

INTERNAL REVIEW: working document

Name Organisation under review: UNIVERSITA' DEGLI STUDI DI PALERMO

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Web-link to published version of organisation's HR Strategy and Action Plan:

<http://www.unipa.it/amministrazione/area2/set15/carta-europea-dei-ricercatori-en/>

Web-link to organisational recruitment policy (OTM-R principles):

<http://www.unipa.it/amministrazione/area2/set15/carta-europea-dei-ricercatori-en/>

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 15.7.2017

1. ORGANISATIONAL INFORMATION

Key figures for the University of Palermo.

STAFF & STUDENTS (Full Time Equivalent): 2015

Total researchers = staff, fellowship holders, bursary holders	2376
PhD. students either full-time or part-time involved in research	510
Of whom are international (i.e. foreign nationality)	85
Of whom are externally funded (i.e. for whom the organisation is host organisation)	63 grants
Of whom are women	270
Of whom are stage R3 or R41 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor	880 professors + 593 researchers
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	393
Of whom are stage R1 = in most organisations corresponding with doctoral level	510
Total number of students (if relevant)	40415
Total number of staff (including management, administrative, teaching and research staff)	3577

RESEARCH FUNDING (figures for most recent fiscal year 2016) €

Total annual organisational budget	269.676.505,69 euro (2016) Previsione definitiva uscite correnti da Consuntivo finanziario riclassificato 2016 (U.I)
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	221.329.882,90 euro (2016) Previsione definitiva Entrate correnti da Consuntivo finanziario riclassificato 2016 (E.I.ii.1)
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	7.058.817,95 euro (2016) da conto economico - Bilancio d'esercizio 2016 voce A.I.3
Annual funding from private, non-government sources, designated for research	1.475.371,71 euro (2016) da conto economico - Bilancio d'esercizio 2016

	voce A.I.2
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
The university of Palermo was founded 210 years ago. It is a multidisciplinary public institution pursuing high education and research. It hosts 5 schools and 20 departments. It enrolls around 8500 students per year and has a student population of more than 40000 units with an increasing trend. The University of Palermo owns a large heritage of historical buildings and museums. It also owns a huge hospital, a sport center, an incubator for start up companies and foundations for agricultural studies. For this reason, the management of the University is a quite issue strongly relying on the relation with local public administration at municipal and regional levels.	

2. NARRATIVE

The University of Palermo since 2010 has obtained and still keeps the award 'HR Excellence in Research' from the European Commission after the external evaluation in June 2014. The positive outcome of the evaluation was sent to the institution on December 22nd 2014 with an evaluation report that has been considered for the draft of the new Action Plan and implementation of the OTM-R policy. Also the new documents issued by the EC experts panel was considered. Since 2014 many things have changed within the institution. A new rector was elected in November 2015 and the general director changed two times (start of 2016 and end of 2016). All these changes have put a severe problem to the Charter and code working group for the prosecution of the activities. Recently, a new organisation of administrative offices has also deeply changed the face of the institution with a lot of offices dismantled and again aggregated under different responsible persons.

The WG on the Charter and code has taken this opportunity to carry out some important actions for embedding the HRS4R process into the institutional procedures. First of all, the University of Palermo keeps a rector's delegate for the Charter and Code implementation, secondarily some of the activities related to the monitoring of activities are being carried out with the support of the 'Evaluation Commission' that monitors the institution for different aspects.

Also, most of the actions are now a consolidated practice within the institution (like the young researchers soft skills education or the creation of a local publishing company with UNIPA brand as well as an agreement with world wide renowned editors under a joint brand).

Most of the things considered as transition phenomena and raised by the peer reviewers in the December 2014 external review document are now a reality. Digitalization of many functions for enrollment, registration of exams and traineeship are completed or about to be completed.

The competition for funds is a reality to which the institution pays attention day by day and the new organization of administrative offices is aiming at making the support to researchers more effective.

