



UNIVERSITÀ
DEGLI STUDI
FIRENZE



HR EXCELLENCE IN RESEARCH

UNIFI
GAP ANALYSIS
FEBRUARY 2021

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HRS4R - HUMAN RESOURCES STRATEGY FOR RESEARCHERS

GAP ANALYSIS 2020

SECTION A - ETHICAL AND PROFESSIONAL ASPECTS

PRINCIPLE 1 – RESEARCH FREEDOM

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| EUROPEAN PRINCIPLE | |
| <p><i>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</i></p> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The Research Freedom is one of the most important principles included in the Constitution of the Italian Republic that foresees in Article 33 that "art and science are free, as well as teaching them is free". National Legislation for Universities and Higher Education and each university, within the Italian system of public higher education institutions, is bound to respect such indications.</p> <p>In particular according to art. 7 of Legislative Decree 165/01 (Consolidated Law on Public Services) public administrations are bound to guarantee freedom of teaching and professional autonomy in teaching and research. The principle of research freedom stated in the Italian Constitution is restated in the University of Florence Statute and Ethics Code. In particular the Statute art. 2 paragraph 1 states that "the research activities must be performed within the University of Florence respecting research freedom and guaranteeing freedom in the choice of the research topic to be performed and in the research methodology [...]"</p> <p>Though the University fully guarantees research freedom, lack of available funds to support basic and applied research can represent an external constraint in this matter. The internal survey performed among UNIFI researchers has indeed strongly underlined dissatisfaction among researchers about the actual research chances offered by available funds. Researchers underlined not being able to dispose of enough resources to effectively enforce their research freedom.</p> |
| Gap Identified in 2018 | <p>Lack of available funds to perform research related activities.</p> <p>Since 2014 the University of Florence has created a central task force intended to promote researcher's participation in available national, European and International funding programmes. However, participation rates can still be improved.</p> |

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| UNIFI Internal Analysis 2020 | Though the action plan measures foreseen have been properly implemented the Working Group and Steering Committee have decided to extend monitoring on this issue to make sure the level attained is kept. |
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Under this principle two correction measures have been foreseen in the Action Plan, Actions number 1 and 2, as indicated here below:

| ACTION NUMBER 1: INCREASE OF FUNDS AVAILABLE FOR RESEARCH RELATED ACTIVITIES | |
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| <p>Original goal: Increase of the participation of UNIFI researchers within national, European, and international funding programmes by 10%</p> <p>Action completed: The goal of increasing participation by 10% has been achieved. The attainment of the goal can be measured thanks to the internal recording system called "Anagrafe della Ricerca". This system asks all researchers to include any international, European or national funding proposal submitted and or funded. The system shows an increase in the participation by the 10,8% between 2019 and 2020, going from 1112 proposals submitted in 2019 to 1232 proposals in 2020. To attain this goal the following actions have been undertaken:</p> <ol style="list-style-type: none"> 1. enforced support services to proposals preparation by UNIFI Grant Office (https://www.unifi.it/p11721.html) 2. organization of info days especially focused on excellent programmes such as ERC and Marie Curie, on average 2 or 3 info days each year (https://www.unifi.it/p11714.html) 3. training courses for researchers to learn correct techniques of proposals preparation. Each year one course (8 hours) is offered to PhD students (R1) and for R2-R3 and R4 three courses are offered : one of basic level, one of intermediate level plus an advanced course. 4. For the most relevant funding schemes UNIFI web site offers to researchers dedicated web pages containing useful information (https://www.unifi.it/p11646.html) <p>Though the foreseen goal has been achieved the Working Group and Steering Committee have decided to keep monitoring this goal to get sure the level attained is kept.</p> | |
| Status of Implementation | COMPLETED |
| Action Timing | END 2020 |
| Responsible Unit | Research and Technology Transfer Area |
| Indicator(s)/Target(s) | Increase of at least the 10% of the participation of UNIFI researchers within national, European, and international funding programmes. |

| ACTION NUMBER 2: YOUNG RESEARCHERS ANNUAL CALL |
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| <p>The University of Florence makes available each year its own resources to promote the effective research freedom and research independence for researchers in the first stages of their career.</p> <p>The funds made available are assigned through an open competition promoted annually for temporary researcher (R2). https://www.unifi.it/cmpro-v-p-10809.html</p> <p>Each participant is requested to submit a project proposal for a maximum duration of 24 months, to be evaluated under the three usual European evaluation criteria of excellence, impact and implementation. Each selected proposal gets a funding of 40,000/50,000 EUR. Each year on average 10 to 12 proposals get funded.</p> <p>Though the Action Plan Goal of promoting at least one annual call between 2019 and 2020 has been attained the Steering Committee has decided to extend this Action for at least one additional year.</p> |

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| Status of Implementation | EXTENDED |
| Action Timing | END 2021 |
| Responsible Unit | Research and Technology Transfer Area |
| Indicator(s)/Target(s) | at least one annual call to support young researcher's projects. |

PRINCIPLE 2 – ETHICAL PRINCIPLES

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| EUROPEAN PRINCIPLE | |
| <i>Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>According to art. 54 of Leg. Decree 165/01, each public administration has been bound to define a code of conduct for its employees. Such principle has been restated and further detailed in art. 2 of National Law 240/2010, that has asked to all Universities that had not already done so to adopt an ethic code for their university communities within 6 months from the entry into force of the law. Such Codes are intended to represent a declaration of principles and values shared by researchers, students and administrative personnel and any other personnel active within the university. The code is asked to identify the fundamental values of the university communities, to promote respect of individual rights as well as the acknowledgment of individual duties and responsibilities.</p> <p>The University of Florence is endowed since 2008 with a Code of Ethics, which identifies values and responsibilities for Researchers, students and administrative personnel. In its last reviewed version adopted in 2011 art.6 states that "the members of the University of Florence are bound to promote freedom in research and teaching, avoiding any behaviour that could in any way limit this principle". Furthermore the same Code of Ethics binds researchers to make public as far as possible their research keeping into account the principle of intellectual property rights. In the same way the members of the university are asked in art. 5 to avoid any discriminatory attitude and to always keep a behaviour respectful of personal dignity.</p> <p>Furthermore, a behaviour code has been adopted by Italian President of the Republic on 2013 (DPR 62/2013) on good and sound behaviour for employees within public administrations. Though such code is referred to a larger category than only researchers, it contains nonetheless useful general principles applicable as well to this category.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 3 – PROFESSIONAL RESPONSABILITY

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| EUROPEAN PRINCIPLE | |
| <i>Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in</i> | |

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| <i>collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Researchers should develop their research activities in respect of the Strategic Research Plans published periodically by the Italian Ministry for Education, University and Research (MIUR). The aim of these plans is to define, without undermining the principle of freedom in research, the most strategic areas of intervention according to the needs of the society.</p> <p>As per the risk of duplication and plagiarism national legislation provides a framework for preventing these kind of outcomes. In the Civil Code specific rules are in place on Authorship in the Book V , art. 2575 a 2583 and on Joint Ownership in Book III, Title V, artt. from 1100 to 1139. Furthermore the legislative decree of 10 February 2005, n.30 contains fundamental rules on patents, the Royal Decree 21 June 1942, n. 929 on brands and Law 633/1941 on copyrights.</p> <p>The Statute and Ethics Code of the University of Florence restate the principle of a responsible research and bind all researchers to a respectful behavior towards other researchers and relevant results already developed. Ethics code art. 6 states among other principles that: "researchers should make their research public, always keeping in mind the intellectual property rights and always quoting the results achieved by other researchers". The University Regulation on intellectual property rights protect the rights of the interested researchers and contain specific rules on the conditions for joint ownership. Further indications in this matter are provided under principle 31 on Intellectual Property Rights and Principle 32 on Co-authorship.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 4 – PROFESSIONAL ATTITUDE

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| EUROPEAN PRINCIPLE | |
| <i>Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The national Strategic Research Plans, issued by the Italian MIUR mentioned under point 3, identify the strategic goals through a multi-annual plan and the funding opportunities available for researchers at national level. All researchers, independently from their career stage and status, are bound to perform their activities professionally and in a responsible way. They are all due to submit periodic reports about the activities they are carrying out. The timing of these reports varies according to the career stage each researcher belongs to. PhD students</p> |

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| | <p>submit yearly reports, research fellows report every six months, teachers and permanent researchers every three years (art.6 point 14 law 240/2010)</p> <p>Besides compulsory reports each researcher always performs his/her tasks in strong connection with his/her superiors and responsible and periodically updates them on their outcomes. The University of Florence makes all necessary efforts to make all info available on its web site to researchers.</p> <p>Furthermore the University is equipped with administrative permanent staff keeping researchers directly informed with dedicated newsletters on available national, European and International research opportunities. Researchers should always develop their research activities in a responsible way keeping into account the strategic goals fixed at national level and restated by the university Governing Bodies. The University internal regulation restates the obligation for research temporary staff to submit periodic detailed written reports on their research to be evaluated by their scientific supervisor.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 5 – CONTRACTUAL AND LEGAL OBLIGATIONS

