A representation of researchers is represented in the Scientific Committee.
- the Academic Senate evaluates documents for a final approval. The Faculty Deans attend the Senate assemblies, along with the President of the Dept. Directors Assembly.

The decision to include a representation of researchers in the Scientific Committee guarantees the participation of the research community in any action concerning the development and approval of new guidelines, protocols and regulations. Moreover, the entire university community will be updated on progress by the means of various initiatives (i.e., ad hoc events, information on specific issues and the HRS4R section of the Sapienza website).

In this context, Sapienza organized regular events in the area of HRS4R, and we invited a representative of the EC in order to concretely involve our entire community in the strategy.

Do you have an implementation committee and/or steering group regularly overseeing progress? *

Detailed description and duly justification (max 500 words)

Sapienza established a Scientific Committee and Management Board with 36 participants featuring a wide representation of university research components, regardless of career level and contract types, as well as all administrative personnel involved in researcher career and activity support. The Committee has already started the meetings to discuss the implementation of the specific actions.

The activities of the Scientific Committee are addressed to:

- provide the scientific coordination of the Sapienza's HRS4R process;
- open a discussion on strategic initiatives and actions to be undertaken;
- receive inputs from the researchers' community and the stakeholders;
- report on results to the Governance and to the entire academic community.

The Scientific Committee, in order to constantly monitor progresses accomplished in the application of the corrective measures described in the action plan, is supported in the implementation phase by a Management Board (MB). The MB is a task force composed of representatives from all Sapienza administrative divisions involved (human resources, research and technology transfer, communications, etc.) as well as representatives of researchers. The Management Board monitors the implementation of the Action plan and the final accounting processes.

In order to regularly oversee the implementation of the relevant action, a Survey was developed and launched aimed at monitoring improvements of professional, psychological and social wellbeing of researchers and management staff.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy**Detailed description and duly justification (max 500 words)**

HRS4R strategy had been fully integrated into Sapienza's policies also through the 2022-2024 Performance Plan. The plan establishes a specific monitoring and reporting process (with periodic timelines) for the implementation of the activities and initiatives identified in the Plan

Most of the actions that will be implemented aim to make C&C principles more visible and better known throughout the Sapienza academic community. As soon as the HRS4R implementation process will be officially kicked-off, the university will also adopt HRS4R in its main strategic documents, especially the next Three-year Strategic Plan. Sapienza is also already working to adapt its strategies and actions to OTM-R procedures.

How has your organisation ensured that the proposed actions would be also implemented? *

Detailed description and duly justification (max 500 words)

The implementation of HRS4R is integrated into the most important strategic document of the university. A Vice Rector is responsible for implementation and oversees the entire process, regularly informs the Rector about the implementation process, and submits to it materials for approval. The whole process is further supervised by a Responsible of Research Area who coordinates all activities and preparation of the necessary documents. In addition, it ensures communication between the university's management, the Scientific Committee, the relevant workplaces, and other interest groups. In the event of delays or any problems in implementation, they will be discussed as soon as possible so that the best possible solution can be found.

Moreover the presence of the main representatives of university governance in the Scientific committee and their direct commitment to HRS4R actions are the main means able to guarantee the full implementation of the process at Sapienza University. The Scientific committee will be supported in the implementation phase by a Management Board, that is a task force composed by representatives from all Sapienza administrative divisions involved (human resources, research and technology transfer, communications, etc.) as well as from the representatives from researchers.

How are you monitoring progress (timeline)? *

Detailed description and duly justification (max 500 words)

The HRS4R Scientific Committee is responsible for the periodic evaluation of action plan progress as well as for the identification of any necessary corrective measures to achieve the objectives (in case of delays, impediments or any other circumstance requiring specific actions).

The HRS4R Scientific Committee regularly reports to the Rector and is supported in the implementation phase by the Management Board that periodically:

- monitor the degree of implementation of the action plan and the satisfaction level of the research community;
- manage the involvement and commitment of the interested parties;
- report to the Scientific Committee, to the Governance (in particular, to the Deputy Rector for Research enhancement) and to the entire community on the achieved implementation phase, developing a semesterly monitoring report;
- propose, if necessary, corrective measures or alternative plans, etc.

The Management Board meets periodically and is coordinated by the Research and Technology Transfer Support Area that will act as an intermediary body between the Steering Committee (in particular, Deputy Rector for Research enhancement) and other administrative Areas.

Each Area will contribute to the implementation of specific parts of the HRS4R, as indicated in the Action plan, and will report on the progress in periodic plenary sessions, with a particular focus on filling any gaps, with suggestions and proposals.

All progresses will be constantly monitored, evaluated and shared with all members of the steering committee through semestral reports. The reports will also be discussed and approved during the meetings that will be held twice a year. The Support and Technology Transfer Area (ASURTT) will act as technical secretariat with all the other divisions involved with the objective of guaranteeing continuity of action amongst the various semesterly assessments.

If problems or obstacles are identified, whether of an internal or external nature, extraordinary meetings are called to take procedural decisions in the

shortest possible time. There will be regular Scientific Committee meetings as well as regular reporting to the Management Board.

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

Detailed description and duly justification (max 500 words)

The indicators are set out in the action plan for each action. The indicators will be checked by the Management Board, that is responsible for their fulfilment and the procedure, with the Scientific Committee as well. However, in addition to individual indicators, it is also necessary to monitor the overall progress of the institution, changes in its internal structure and policies, and processes with regard to the entire process of HRS4R.

Every 6 months, the Management Board sends, to the concerned areas, a template to be completed to evaluate the progress for the next assessment.

The following are examples of adapted indicators:

Concerning new academic programmes for PhD students and research fellows, progress is monitored through the number of courses organised each year.

The indicator for the revision of internal regulations consists of the number of the newly adopted regulations and of the corresponding translation into English, as well as the actions implemented for communicating the new regulations throughout Sapienza.

In terms of researchers' lifelong learning, progress is monitored through the number of courses organised each year.

Access to professional orientation is evaluated through the increase of the user's basin for the orientation service.

How do you expect to prepare for the external review? *

Detailed description and duly justification (max 500 words)

We will regularly monitor implementation of the action plan as well as further developments. Over the next three years, we want to hold the current good practice (that has so far worked very well), i.e. to meet with representatives of other research organisations and universities on the topic of HRS4R and HR in general.

The aim of the HRS4R working team is to continue considering it as a continuous process to identify aspects where improvement is needed, design solutions and implement them into the organisation. The next few months will be critical to stabilise the HRS4R in preparation for the external review.

We will provide all the documents and monitoring templates we have developed in the last two years with all the deliverables obtained as well.

Moreover, we will update all the web pages concerned in the process. For the EC evaluators' in-person visit, thematic meetings will be organised with members of Steering Committee and Management Board and, if interested, also with a representative of researchers.

Additional remarks/comments about the proposed implementation process

Detailed description and duly justification (max 1,000 words)