The competition for students is also another issue that is involving the new rector and the creation of new attractive bachelor degrees has caused an increase in the AY 2016/2017 of more than 10% or new enrollments as compared to the previous academic year.

The competition for staff is something involving the OTM-R strategy that will be discussed in a special section of this document. On the other hand a strong budgetary reduction has caused a substantial fall of the public income since 2010. The territorial situation of the University of Palermo, located in Sicily in the southern part of Italy, puts the institution in a critical condition for attracting funds from companies and from local public administrations. The latter have typically used public resources to cope with poverty, increasing the number of public employees. This way of facing the issue has reduced the inclination to entrepreneurship and at the same time has contracted the resources for infrastructural investments. The current administration is reshaping the role of the University of Palermo as an institution strongly connected to local entities. The inauguration of the AY 2016/2017 has involved the heads of local authorities and has underlined the fact that the city of Palermo must become a 'campus', relating the recent entitlement of Palermo as national 'capital of youth' to the possibility to attract and prize university students.

A recent initiative, named 'Festival dell'ingegno', created by the municipality of Palermo in tight cooperation with the University of Palermo prizes young people proposing 'innovative solutions' for companies.

The recently amended Statute of the University of Palermo available at http://www.unipa.it/amministrazione/area6/set42bis/.content/documenti_regolamenti/117_Ed_Nuovo-Statuto-Ateneo-di-Palermo---Vigente-dal-23-04-2016-1---D.-R.-n.-847-DEL-18_03_2016---G.U.R.I.-n.-82-del-8-aprile-2016.pdf underlines at article 3 the endorsement of the European Charter and code of researchers especially for researchers hiring.

Moreover the strategical plan of the University of Palermo for 2016-2018 clearly outlines actions that take into account the Charter and Code principles, in particular in the fields of recruitment, career development, assessments and evaluation, dissemination, involvement with society, excellence policies, mobility, internationalization, working environment and conditions, PhD-policies, gender questions, etc.

Such as it was underlined by the peer reviewers in 2014, many issues cannot be fixed under the current regulatory framework, that in Italy puts several constraints on Universities' development.

However a recent national evaluation in the timeframe 2011-2014 (Italian VQR) has evidenced that the University of Palermo has improved the quality of recruitment. Now, in line with other Italian institutions, a strong OTM-R policy that is compliant with the current national legislation should be put in place considering the regulatory framework. In order to strengthen the excellence and value the research groups that can bring funds and benefits to the University, the strategic plan 2016-2018 starts from the analysis of strengths and weaknesses of departments with regard to the H2020 main themes. Moreover, many actions are being put in place to support the networks of excellence and the experimental activity inside laboratories.

As far as IPR issues and technological transfer capacity are concerned, the University of Palermo is part of many territorial organizations (like 'distretti tecnologici') and also national networks of laboratories, to which also companies take part to apply to competitive funds. These are vehicles for getting resources to carry out industrial research and develop products and services for the market.

The University of Palermo, following the recommendation of external evaluators in 2014, has continuously supported the activity of the incubator ARCA prizing the most promising SPIN OFF ideas. Moreover, to improve technological transfer, has set in the strategic plan 2017-2019 the action to devise tariffs for commercial activities towards external commissioning. The indicator is the total income from this activity. Moreover the number of commercially exploitable patents is considered a performance indicator in the new strategic plan of the University.

3. ACTIONS

Most actions and indicators are taken by publicly available documents.