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| EUROPEAN PRINCIPLE | |
| <p><i>Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>When dealing with contractual and legal obligations it is necessary to make a distinction based on the researcher category considered. Teachers, permanent and temporary researchers are hired on the basis of a dedicated selection procedure, followed by a dedicated appointment decree. Their obligations are detailed in the dedicated national laws approved in this field. (Royal Decree 1592/1933, DPR 3/1957, DPR 382/1980, Law 230/2005, Law 240/2010).</p> <p>Fellow researchers working conditions are detailed in the hiring contract they subscribe upon appointment. General rules can be found in Law 165/01 and in Book V of the Civil Code on work relations.</p> <p>PhD students do not sign any contract since in Italy they are considered as students.</p> <p>The University Statute, Regulations and any other rules governing its functioning are made public through the university web site. At the beginning of each fellowship/contract the researcher is made aware of all national and local regulations applying to its role and provided with a copy of them by email. Such rules are mentioned inside the contract,</p> |

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| | <p>where available, and appropriate indications are provided by the dedicated administrative staff.</p> <p>Research staff recruited is specifically informed on intellectual property rights and is made aware of the applicable local and national legislation in this matter. Researchers are offered dedicated training courses on authorship and intellectual property rights and can enjoy dedicated assistance by administrative staff to get acquainted with relevant regulations.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 6 - ACCOUNTABILITY

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| EUROPEAN PRINCIPLE | |
| <p><i>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</i></p> <p><i>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</i></p> | |
| Status of Implementation | +/- FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The Accountability within the public administration is a binding principle of the Italian Legislation. The principles of efficiency and transparency are fixed in national legislation, in particular in Legislative Decree 15/2009 and in its most recent update with Legislative Decree 33/2013 stating the obligation for any public administration and employee to always inform its activity to these principles.</p> <p>The Decree of the Italian President of the Republic 62/2013 includes as well relevant rules for all public employees to guarantee their accountability, the prevention of any form of corruption and restates the duties of diligence, loyalty and impartiality. Further details are provided under principle 11 on the information and reports each university is due to submit to MIUR to justify how the public funds received have been used.</p> <p>The University of Florence Regulation on Administration, Finance and Accounting restates the national principle of an efficient and transparent public administration. In addition a dedicated web page keeps all personnel informed and updated on national regulation in this matter. The university offers training courses on accountability and public employment sound behavior that all personnel is due to attend on a periodic and compulsory basis. Moreover the administrative staff of UNIFI supports researchers in managing received research funds transparently and efficiently, according to the applicable national legislation, local regulation and to the rules of the relevant funding scheme.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATED NEEDED |

PRINCIPLE 7 - GOOD PRACTICE IN RESEARCH

| EUROPEAN PRINCIPLE | |
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| <i>Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>In Italy, health and safety at work are regulated by Legislative Decree 81/2008 (known as the Testo Unico Sicurezza Lavoro) recently modified by Legislative Decree 106 of 3 August 2009. This decree, which identifies in detail rights, duties and responsibilities for Researchers and administrative personnel, transposes in Italy the European Directive on the protection of safety and health of workers.</p> <p>Personal data are collected and treated abiding by the Italian Legislative Decree no. 196 of 30 June 2003 (Code of personal data protection) and subsequent amendments and integrations.</p> <p>National principles on health and safety at work are restated by the University of Florence dedicated Regulation (Regulation on safety and health of workers, Rectoral Decree 307/7-4-2016). According to national and local regulation UNIFI is under an obligation to produce an analysis of all risks arising from any activity performed and to provide employees with all general information on the risks present in the workplace and specific information on the risks associated with performance of the tasks assigned to individuals. A dedicated medical service monitors periodically each employee subject to any specific risk identified (biological, chemical and for computer operators). Every employee receives periodic compulsory training on this matter and can access an e-learning platform (Moodle) including all relevant information and providing certified additional training.</p> <p>National principles on data protection and confidentiality are restated by UNIFI Regulation Code for personal data protection (Rectoral Decree n.1177 2005) and University Regulation for sensible and judicial data (Rectoral Decree n.906 2006). All UNIFI personnel is bound to respect such prescription and is kept updated about them through periodic training courses and the web site. UNIFI administrative staff support as well researchers for specific needs for example by drafting dedicated confidentiality agreements.</p> <p>As far as technology disasters are concerned the University of Florence is endowed with an informatics central service (SIAF) in charge of performing all necessary activities to guarantee the smooth running of the university informatics services and prevent technology disasters.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | The new European GDPR has introduced some very important news about data protection and confidentiality. The prescriptions included within the GDPR are enforced within the University of Florence. A |

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| | <p>responsible for the treatment of data has been identified. A dedicated web page within UNIFI web site includes detailed indications about news and applicable rules and all personnel is bound to attend dedicated elearning courses to be updated about the applicable rules in this field.</p> <p>https://www.unifi.it/vp-11360-protezione-dati.html</p> <p>As far as health and safety at work is concerned the survey promoted in 2020 has seen the research community confirming the satisfaction about the measures taken. Approximately 70% of the researchers interviewed agreed about the correct enforcement within UNIFI of applicable rules about health and safety at work (question C4)</p> <p>Health and safety at work are indeed a central issue in UNIFI Strategic Plan 2019-2021 as well as within the Integrated Plan including the identification of the implementation measures needed to attain the foreseen strategic goals: https://www.unifi.it/vp-11396-piano-strategico-di-ateneo.html https://www.unifi.it/p9810.html</p> |
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Under this principle the following correction measures have been foreseen:

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| ACTION NUMBER 4 – HRS4R SENSIBILISATION ACTIONS | |
| <p>During the first 24 months after getting the logo it was noted that the knowledge about the HRS4R principles within UNIFI is still limited. Within the updated Action Plan a new action has been therefore foreseen specifically devoted to promote awareness raising about such principles. This action is going to consist of the following measures:</p> <ol style="list-style-type: none"> 1. Information and news about HRS4R in due evidence within UNIFI website, from the very main page 2. having the HR logo included within UNIFI headed paper 3. having the HR logo included within email signatures of all personnel 4. Periodic information sessions about HRS4R or elearning resources made available 5. Brochure of Leaflet about HRS4R to be distributed among researchers 6. To promote periodic surveys | |
| Status of Implementation | NEW |
| Action Timing | END 2023 |
| Responsible Unit | Research and Technology Transfer Area Communication Area |
| Indicator(s)/Target(s) | <p>Indicators/Targets:</p> <ul style="list-style-type: none"> - HR logo to be included in the headed paper and email signatures - at least one brochure or leaflet to be distributed - website to be updated annually - e-learning course to be created to promote the spreading of news about HRS4R - at least one additional survey within the end of 2023 |

PRINCIPLE 8 – DISSEMINATION, EXPLOITATION OF RESULTS

| EUROPEAN PRINCIPLE | |
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| <p><i>All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</i></p> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Since 2006 the Conference of Italian Rectors created an “Open Access” group to promote the activism of Italian Universities in this field and the identification of appropriate guidelines in this matter. In recent years, considered the series of initiatives and directives issued by the European Commission to support the dissemination of research results, the MIUR adopted in March 2013 a policy paper entitled “Horizon 2020 Italy” including relevant indications on how to decline Horizon 2020 in the Italian context, including specific indications on dissemination of research results. In this policy paper the MIUR has adopted the same goal identified by the Commission, i.e. making open the access to at least the 60% of the publications realized within research projects based on national public funds. The basic instrument to reach this goal is the portal “Research Italy”, a gateway to combine all local initiatives in this field. The platform will include a national repository service and will as well provide links to the Universities local Repositories.</p> <p>The University of Florence confirmed its strong support to the open access trend from its very statute, approved on 25th July 11, where in art.8 it is stated that: “the University of Florence promotes the principle of open access to scientific literature and the free dissemination of the university research results online and within the International research community”. To attain this ambitious goal the University has adopted a dedicated policy on open access. Among the instruments created it is important to recall the Florence University Press and FLORE its institutional online repository to allow researchers to publish their research results in open access. Furthermore the University constantly promotes any other strategy or action that may be necessary to guarantee open access publication of research results (for further info please see as well: http://www.sba.unifi.it/upload/policy-oa-unifi.pdf).</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | <p>Since 2015 open access has become more and more important. New requirements have been introduced in the last years at European level making necessary a further adaptation at local level. Though UNIFI is still fully compliant with the open access European and national rules it has become more and more evident the need to properly support researchers guiding them in the correct management of their research results. Researchers need assistance in identifying the most suitable compromise between on the one side intellectual property rights protection and exploitation of results and on the other side the proper sharing of their results whenever possible.</p> |

Under this principle the following correction measures have been foreseen:

| ACTION NUMBER 8 – OPEN ACCESS AND OPEN SCIENCE SUPPORT SERVICES | |
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| <p>A first experimental cooperation is envisaged between UNIFI Research Area and the Library System to promote the launch of support services specifically devoted to Open Access issues. This cooperation is going to be at first experimented at the level of European Projects funded, since among the possible funders the European Commission is the principal actor pushing institutions to properly deal with open access. Guidelines are going to be prepared identifying the possible need of support for researchers at the different stages of a European funded project and addressing them to the appropriate University Service able to provide support and assistance.</p> <p>The Guidelines are going to be prepared and published on UNIFI web site by the end of 2021. A new section of the web site is going to be as well implemented specifically dealing with Open Access issues.</p> | |
| Status of Implementation | NEW |
| Action Timing | END 2022 |
| Responsible Unit | Research and Technology Transfer Area University Library System |
| Indicator(s)/Target(s) | Launch of a new support service devoted to Open Access Issues. Proposed indicators: adoption of guidelines detailing the support provided by the different actors involved and creation on the web site of a specific section devoted to open access issues |

PRINCIPLE 9 – PUBLIC ENGAGEMENT

| EUROPEAN PRINCIPLE | |
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| <p><i>Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concern</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>It's a general and binding principle of the Italian legislation that any public administration has the duty of performing its tasks abiding by the principles of openness, impartiality and efficiency. These principles request public administration making known to the public with all possible means their activities and to promote adequate communication measures.</p> <p>The specific instruments that can be adopted are decided at local level, according to the specific needs of the administration or organization considered. Research activities carried out within the University of Florence are made known to society through many different instruments. The University is endowed with a communication area whose aim is to disseminate all relevant information about the university to all interested parties. The dissemination is performed through for example the following instruments:</p> <ol style="list-style-type: none"> 1. Website dedicated section 2. Periodic electronic newsletter 3. Periodic seminars, workshops and events on research topic to be shared with citizens and non specialized public; |

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| | <p>4. Periodic open days aimed at promoting the interest of high school students in developing their careers in research;</p> <p>5. Participation in dissemination events such as the so called Researchers' night (funded by the European Commission). A dedicated laboratory, so called Open Lab, whose aim is to organize training and orientation events for students of any age and dissemination events to make the public in general aware of the ongoing research activities http://www.openlab.unifi.it/mdswitch.html</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 10 – NON-DISCRIMINATION

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The non discrimination principle is one of the most important principles included in the Constitution of the Italian Republic that foresees under art. 3 that "all citizens have equal social dignity and are equal before the law, without distinction of sex, race, language, religion, political opinion, personal and social conditions".</p> <p>As far as recruitment within public administration is concerned, according to art. 35 of legislative Decree 165/01 recruitment procedures in public administrations must comply with the principle of equal opportunity between workers. According to Law 165/01, art.57 on "equal opportunities" public administrations take any necessary measure to put into effect European Directives on equal opportunities.</p> <p>The principle of non discrimination is restated within UNIFI Statute, art. 3 foresees that "the university activities are independent from any religious, ideological, politic or economic constraint". Furthermore the University ethics code art. 1 and 5 bind all personnel to adopt a behavior based on solidarity and abiding by the principle of non discrimination. As foreseen in Law 183/2010 art.21, the Statute art. 22 establishes a Central Committee for Guaranteeing and promoting equal opportunities, workers' welfare and non-discrimination (CUG), one of whose main goals is the fight against any kind of discrimination. The Committee functioning is aimed at the guarantee of the welfare and equal opportunities of workers, removing any possible direct or indirect discrimination based on gender, age, disability, religion, race, sexual orientation or gender identity.</p> <p>According to the University General Regulation art. 53 (Rector Decree 819/13) the Committee prepares every year by March 30th a detailed report on the status of implementation of the principal of parity, equal opportunities, workers welfare and fight against any form of discrimination, moral or psychological violence or mobbing on the workplace. The Report is addressed to the Rector and to the Governing Bodies of the University and published on the web site.</p> |

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| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 11 – EVALUATION/APPRaisal SYSTEM

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Since 2006 a dedicated National Agency has been created in this field: ANVUR, National Agency for the Evaluation of the Academic System and Research. This Agency has been created according to Law 286/2006, art.2 with the following functions:</p> <ul style="list-style-type: none"> - to provide a continuous external evaluation of the research activities carried out by universities and by any other research center receiving public funding; - to support, coordinate and constantly verify the functioning of the evaluation committees created within universities - to evaluate the efficiency and efficacy of the public funding and supporting initiatives for research activities. <p>The Agency functioning is based on the principles of independence, impartiality, professional responsibility and openness.</p> <p>On a periodic basis (usually every three years) the ANVUR, following the guidelines provided by MIUR, requests to all universities to provide relevant data to evaluate their research performance and products (VQR – Evaluation of Quality of Research). The data provided by universities are taken into account by MIUR when deciding about the distribution among universities of available funds. In fact the FFO (fund of ordinary funding) is divided into two parts: a fixed quota attributed to each university according to its dimension and needs and a variable quota (“quota premiale”) attributed among others, for the results achieved in research related activities. Furthermore on an annual basis universities are requested to provide detailed data on research related results achieved by their departments/areas that will be later on as well included in the VQR.</p> <p>It is as well to be noted that Law 240/2010 assigns as well to a dedicated “Evaluation Unit” the function of verifying, among others, the research activities carried out within Universities.</p> <p>According to the University Statute, art.7, the University puts in place adequate measures to self evaluate its research activities and perform additional evaluation through its “Evaluation Board”.</p> <p>The creation of this board is foreseen in the Statute art.7 that includes among its duties: the constant evaluation of research activities and of</p> |

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| | <p>the correct and efficient use of available resources. The Board includes: one professional expert in the field of evaluation nominated by the University Senate and By the Administration Council in the role of coordinator; three teachers (two of which not belonging to UNIFI) designed by the University Senate among experts in the evaluation of teaching, research activities and of universities public policies; three members (two of which not belonging to UNIFI) designed by the University Administration Council among experts in the evaluation of the quality of public administration, public services, public accounting and human resources management; two students. It operates in line with the evaluation principles defined at National level.</p> <p>Besides general evaluation of the University results mechanisms are as well in place for the evaluation of research activities carried out by individual researchers. As anticipated in previous principles young researchers (PhD students and fellow researchers) are committed to produce periodic reports to be evaluated by their supervisors. Temporary researchers are committed to produce not only periodic reports but to detail as well the activities performed in a dedicated register available within their Department for any need or any possible check by the Department Director. At the end of each year they need to produce a detailed report on research and didactic duties performed. As per teachers, according to DPR 382/1980 art. 18 and Law 240/2010, they are asked to produce reports on the activities carried out every three years. Such Reports are to be addressed to the Department each teacher belongs to and they are to be make public. The University Senate will be able to take into account such reports when deciding which share of the available funds to attribute to each Department.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

SECTION B – RECRUITMENT AND SELECTION

PRINCIPLE 12 - RECRUITMENT

| EUROPEAN PRINCIPLE | |
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| <p><i>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.</i></p> <p><i>Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National Law 165/2001 details the general principles applicable to the recruitment of personnel within public administrations. In particular according to art. 35 recruitment within public administration is subject to dedicated open selection procedures, abiding by the principles of impartiality, openness and equal opportunities. Law 240/2010 details for each researcher type (PhD, fellow researcher, temporary researcher and teachers) the specific entry and admission standards, i.e. the typical duration and features of these appointments, the foreseen entry requirements, the standard remuneration, ecc.</p> <p>It is to be noted that national legislation is very attentive in guaranteeing equal opportunities within selection procedures avoiding any kind of discrimination (art. 57, Law 165/2001), though not specifically referring to disadvantaged groups.</p> <p>According to Min. Decree 963/2015, Universities are allowed as well to propose researchers to be directly appointed in a permanent position if they have already been selected within national, European or International reputable funding programs and have been recognized as outstanding and excellent researchers (such as the winners of ERC Grants). In any case it is always necessary for the researcher to have the necessary qualifications to access to the category proposed. It is the Education Minister himself who evaluates the acceptability of the university proposals. For the implementation of national Law 240/2010 and its provisions for researchers, the existing internal decrees have been updated for each researcher category:</p> <p>PhD Students: Rectoral Decree 670/2013 http://www.unifi.it/vp-9611-d-r-670-2013-prot-n-47910-regolamento-dottorato.html</p> <p>Research fellows: Rectoral Decree 654/2015 http://www.unifi.it/upload/sub/assegni/dr_654_regolamento_2015.pdf</p> <p>Temporary Researchers: Rectoral Decree 1111/2014 http://www.unifi.it/upload/sub/normativa/dr1111_14_reg_ricercatori_l_240_2010.pdf</p> <p>Ordinary and Associate Teachers: Rectoral Decree 1320/2014 http://www.unifi.it/upload/sub/normativa/dr_1320_201214.pdf</p> <p>Such decrees include all relevant specific indications on the hiring, functioning and applicable rules to each researcher type and are made</p> |