Please check: <https://www.unipa.it/ateneo/pianificazione-strategica/>

Title action	Timing	Responsible Unit	Indicator(s) / Target(s)
ETHICAL ASPECTS			
Dissemination to all researchers of the ethical code regarding plagiarism, violation/request of patents and the protection guaranteed to industrial secrets.	Done	Communication & UNIPA GOVERNANCE Current Status: Publication of ethical code on http://www.unipa.it/amministrazione/area6/set42bis/.content/documenti_regolamenti/Codice-Etico-dellUniversit-degli-Studi-di-Palermo---S.A.-18_07_2014---D.-R.-n.-2741-del-18_07_2014.pdf	
Dissemination to all researchers of information regarding available funds for research activities and goals carried out within each department.	Done and ongoing	Internal Communication Manager	Number of email communications about calls for applying to fundings from internal dissemination office (currently Dott.ssa Cataldo)
Completion of the English version of the University's web site. Regular up-date of a section of the University's web page which illustrates the most relevant research activities carried out in the University (University labs; research projects etc.); Maintain and regularly up-date the researcher's personal Italian and English web pages.	Done and ongoing	Communication & UNIPA GOVERNANCE	Status of completion of English Website
RECRUITMENT (OTMR)			
Create an internal guide setting out clear	July-December	Charter and code group	Publication of the OTMR guide

OTMR procedures and practices for all types of positions and publication of this guide on the website	2017		
Create an internal guide for those who would like to start or prosecute their researcher career inside UNIPA	January 2018	Charter and Code Group	Publication of the guide for researchers career on the UNIPA website
Encourage the coordinators of PhD courses to advertise on social media and on researchgate the open positions	December 2017	UNIPA governance PHD VICE-RECTOR	Publication of PhD open positions on social networks for researchers (like Reserachgate)
Inform legal and HR office about OTMR.	Done and ongoing	Charter and code group & UNIPA GOVERNANCE	Nr of meetings for informing the general director and the HR officers about OTMR. Especially after clear guidelines at national level are set out. Involvement of administrative staff into the WG on the C&C
Encourage the adoption of "open" selection procedures, widely publicized in English so as to permit the access to the research career (PhD programme and other professors positions) also to foreign candidates.	Done and ongoing (PhDs) June 2018	UNIPA GOVERNANCE Current status: The PhD calls are translated in English and according to the internal regulations, they reserve one position for PhD students from abroad. And positions are publicized on Euraxess. UNIPA GOVERNANCE & Charter and Code Group Current status: Law 240/2010 states that all (fixed-term) positions should be published on the national and EU websites. The vacancies are also available on a national database (run by the relevant Ministry). However calls are often in Italian.	Delivery of rules for open calls for external positions. Translation of the calls and regulations in English. Starting with those relevant to: - Professors (Associate and Full) according to Article 18 comma 4 of Law 240/2010 - Professors (According to the incentives set by the Ministry for calling experts outside the University). An on-line procedure will be created for hiring.
Modify current recruitment procedures to set them in line with OTMR in agreement with current legislation	No deadline can be fixed now	CODAU working group, Ministry and then UNIPA GOVERNANCE	Delivery of modified recruitment procedures as indicated at national level and in agreement with current regulatory framework
Encourage the elaboration of stabilization policies. In particular increase the number of high quality Limited Time researchers having access to the prosecution of the career. Dividing the resources	Done and ongoing.	UNIPA GOVERNANCE Current status: Part of available positions are reserved partly to LT researchers and partly to career advancements.	

for HR planning among career advancements and Limited time researchers.			
WORK CONDITIONS AND SOCIAL SECURITY			
<p>Improve laboratories, lecture halls and research areas in order to abide current norms and rules regarding work conditions and safety.</p> <p>Hire technicians for supporting research activities</p> <p>Improve basic research</p>	December 2017-June 2018	<p>Ministry of Education, University and Research UNIPA GOVERNANCE Department Heads Laboratory Responsibles</p>	<p>Amount of internal resources for basic research (FFR funds)</p> <p>Number of technicians hired for laboratories</p> <p>Number of new computer workspaces and new labs</p>
<p>Invest in the increase of infrastructures to support the physically challenged and women workers.</p> <p>Increase transport through bus services which connect the centre of town to the university structures, create nurseries.</p>	Done and On going	<p>UNIPA GOVERNANCE Municipality of Palermo</p> <p>Current Status:City mobility infrastructures are going through major renovations. In Italy the welfare is currently supported largely from families. No parental rights have been extended to post-docs. In most cases researchers cannot get sabbaticals, because of teaching commitments. The university of Palermo on its side has: 1)Created In the university campus, a medical assistance point for all students who need medical assistance. There students can have blood exams and visits from different specialists coming from the university hospital. https://www.unipa.it/strutture/ambulatorio/ 2)Created a nursery open to professors, researchers, administrative units.</p>	
<p>Connect the entity of doctoral and post-doc grants to the quality and quantity of scientific research outputs obtained by each researcher.</p> <p>Establish economic reward systems for single researchers or groups of researchers who's scientific research outputs are of particular relevance at the national and international level.</p>	<p>Done and on going</p> <p>Done and ongoing</p>	<p>Ministry of Education, University and Research</p> <p>Current status:For PhD grants are fixed by law. For post doc they are typically based on the research budget</p> <p>UNIPA GOVERNANCE</p> <p>Current status:A new regulation for internal fundings for research distribution has been issued. New internal fundings will be delivered considering merit following more strict criteria concerning fund raising capacities/potential to individuals according to law 240/2010</p>	<p>N/A</p> <p>Easier career advancements based on merit (i.e.: access to H2020 EU fundings, etc...)</p>
Motivate and monitor research re-qualification and update at all stages of researchers' career.	Done and ongoing	UNIPA GOVERNANCE & Vice Rector for Teaching	Setting out a plan about continuous education

Extending education for teaching, fund raising and research to all those who make request for it.	Done and ongoing	Current status: Currently there is an educational program involving young researchers which is regularly run since 2011. Moreover the program 'Mentore' is run since a few years at UNIPA. The project is a peer-to-peer evaluation among professors in the teaching area.	Existence of an educational program for young researchers and professors
Enhance the capacity of the patent office to increase the support offered to researchers for the protection of the IPRs they contribute to create.	Done and ongoing	UNIPA GOVERNANCE	Number of commercially exploitable patents
Increase visibility of researchers through the establishment of an inhouse editor and agreements with external editors	Done and ongoing	UNIPA GOVERNANCE, Digital library office and C&C group Current status: The University of Palermo has established an inhouse editorial activity, Unipapress (http://www.unipapress.it/UPP/UPP_10/Programs/Interface.php?RD=0145&Application=UPP_10&NDF_AP=0&NDF_Lng=IT&FormName=HomePage&Request_Init0=Init0) and an agreement with an international editor, UnipaSpringer (http://www.unipa.it/Unipa-Springer-Series/)	
Raise consciousness about precious role of senior researchers involving them in teaching activities even after their retirement.	Done and ongoing	UNIPA GOVERNANCE	

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

- 1) The publication of an OTMR guide on the UNIPA website
- 2) The identification of an administrative unit taking part to the CODAU working group at national level for OTMR. Such group is studying how to specifically integrate the OTM-R into the national legislation;
- 3) The publication in the Euraxess website of all available positions for externals in english;
- 4) The reservation of one position to PhD students from abroad in internal calls.

4. IMPLEMENTATION

In this second phase of the HRS4R process, after the HR logo delivery to UNIPA in 2010 and the external review in 2014, the Charter and Code group is now heading more strongly towards the embedding of the HR quality process inside the University of Palermo procedure. The Group will now also include people from administrative office in the recruitment area (head of selection office and two more units).

In particular, the Evaluation committee (Nucleo di Valutazione) and later on the Quality Presidium (Presidio di qualità) will be fully involved in the process and in the OTMR implementation monitoring, see figure 1. The Evaluation committee, in particular, will look after the internal assessment phase and a regular monitoring of the implementation of actions.

The Charter and Code group will look after the whole process and will take care of a couple of specific actions, such as continuous education of researchers and setting out the OTMR guide. In order to involve the research community in the C&C implementation process, seminars for “soft skills” are provided for young researchers on a regular basis. To monitor the implementation level of each action, a set of indicators in line with the University strategic plan are given in the action plan. The process will in the near future be embedded in the University Organization, as depicted in figure 1. The progress of the actions will be monitored by the Charter and Code group. Internal and external reviews will be prepared collecting all documents witnessing possible progress and involving if necessary the stakeholders.