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| | public through the university web site. All advertisements of available positions are made public through all official channels (gazzetta ufficiale nazionale, Albo Ufficiale e sito di Ateneo, sito del Ministero dell'Istruzione, dell'Università e della Ricerca e Euraxess), they remain open for a reasonable period of time, usually 30 days and respect national prescriptions in terms of open, transparent and impartial selection procedures. |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 13 – RECRUITMENT (CODE)

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should establish recruitment procedures which are open , efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</i> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>For general principles applicable to recruitment procedures please see the information included under point 12, in particular the criteria public selection procedures must respect according to National Law 165/2001. It is to be noted as well that Law 240/2010 details further requirements for selection procedures to guarantee their openness and impartiality:</p> <ol style="list-style-type: none"> 1. art. 18 , paragraph 1 states that candidates with family relations till the fourth degree with the Rector, General Director or with any member of the governing bodies or teacher of a university cannot be selected within that organization; 2. art. 18 paragraph 4 states that at least 20% of the available resources included in the multiannual plan for human resources management are to employed for researchers external to the university performing the selection; 3. Art. 5 paragraph 5 includes among the criteria for the distribution of FFO (Fund of ordinary funding for public universities) the percentage of temporary researchers hired who have not performed their PhD or Post Doc in the same university. <p>Notices for admission at various levels of academic staff must comply with National laws in this field. Selection procedures always include a clear explanation of the entry requirements, procedures for participation, they remain open for a reasonable period of time and dedicated administrative staff is available to provide further support (each selection procedure has always one unit of personnel as main contact point for interested candidates). All selections are advertised on the university web site and on all other official channels (as indicated under point 12) to guarantee transparency of the selection and to facilitate access to the procedures of as many candidates as possible, also from foreign countries. All announcements always indicate the type of contract offered, the applicable legal, economic</p> |

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| | <p>and social security provisions and, where applicable, the status of part-time or full time and the research project or program linked to the position offered.</p> <p>It is however to be noted that the above mentioned documentation (advertisements and supporting material) is still available only in Italian and that the university web site is only partially available in English. This issue is becoming more and more urgent considered the number of foreign applicants participating in UNIFI selections. As an example we can consider that in 2017 there were 171 foreign applicants for PhD positions over a total of 1855 , and for Fellow Researchers there were approximately 64 selected candidates coming from abroad over a total of 900.</p> |
| Gap Identified in 2018 | The new UNIFI web site launched in 2014 has indeed foreseen that all sections are to be made available as well in English but at the moment the contents that satisfy this requirement are still very limited (approximately 2 %). |
| UNIFI Internal Analysis 2020 | The translation of the University web site and recruitment related information is ongoing. At the moment it is estimated that approximately 50% of the relevant information has been translated |

Under this principle the following correction measures have been foreseen:

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| ACTION NUMBER 3 – TRANSLATING THE WEB SITE AND RECRUITMENT RELATED INFORMATION | |
| Action number 3 is still under progress. | |
| <p>To start with a new web page called "Work with us" has been made available at the following link: https://www.unifi.it/vp-11713-work-with-us.html. This page is intended to allow a proper understanding from foreign applicants not familiar with the Italian system about all positions available in Italy for researchers at different career levels.</p> <p>Furthermore, information for possible vacancies is now mostly available in English. As an example, here below the links to the main pages translated:</p> <ol style="list-style-type: none"> 1. Phd positions web page: https://www.unifi.it/p10285.html 2. Fellow Researchers web page: https://www.unifi.it/p10284.html 3. Grants and post grants awards: https://www.unifi.it/p11641.html <p>Translations have been also made available for the advertisement's announcements of as many calls as possible. The translation tasks have been completed for PhD positions and is ongoing for temporary researchers positions where the translation of the etool itself to submit applications is ongoing.</p> <p>The task that was supposed to be completed within mid 2020 has required more time than expected. It has in fact been decided not to promote a automatic translation of the web site pages from Italian to English but to promote an English website including contents adapted to the specific needs of foreign users, by creating new pages and contents where needed. This is going to require more time than expected. The task is foreseen to be completed within the end of 2022.</p> | |
| Status of Implementation | EXTENDED |
| Action Timing | END 2023 |
| Responsible Unit | Communication Area Research and Technology Transfer Area |

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| | Human Resources Area General Affairs Area Legal Affairs Area |
| Indicator(s)/Target(s) | At least 70% of the university of Florence website and advertisements and contracts related to researchers recruitment to be translated in English. |

PRINCIPLE 14 – SELECTION CODE

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| EUROPEAN PRINCIPLE | |
| <i>Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>As explained under principle 12 and 13 national Law contains general principles on the criteria to be observed when selecting new personnel within public administrations. As far as Selection committees are concerned, according to National Law 165/2001, 240/2010 and the following regulations implementing them, they should always include personnel with adequate competences to perform the requested evaluations, be gender balanced and perform their tasks impartially and in an open manner.</p> <p>Specific rules are in place for the criteria followed by the MIUR within the procedure for granting to interested candidates the national scientific qualification as associate or full professor in Italian Universities. (Such qualification is a necessary precondition to participate in any open selection to become teacher in Italy). Within this procedure a unique selection committee is created at national level for each scientific field with a 2 years validity, including 5 members appointed for the drawing among the interested teachers, one of which should belong to an organization from an OCSE country.</p> <p>For each researcher category, the dedicated internal decree (quoted under point 12) specifies in detail, among others, the selection procedure to be observed. Selection committees always include at least three members having adequate competencies for the ongoing selection. In each decree a dedicated article explain in detail the composition of each selection Committee, for example for fellow researchers art. 8 of Rectoral Decree 654/2015 specifies that selection committees are nominated by the rector every two years, they include one representative of each scientific field and may include up to two representatives of external organizations.</p> <p>For permanent researchers according to art.9 of Rectoral Decree 1111/2014 Selection Committees are nominated by the Rector among teachers with adequate curricula. For each selection procedure the Committee includes at least three members, chosen among teachers and permanent researchers, including as well external members in</p> |

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| | <p>variable number according to the selection performed. The selection Committees should always be gender balanced.</p> <p>The Selection process may vary according to the position offered, for example the selection of PhD students may foresee the evaluation of the candidate's qualifications, a written and an oral proof. Usually the selection of fellow researchers is performed on the basis of qualifications, publications and, whenever requested, on a project prepared by candidates.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 16 – JUDGING MERIT

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| EUROPEAN PRINCIPLE | |
| <p><i>The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>According to National Law 240/2010 and to Leg. Decree 165/2001, candidates are selected through an open and competitive selection procedure taking into account all relevant elements. In fact it's a usual practice to evaluate candidate's curricula and all other relevant elements on the experience acquired by candidates, also in terms of the creativity and spirit of initiative already shown by them in possible other contexts.</p> <p>Specific provisions are in place for granting the national scientific qualification, according to Min. Decree 76/2012. In this case as well selection committees take into account all skills and experiences acquired by candidates formally and informally.</p> <p>According to UNIFI internal regulation, when performing selection procedures for teachers, it's necessary for selection committees to take into account the candidates' publications, research results, teaching and other relevant activities previously performed.</p> <p>For temporary researchers the internal decree acknowledges what has been established in Min. Decree 242 and 243/2011, foreseeing the evaluation of all relevant experiences performed by candidates.</p> <p>For fellow researchers and PhD students it's as well common practice to take into account the global profile of the candidates.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 17 – VARIATION IN THE CHRONOLOGICAL ORDER OF CVs

| EUROPEAN PRINCIPLE | |
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| <i>Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>For general principles regarding selection procedures please check what has been included under principles 12 and 13. As anticipated national law includes general prescriptions to guarantee that selection procedures are open, transparent and equitable. Furthermore it requests for candidates to be judged fairly on the basis of the overall series of their experiences and qualifications.</p> <p>Local regulation restates national principles and guarantees a fair evaluation of candidates though there are no specific indications requesting not to judge unfairly candidates with unusual CVs or having experienced career interruptions.</p> |
| Gap Identified in 2018 | Existing regulation doesn't include specific prescriptions on the evaluation of candidates having experienced career breaks or with unusual career paths. Nonetheless the principles included in national law requesting a fair, open and impartial selection protects such candidates from any prejudice that could arise from such circumstances. No gap has therefore been identified. |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 18 – RECOGNITION OF MOBILITY EXPERIENCE

| EUROPEAN PRINCIPLE | |
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| <i>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The internationalization principle is one of the main interests that has been arising within the Italian education system in the last decades. In selection procedures it has as well acquired growing importance if candidates have previously performed mobility periods, considered as an added value to their global profile of mature researchers.</p> <p>In particular for fellow researchers of type A (those recruited based on the funds provided by MIUR) one of the preconditions to allow participation in recent selection procedures has been represented by mobility, i.e. having performed at least 15 days of research abroad during their career.</p> <p>For temporary researchers National Law (Ministerial Decree 243 of 2012) foresees the necessity for selection Committees to duly take into</p> |