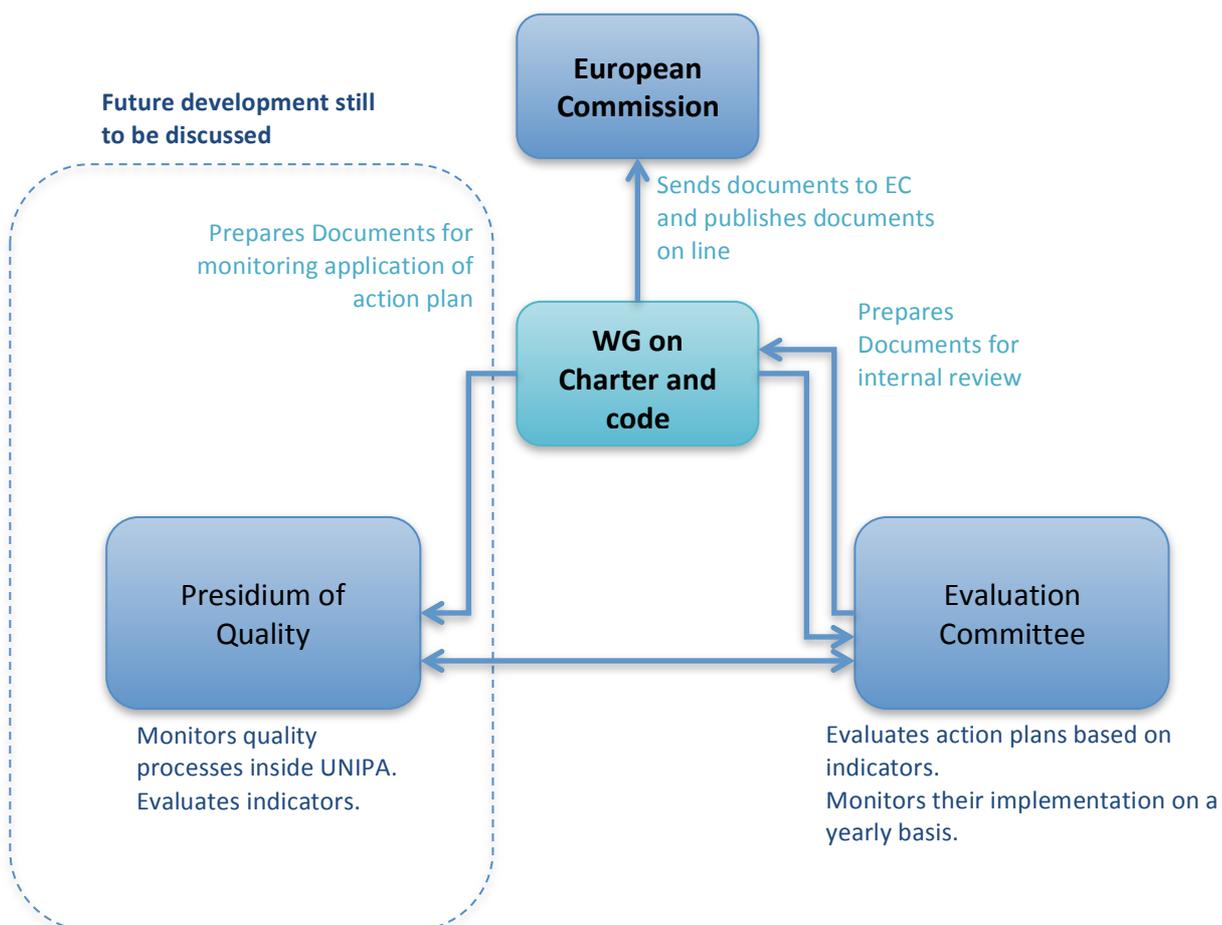


Figure 1 – Embedding the HRS4R into the University of Palermo committees