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| | <p>account the activities performed by the candidates both in Italy and abroad.</p> <p>As per permanent staff national scientific qualification requires appropriate experiences performed both in Italy and abroad and the cooperation with foreign and international organizations and research centers as a fundamental element in candidates curricula.</p> <p>The University Internal Regulation reflects the National prescriptions. The University of Florence has made the internationalization as one of its main strategic axes of intervention since several years.</p> <p>Selection procedures duly take into account the added value of mobility performed abroad and the fruitful cooperation developed or to be developed with foreign entities and research centers.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 19 – RECOGNITION OF QUALIFICATIONS

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>For a throughout description of National legislation applicable in this field please check the descriptions included in the previous principles, in particular from 13 to 17.</p> <p>At local level national and international regulations and standards are fully implemented and all selection committees members have the duty to know them and implement them when performing their evaluation.</p> <p>Dedicated administrative staff is devoted to the support of these selection procedures. It is their duty to provide selection committees with all relevant information on existing legislation and to update them on any new regulation adopted.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 20 - SENIORITY

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| EUROPEAN PRINCIPLE | |
| <i>The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</i> | |

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| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>As explained in the previous principles, according to National legislation all announcements of available positions must contain a clear indication of the entry requirements, i.e. of the qualifications requested from candidates.</p> <p>Such qualifications are always to be defined according to the position offered needs, both in terms of formal qualification (the request for candidates to hold a degree or a Phd, ecc) and informal qualifications (having acquired experience in a certain field, having performed mobility periods, ecc).</p> <p>At local level it's common practice for selection committees to assess candidates impartially for the whole range of knowledge acquired and experiences performed independently from the candidates circumstances. Furthermore, according to national prescriptions, it is forbidden to be influenced by the institution where a qualification may have been obtained, the same type of qualification has always to be attributed the same level of evaluation.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 21 – POST DOCTORAL APPOINTMENTS

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| EUROPEAN PRINCIPLE | |
| <i>Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>According to National Law 240/2010 post-doc appointments correspond in Italy to the research fellow position. Access to this position is regulated by art. 22 of the above mentioned law and further detailed in the dedicated regulation each University adopts in this matter.</p> <p>The whole duration of the grants allocated to the same person, taking into account all positions covered in whatever organization, was initially limited by the national law to 4 years and has been recently extended to 6 years. This limitation is indeed intended to underline that these kind of positions should be intended only as a transition status preparing the researcher to acquire the necessary professional skills to become mature and independent researchers.</p> <p>Furthermore the national law expressly foresees the possibility to reserve part of these positions to candidates holding a PhD.</p> <p>As foreseen in the national law the University of Florence has adopted a dedicated internal regulation on Research fellows: Rectoral Decree 654/2015</p> |

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| | <p>http://www.unifi.it/upload/sub/assegni/dr_654_regolamento_2015.pdf.</p> <p>This regulation contains all relevant guidelines on post doc positions. In reference to the selection process the local regulation establishes that each selection advertisement should clearly describe the titles each candidate should hold, titles corresponding at least to a master university degree or a PhD according to the kind of position offered.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

SECTION C – WORKING CONDITIONS AND SOCIAL SECURITY

PRINCIPLE 22 – RECOGNITION OF PROFESSION

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| EUROPEAN PRINCIPLE | |
| <i>All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National Law 240/2010 draws the general context for the regulation of the researchers positions at whatever level of the career.</p> <p>As anticipated under principle 2 on ethics, according to National Law 240/2010 each university is bound to adopt a code of ethics. According to UNIFI's code, it's expected from each university member to perform his/her tasks professionally.</p> <p>Each member of the university is therefore expected to recognize all colleagues at whatever career level as professionals and to treat them accordingly.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 23 – RESEARCH ENVIRONMENT

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| EUROPEAN PRINCIPLE | |
| <p>Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed.</p> <p>Funders should ensure that adequate resources are provided in support of the agreed work programme.</p> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National Law guaranteeing Research Freedom to Researchers has as well among its fundamental goals to offer researchers adequate working conditions. The MIUR every year distributes funds to each University (FFO – fund for the ordinary funding) to provide each establishment with basic resources to face as well these needs.</p> <p>According to the funds available the University of Florence does its very best to guarantee to each researcher the appropriate equipment and facilities to perform their research. However it is to be noted that the lack of available funds strongly limits the University intervention.</p> <p>The University Central Offices and each Department plan periodically the use of their resources taking into account all relevant needs, nonetheless recent internal surveys have however stressed some possible improvement thanks to a reallocation/reorganization of available infrastructures.</p> |

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| | For health and safety issues, whenever any research implies any sort of risk (biological, chemical, for computer operators, etc.) a dedicated risk assessment is elaborated (Documento Valutazione Rischi – DVR) to identify appropriate and necessary measures to guarantee all personnel safety. According to national rules in this matter the concerned laboratory is bound to provide its personnel with all necessary protective equipment and to take all measures identified in the DVR. For detailed information on health and safety issues please check the description included under principle 7. |
| Gap Identified in 2018 | The University of Florence periodic strategic plan has identified among others the need to adopt a new regulation on the use of existing infrastructures |
| UNIFI Internal Analysis 2020 | <p>Further analysis on the critical aspects concerning the capacity of offering to researchers the most stimulating research environment has been performed.</p> <p>Consultation of researchers in the surveys submitted (in 2015 and 2020), verification with internal structures about available infrastructures and conditions of access to them highlighted the need to redefine the corrective measures allowing a proper implementation of this principle.</p> <p>Rather than the adoption of a new regulation it appeared clear that what was most urgently needed was to allow a proper publicity of available infrastructures and facilities among researchers and to ease the access to them.</p> <p>Therefore a specific web page has been created including a detailed description of all available infrastructures</p> |

Under this principle the following correction measures have been foreseen:

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| ACTION NUMBER 5 – PROMOTION OF AN IMPROVEMENT OF WORKSPACES AND ADEQUATE EQUIPMENT | |
| Creation of a dedicated page on the web site including detailed information about all available infrastructures | |
| Status of Implementation | COMPLETED |
| Action Timing | END 2022 |
| Responsible Unit | General Affairs Area Logistic services Communication Area |
| Indicator(s)/Target(s) | Creation of a page within the web site including information about available infrastructures |

PRINCIPLE 24 – WORKING CONDITIONS

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| EUROPEAN PRINCIPLE |
| <i>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research</i> |

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| <i>performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National legislation in Italy pays peculiar attention to promote adequate working conditions and, in so doing, guarantee reasonable compromises with family needs. Existing laws take into account many different possible situations.</p> <p>To start with national Law 240/2010 in art.7 provides numerous possibilities for leave for study and scientific research both nationally and internationally.</p> <p>Furthermore all researchers can profit of existing regulation on maternity (Law 151/2001), parental leaves (Law 151/2001), sickness and any serious circumstance that may make necessary any interruption of the work activity.</p> <p>In accordance with current legislation, the University has promoted the implementation of a series of initiatives aimed at improving the quality of life of its researchers, with particular reference to gender issues and for supporting staff, whenever necessary, in balancing family and work time, including flexible work schemes (diversified and flexible hours), economic support for families, etc.</p> <p>All researchers, including the young ones in the early stages of their career, may profit of the existing national prescriptions without any prejudice to their career prospects. For example female fellow researchers , in case of pregnancy have the right to a 5 months maternity leave with full salary.</p> <p>In order to verify the satisfaction of all university personnel in combining family and work, the University of Florence has recently decided to start launching periodic dedicated online surveys. According to the surveys outcomes it will be possible to implement any necessary corrective measure.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 25 – STABILITY AND PERMANENCE OF EMPLOYMENT

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work</i> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | National Law 240/2010 sets out the rules concerning the duration of University staff contracts for conducting research. The law provides for |

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| | <p>all temporary positions (PhD, fellow researchers and temporary researchers) the minimum and maximum possible duration.</p> <p>Given the binding principle of access to public workplaces, such as within public universities, only by open and competitive selection procedures, universities are not allowed to guarantee stability of employment. Therefore national prescriptions and available funds strongly limit the number of permanent positions that may be offered. For temporary positions the university applies the duration limits established at national level. Each contract always specifies its duration and in so doing guarantees to the researcher a period of stability to complete the foreseen research program.</p> <p>A recent decree from the Italian MIUR (Decreto Ministeriale 28 dicembre 2015 n. 963) has also foreseen the possibility of direct access to permanent positions to researchers having been awarded grants within specific excellence programmes (such as ERC grants). This has introduced a new possibility of access to permanent positions.</p> |
| Gap Identified in 2018 | <p>Even though the University of Florence as public body is not allowed to offer employment positions directly without performing open selection processes it can nonetheless activate tenure track positions, meaning it can create stabilisation processes to be tendered among interested applicants. A first pilot call has been already promoted to support young researchers with the university internal resources.</p> <p>Furthermore, in recognition of the high-level profile of candidates funded under European excellence programmes such as MSCA and ERC the Italian MIUR has foreseen the possibility of direct appointment as permanent researchers of PI funded within such programmes. Therefore, UNIFI has identified the promotion in the participation in such programmes as an additional tool to promote stability and permanence in employment.</p> |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

Under this principle the following correction measures have been foreseen:

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| <p>ACTION NUMBER 6 – PROMOTING STABILITY AND PERMANENCE OF EMPLOYMENT</p> <p>The University of Florence as public higher education institution is not in the position of guaranteeing to employees career improvements. In fact, all positions must be tendered with dedicated open selection procedures.</p> <p>However in order to promote as far as possible stability and permanence of employment UNIFI has decided since the first Action Plan proposed to commit itself to offer annually as many tenure track positions as possible to create paths of career stabilisation.</p> <p>The original goal consisted in 30 new tenure track positions to be offered within the first 36 months (from 2019 to 2021). During 2019 35 tenure track positions have been offered, 54 in 2020 have been offered.</p> <p>Since the strategy of tenure track positions seems from many points of view to have proven effective in promoting stability and permanence in employment the action originally foreseen has been extended for an additional 12 months by promoting during 2021 60 new tenure track positions.</p> |
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| Status of Implementation | EXTENDED |
| Action Timing | END 2021 |
| Responsible Unit | Human Resources Area |
| Indicator(s)/Target(s) | <i>number of tenure track positions promoted each year</i> |

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| ACTION NUMBER 7 – PROMOTING PARTICIPATION UNDER EXCELLENCE PROGRAMMES | |
| <p>In recognition of the high level profile of candidates funded under European excellence programmes such as MSCA and ERC the Italian MIUR has foreseen the possibility of direct appointment as permanent researchers of PIs funded within such programmes. Therefore UNIFI has identified the promotion in the participation in such programmes as an additional tool to promote stability and permanence in employment.</p> <p>The foreseen increase by 10% of the proposals submitted under excellence programmes (MSCA and ERC) within the first 24 months has been achieved with 85 proposal submitted within 2019 and 105 proposals submitted in 2020 for an increase by approximately 22%.</p> <p>This increase has been achieved based on the the following actions:</p> <ol style="list-style-type: none"> 1. Training courses to teach how to build successful proposals (one for each programme on 2019 and 2020) 2. Elearning dedicated courses available for all interested researchers on the university elearning platform to teach the best techniques for the presentation of successful proposals 3. Dedicated web pages about such programmes on the University web site https://www.unifi.it/p11726.html https://www.unifi.it/p11725.html 4. For ERC projects a dedicated task force promoting annually initiatives to support the participation in this programme (such as coaching, mentoring, simulations of interviews etc.) https://www.unifi.it/p11290.html 5. Creation of a dedicated brochure for each one of the two programmes available for download on the web site: https://www.unifi.it/upload/sub/ricerca/erc_brochure.pdf https://www.unifi.it/upload/sub/ricerca/ESEC_marie%20curie_brochure.pdf | |
| Status of Implementation | COMPLETED |
| Action Timing | END 2020 |
| Responsible Unit | Research and Technology Transfer Area Communication Area |
| Indicator(s)/Target(s) | 10% increase on the number of funding requests submitting under MSCA and ERC calls To organize dedicated info days and an help desk for the participation within excellence programmes. |

PRINCIPLE 26 – FUNDING AND SALARIES

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| EUROPEAN PRINCIPLE |
| <i>Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include</i> |

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| <i>researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.</i> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Salaries and social security provisions are regulated in Italy at national level.</p> <p>For each researcher category the national law establishes the applicable salary levels. In particular for teachers and permanent researchers, the salaries are established by categories, according to the level of career attained and updated, whenever necessary.</p> <p>For fellow researchers, following the indications provided by National Law 240/10 art. 22, each year a dedicated Min. Decree establishes the minimum and maximum level of remuneration.</p> <p>For PhD students, a periodic Min. Decree establishes the applicable level of remuneration.</p> <p>As far as social security is concerned teachers and permanent researchers enjoy, according to national legislation, full social security assistance (including sickness, unemployment, maternity, parental leaves, retirement and so on).</p> <p>Young researchers, namely fellow researchers and PhD students, can profit of “Gestione Separata INPS”, a form of social security coverage intended for temporary workers or workers in peculiar situations guaranteeing nonetheless the basic social security coverage, including sickness and maternity benefits.</p> <p>The University of Florence implements the National legislation guaranteeing to all its researchers wages and salaries in line with existing rules.</p> <p>For example for maternity leaves all researchers have the right to enjoy the national prescription of five months suspension of their working activities upon delivery. During this period of time researchers receive full salary paid partly by INPS and partly by the University.</p> <p>The University internal regulation allows as well to its researchers to interrupt their working activities, while keeping their workplace, for a period of time up to five years for documented serious circumstances (such as serious illnesses, family problems, ecc.).</p> |
| Gap Identified in 2018 | It is without saying that the wages of researchers in Italy are still significantly lower than in most European countries. Nonetheless the University of Florence is not in a position to modify such situation. |
| UNIFI Internal Analysis 2020 | For post-doctoral fellows Universities can indeed enjoy a certain autonomy and therefore UNIFI has committed itself (Senate Meeting of last 29 th April 2020) to promote an increase in the possible level of remuneration for this category by 10 % |

PRINCIPLE 27 – GENDER BALANCE

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Non discrimination is one of the most important principles included in the Constitution of the Italian Republic that foresees in Article 3 that "All citizens have equal social dignity and are equal before the law, without distinction of sex, race, language, religion, political opinion, personal and social conditions.[...]"</p> <p>According to art 7 of Leg. Decree 165/01 men and women in public administration are always to be offered equal opportunities at the stage of recruitment (on this issue to be seen as well art. 35) and throughout the entire work relationship lifetime.</p> <p>According to art. 57 of Leg. Decree 165/01, as modified by Law 183/2010 art. 21, public administrations have to create internal Committees for the promotion of equal opportunities, of workers welfare and of non- discrimination. These committees should be constituted on the basis of an adequate gender balance with propositional, consultative and monitoring tasks.</p> <p>According to the University of Florence Statute art. 3 on fundamental rights, the University must perform its activities always promoting equal opportunities for men and women and fighting against any possible kind of discrimination.</p> <p>As foreseen in Law 183/2010 art.21, the Statute art. 22 establishes a Central Committee for Guaranteeing and promoting equal opportunities, workers' welfare and non-discrimination (CUG).</p> <p>The Committee functioning is aimed at the guarantee of the welfare and equal opportunities of workers, removing any possible direct or indirect discrimination based on gender, age, disability, religion, race, sexual orientation or gender identity.</p> <p>According to the University General Regulation art. 53 (Rector Decree 819/13) the Committee prepares every year by March 30th a detailed report on the status of implementation of the principal of parity, equal opportunities, workers welfare and fight against any form of discrimination, moral or psychological violence or mobbing on the workplace. The Report is addressed to the Rector and to the Governing Bodies of the University and published on the web site.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 28 – CAREER DEVELOPMENT

| EUROPEAN PRINCIPLE | |
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| <i>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</i> | |
| Status of Implementation | +/- FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National legislation doesn't allow to develop career strategies for individual researchers given the binding principle of access to public workplaces, such as within public universities, only by open and competitive selection procedures.</p> <p>According to art. 1 of Law 43/2005 Universities are requested to provide each year a multiyear program detailing their needs of permanent or temporary staff, including the use of staff mobility. In so doing they make public their recruitment strategy and allow researchers to get familiar with the positions that are going to be made available.</p> <p>As anticipated, each year the University adopts a multiyear personnel recruitment plan, including the strategy of recruitment for temporary and permanent staff.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 29 – VALUE OF MOBILITY

| EUROPEAN PRINCIPLE | |
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| <i>Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</i> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The value of mobility is widely recognized within the Italian public education system. Among other modifications the University reform introduced by Law 240/2010 has as well supported this dimension through different measures. Here below a few examples.</p> <p>At national level, the MIUR has introduced the possibility of mobility of permanent researchers and teachers among different Italian institutions. These exchanges should allow, without undermining the correct functioning of the interested institutions, researchers to better profit of the added value of mobility.</p> |

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| | <p>The internationalization principle, as anticipated under point 18, has been one of the main interests within the Italian education system in the last decades. The Italian Agency for the Evaluation of the Quality of Research (ANVUR) uses to measure, among other indicators, the mobility of permanent staff of universities. In particular in the evaluation Process of the Quality of Research (VQR) the outgoing mobility of teachers and researchers who performed research abroad continuously for more than 3 months in the previous seven years is considered as a fundamental indicator of internationalization.</p> <p>Furthermore the level of internationalization of each university (measured for example on the basis of the mobility performed by their staff or by the number of collaborations promoted with foreign entities) is one of the criteria for the distribution by MIUR of the FFO, the fund for the ordinary funding .</p> <p>It is one of the main strategic goals of each university to develop its own strategy to promote the value of mobility. The University of Florence on an annual basis adopts an internationalization plan and support with its own funds the mobility of incoming and outgoing personnel.</p> <p>One of the main instruments to attain this goal is the mobility of the staff. According to the category each Researcher belongs to, specific instruments are put in place to promote their mobility. The Erasmus program cover almost all categories allowing both teachers and PhD students to perform periods of study and research abroad in reputable European partners.</p> <p>Many possibilities are offered as well thanks to the funding provided by other European programs such the Marie Curie Actions that offer many kind of mobility opportunities for researchers at all stages of career.</p> <p>In general PhD students is the category that is probably offered the most opportunities in this field. It's in fact widely recognized that performing mobility is a key element in the training of early stage researchers, as underlined as well in the recent reorganization of PhD courses introduced by National Law 240/2010 and by the Min. Decree 45/2013 implementing the law 240. These laws have strongly promoted the creation of international PhD courses, i.e. courses based on the cooperation of different entities throughout the world, and on the exchange of PhD students among these organizations. However internal practice shows that other researchers such as post-docs have much less opportunities to perform mobility periods as confirmed by the questionnaire administered to UNIFI researchers. Respondents have strongly underlined the importance of transnational mobility rating it as one of the most important aspects to be addressed. Approximately 40% of the interviews stressed the need of some improvement on access to mobility opportunities.</p> |
| Gap Identified in 2018 | UNIFI strategic plan for 2016/2018 has taken into account the need to promote mobility opportunities. |

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| UNIFI Internal Analysis 2020 | Even though the new 2020 survey shows that researchers may be wishing additional measures in this field the COVID pandemic makes impossible for the moment to imagine possible actions in this field. |
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Under this principle the following correction measures have been foreseen:

| ACTION NUMBER 9 – PROMOTING MOBILITY | |
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| <p>The Action "Promoting Mobility" was imagined to allow the improvement of mobility opportunities available for UNIFI Researchers both in terms of geographical and intersectoral mobility. The indicators originally foreseen needed in some cases to be revised. At first three indicators were included:</p> | |
| <p>1. increasing the number of existing cooperation agreements with foreign institutions. This goal has been achieved. In 2019 the number of existing cooperation agreements amounted to 311 while in 2020 this number has been increased to 368</p> | |
| <p>2. creation of an interactive section within the website dedicated to mobility opportunities. Due to technical constraints about the structure itself of the website an interactive section could not be created, however many information have nonetheless been collected and made available on the web site. The University International Relations Area takes constantly care of keeping updated a specific section within the website completely devoted to international activities. This section can be accessed from the very main page of the website (https://www.unifi.it/changelang-eng.html) by selecting on top of the page "International Relations". Within this section the page "Promotion of International Activities" includes an overview of available mobility opportunities where all possible forms of support to perform mobility periods have been collected https://www.unifi.it/vp-10365-promotion-of-international-activities.html</p> | |
| <p>3. to increase the share of funds devoted to the promotion of mobility opportunities. Increasing the share of funds devoted to mobility opportunities couldn't be promoted due to existing limits at the level of available resources. However within the Strategic Plan it has been clearly restated internationalization as one of the key strategic fields to be promoted and Departments are constantly encouraged to promote initiatives aimed at increasing available mobility opportunities for researchers.</p> | |
| Status of Implementation | COMPLETED |
| Action Timing | END 2020 |
| Responsible Unit | International Relations Research and Technology Transfer Area Communication Area |
| Indicator(s)/Target(s) | Within 24 months: To increase the number of existing cooperation agreements To launch a new interactive section on the web site dedicated to mobility opportunities. |

PRINCIPLE 30 – ACCESS TO CAREER ADVICE

| EUROPEAN PRINCIPLE | |
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| <p><i>Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |

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| UNIFI Internal Analysis 2018 | <p>Access to advice for future career choices is regulated at local level within the limits provided by the National Legislation.</p> <p>Within the University of Florence it has been created since several years a centre called CSAVRI, whose main activity field is the technology transfer and innovation promotion and the support to the valorization of research.</p> <p>This centre is particularly specialized in promoting the relationship between the university of Florence and the region in which it is established, i.e. promoting constant relationships with society, local administrations and local enterprises to maximize the impact and the usefulness of the training and research activities performed within the University.</p> <p>In this context the centre offers as well a service of career advising, career counseling organizing career days and labs involving post graduate students and young researchers to make them aware about the opportunities and career prospects available, guiding as well them in the choice of further qualifications they may acquire within the University.</p> <p>The University offers as well a Job placement support intended to give to interested parties (usually post graduate students and young researchers) appropriate support for their career choices. The service includes:</p> <ul style="list-style-type: none"> Counseling Job training Relationship with the labor market Development of personal enterprise and entrepreneurship |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 31 – INTELLECTUAL PROPERTY RIGHTS

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>In addition to what has already been described for principle 3 on “Professional Responsibility”</p> <p>Italian national legislation provides a framework for intellectual property rights. In the Civil Code specific rules are in place on Authorship in the Book V.</p> <p>Furthermore the legislative decree of 10 February 2005, n.30 contains fundamental rules on patents, the Royal Decree 21 June 1941, n. 929 on brands and Law 633/1941 on copyrights.</p> |

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| | <p>On 15th December 2015 the European Parliament has as well adopted a new Regulation on the Community Trade Mark that will come to belong to national legislation to be respected in this field.</p> <p>The protection of research results foreseen by national legislation, is restated by UNIFI Regulation on outcomes of research (Rectoral Decree 595 2013).</p> <p>Each researcher by contractual obligation is bound to perform his/her research activity respecting the principles of intellectual property rights and copyright.</p> <p>Rectoral Decree 605 of 5 giugno 2013 on research and teaching activities commissioned by third parties in art. 6 deals with the Ownership of research results also in this situation of joint research.</p> <p>UNIFI is endowed with an office on intellectual property rights that was recently implemented. Actually the office is endowed with four units of personnel and besides intellectual property issues deals as well with joint labs and commercial research activities performed on behalf of a third party.</p> <p>The University of Florence organizes as well periodic training sessions for young researchers on these issues (http://www.unifi.it/vp-5971-brevettare-a-unifi.html#eventi) .</p> <p>It is to be noted that at national level there is a lack of legislation regarding the protection of unpublished works. UNIFI, in order to solve this issue, has promoted a dedicated internal repository IRIS that, among others, requests to all Phd students publication of their PhD thesis in order to guarantee and protect their copyrights and the recognition of authorship.</p> <p>UNIFI has as well an internal editor service named FUP to allow researchers for the easy publication of their works. The FUP functioning is in line with the DOI system, thus enhancing the protection of digital works.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 32 - COAUTHORSHIP

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| EUROPEAN PRINCIPLE | |
| <i>Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | In addition to what has already been described for principle 3 on "Professional Responsibility" and for principle 31 on "Intellectual |

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| | <p>Property Rights” Italian national legislation provides a framework as well for Joint Ownership.</p> <p>In the Civil Code specific rules are in place on Joint Ownership in Book III, Title V, artt. from 1100 to 1139.</p> <p>For internal regulation rules on these issues please check what has been included under principle 31. In fact UNIFI internal regulation in this domain include both rules on intellectual property rights and on co-authorship.</p> <p>In particular Rectoral Decree 593 2013 in article 7 includes specific provisions on co-authorship according to which, in case of joint inventions, both inventors rights are to be protected and respected.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 33 - TEACHING

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| EUROPEAN PRINCIPLE | |
| <p><i>Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers’ career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that Teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</i></p> | |
| Status of Implementation | +/- ALMOST IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>According to National Law 240/2010, article 6, ordinary and associate teachers and permanent researchers are bound to devote part of their working time to teaching, mentoring and giving support to students and young researchers for at least 350 hours per year (for part time teachers at least 200 hours).</p> <p>According to national law 210/1998 doctoral candidates may be involved in limited and integrative teaching activities, in order not to affect their research activities.</p> <p>No such principle applies to fellow researchers who should devote themselves entirely to their research duties.</p> <p>The University didactic regulation include all relevant and operative rules on the organization of teaching, of degree courses, their running and the tasks to be performed. As per the effort researchers should devote to teaching duties, national law art.6 provisions are reflected in the local regulation.</p> <p>Rectoral Decree 1111/2014 restates the national principle for temporary researchers to perform each year at least 350 hours of mentoring, tutoring and teaching activities (at least 200 hours for part-time researchers).</p> |

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| | <p>According to Rectoral Decree 670/2013, art. 17 point 4, PhD Students are allowed to perform limited teaching activities, as part of their research project. However, in order not to represent a prejudice to the smooth running of their research activities, a maximum limit of 40 hours per year of teaching activities has been established.</p> <p>The survey administered has stressed that approximately 40% of the interviewees feel somewhat dissatisfied with the preparation they receive to perform teaching activities, though this issue has not been identified as one of the most urgent to be addressed.</p> |
| Gap Identified in 2018 | In the survey originally submitted in 2015 researchers, especially at the first stages of their career, stressed the need of a more focused training on training techniques. |
| UNIFI Internal Analysis 2020 | <p>In the survey submitted in 2020 researchers were asked again to assess their satisfaction about the training received to learn the best possible teaching techniques.</p> <p>Outcomes showed the need to continue working on this issue. In particular it seems that the initiatives undertaken with Temporary researchers and PhD students are beginning to show their effects. In fact newly employed temporary researchers are now automatically invited to attend a dedicated course about teaching techniques (APPI - Apprendere a Insegnare).</p> <p>At the same time PhD students are now offered on a regular basis a wide range of teaching courses dedicated to different kind of possible soft skills such as communication skills, IPR related issues, etc.</p> <p>The survey underlined however also dissatisfaction among permanent teachers. Since this category of personnel has already been performing teaching related duties for several years, it seems reasonable to interpret their criticism as a need of support with the newly introduced elearning techniques made necessary by the recent pandemic.</p> |

Under this principle the following correction measures have been foreseen:

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| ACTION NUMBER 10 – APPI LEARNING HOW TO TEACH | |
| <p>The project APPI - Apprendere a Insegnare (Learning how to teach) has been introduced and foresees now annually a session involving newly hired temporary researchers to train them with techniques and useful instruments on how to teach.</p> <p>https://www.unifi.it/upload/sub/formazione/appl_apprendere_insegnare.pdf</p> | |
| Status of Implementation | COMPLETED |
| Action Timing | END 2020 |
| Responsible Unit | Education Services Area Communication Area Information and Technology University Service |
| Indicator(s)/Target(s) | Within 12 months: |

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| | <p>To promote the knowledge and access of researchers, wherever not already available, to the existing e- learning activities</p> <p>Within 24 months: To plan and organize training courses in this field, especially intended for young researchers</p> |
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| ACTION NUMBER 11 DIDEL LEARNING HOW TO TEACH | |
| <p>Following the COVID Pandemic a new tool has been implemented about teaching techniques applicable in elearning contexts called Didel (https://www.unifi.it/p11562.html). This tool will continue to be implemented in the next 36 months to allow the access of the highest possible number of researchers</p> | |
| Status of Implementation | NEW |
| Action Timing | END 2022 |
| Responsible Unit | Education Services Area Communication Area Information and Technology University Service |
| Indicator(s)/Target(s) | Creation of a elearning course including training on elearning techniques |

PRINCIPLE 34 – COMPLAINTS/APPEALS

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| EUROPEAN PRINCIPLE | |
| <p><i>Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National Law 240/2010 provides for the establishment of a University Disciplinary Committee, in accordance with the principle of peer review and debate.</p> <p>Art. 20 of the Statute of the University of Florence establishes the creation of a Disciplinary Committee nominated by the University Senate.</p> <p>This Disciplinary Committee is in charge of the investigation stage of the University administration disciplinary procedures and it delivers binding opinions on the validity of the disciplinary action and eventually on the penalty to be issued.</p> <p>Furthermore the University Statute establishes as well a so called “Garante dei Diritti” a citizen reputed for his/her impartiality and independence of judgment. Every member of the University may address his/her complaints to this figure. The Garante, after having verified the situation with all involved parties, provides his/her advice on the matter and suggests, whenever necessary, the activation of an official disciplinary procedure.</p> |

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| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 35 – PARTICIPATION IN DECISION MAKING BODIES

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| EUROPEAN PRINCIPLE | |
| <i>Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National law leaves to the autonomy of each University internal regulation the definition of the terms of participation of its researchers in the foreseen decision-making bodies, within the limits fixed by National Law 240/2010.</p> <p>In accordance to national law the Statute and the General University Regulation establish the governance structure of the University and the Composition of its governing bodies.</p> <p>The structure of the University of Florence is based upon departments. It's within such structures that researchers perform their activities.</p> <p>The Departments are ruled by a Director and by a Board including all teachers and permanent researchers of the department concerned, along with representatives of fellow researchers, PhD students (in addition to students and administrative staff).</p> <p>At the central level the Senate is the governing body that represents the community of researchers. It is composed of permanent teachers representing each scientific field of the university of Florence. These teachers are elected within each Department by all permanent researchers and teachers (each one contributing to the nomination of the representative within the category he belongs to). Furthermore the Senate includes one representative of temporary researchers democratically elected by the members of this category and five students.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

SECTION C – TRAINING AND DEVELOPMENT

PRINCIPLE 36 – RELATION WITH SUPERVISORS

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| EUROPEAN PRINCIPLE | |
| <p><i>Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.</i></p> <p><i>This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs</i></p> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>In the Italian context only early stage researchers (i.e. PhD students and fellow researchers) are attributed a supervisor. It is in fact considered that the concept of having a supervisor is not adequate for more experienced researchers who have already attained professional maturity and independence in this field.</p> <p>The identification of the supervisor, the relationship between the supervisor and the researcher and all other issues that may arise on this matter is regulated locally by each university, though the principles included in the national law and previously described may be applied as well to this relationship.</p> <p>According to the Internal Regulation on PhD Courses (Rectoral Decree 670/2013) each PhD candidate works under the supervision of an academic tutor, to whom he/she reports regularly on the progress of the research. At the end of each year the doctoral candidate is required to submit a detailed report on the activities performed. Approval of the submitted report is mandatory to proceed with the PhD course. Admission to the final PhD thesis discussion depends as well on the approval of the research activities developed during the PhD course.</p> <p>According to the Internal Regulation - Rectoral Decree 654/2015, fellow researchers develop their activities under the supervision of a dedicated tutor. As a contractual obligation they are requested to submit reports on the activities performed every six months plus a final report on the global outcomes of the fellowship.</p> <p>Besides compulsory reports the supervisor is the main reference for each early stage researcher. Through a day to day interaction with the supervisor each researcher receives constant advice, guidance and support in the definition and development of his/her research.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 37 – SUPERVISION AND MANAGERIAL DUTIES

| EUROPEAN PRINCIPLE | |
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| <i>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>The duty of supervision is a reputable activity that it is normally expected permanent researchers constantly perform.</p> <p>Senior researchers may propose themselves on a voluntary basis as supervisors or they may be identified to perform this task, usually by the board of the concerned department.</p> <p>In any case the supervisor is requested to have satisfactory specific scientific knowledge and competence to supervise a young researcher. Furthermore it's strongly appreciated for these mentors to have as well previous experience in the training of researchers.</p> <p>The typical tasks of the supervisors have been described under principle 36 and are further detailed under principle 40.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 38 – CONTINUOUS PROFESSIONAL DEVELOPMENT

| EUROPEAN PRINCIPLE | |
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| <i>Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>Strengthening and updating his own skills are common practices within Universities</p> <p>According to the stage of career considered different strategies are in place to promote life-long learning opportunities. It's common practice in any case for Departments to periodically organize formal occasion of training such as seminars, conferences, symposia and workshops for both upgrading and disseminating knowledge and skills.</p> <p>In recent years the University of Florence has as well promoted the creation of e-learning platforms to allow acquisition of new skills in a more interactive and efficient way.</p> <p>If for PhD students is common practice to profit of formal learning occasions such as courses, for other already skilled researchers, from fellow researchers till teachers, it's necessary to profit of more specific and personalized learning instruments.</p> |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |

PRINCIPLE 39 – ACCESS TO RESEARCH TRAINING AND CONTINUOUS DEVELOPMENT

| EUROPEAN PRINCIPLE | |
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| <i>Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability</i> | |
| Status of Implementation | Status of Implementation |
| UNIFI Internal Analysis 2018 | <p>Strengthening and updating his own skills are common practices within Universities.</p> <p>As anticipated under principle 30 promoting continuous development of skills and competences in view as well to employability is one of the main tasks of CSAVRI, the university centre for the valorization of research.</p> <p>This centre among other initiatives promotes the so called “In progress entrepreneurship and work” including the career advice services previously described along with numerous initiatives to promote life-long learning through formal and informal training.</p> |
| Gap Identified in 2018 | Gap Identified in 2018 |
| UNIFI Internal Analysis 2020 | UNIFI Internal Analysis 2020 |

PRINCIPLE 40 - SUPERVISION

| EUROPEAN PRINCIPLE | |
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| <i>Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.</i> | |
| Status of Implementation | +/+ FULLY IMPLEMENTED |
| UNIFI Internal Analysis 2018 | <p>National law 240/2010 includes, as previously explained, basic national rules in this field.</p> <p>As explained under principle 36 in the Italian context only early stage researchers (i.e. PhD students and fellow researchers) are attributed a supervisor. Furthermore each supervisor is identified according to his/her knowledge and experience.</p> <p>Both Rectoral Decree 670/2013 for PhD Students and Rectoral Decree 654/2015 for fellow researchers provide specific guidelines on the attribution of a dedicated supervisor to each early stage researcher.</p> <p>The researcher is informed about the attributed supervisor at the very beginning of the fellowship and the supervisor represents for the whole duration of the fellowship his/her main contact point.</p> |

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| | It's important to note that in the case of Phd students each senior teacher may participate only in the governing board of one PhD school at a time at national level so that to guarantee they have enough time and attention to devote to their tasks. |
| Gap Identified in 2018 | NONE |
| UNIFI Internal Analysis 2020 | NO UPDATE NEEDED |