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Important message to institutions:

Site Visits: All HRS4R in-house audits planned for 2021 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

GAP Analysis (Charter and Code Checklist)**Case number:** 2020IT523402**Name Organisation under review:** Università degli Studi di Siena**Organisation's contact details:** Via Banchi di Sotto, 55, SIENA**Date endorsement charter and code:** 09/07/2020**GAP Analysis overview**

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

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European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

- **Status** : to what extent does this organisation meet the following principles?
- **Implementation (++, +/-, -/+, --)** :
 - 🔵 ++ fully implemented
 - 🔵 +/- almost but not fully implemented
 - 🔵 -/+ partially implemented
 - 🔵 -- insufficiently implemented
- **GAP** : In case of --, -/+, or +/-, please **indicate the actual “gap”** between the principle and the current practice in your organisation.
- **Implementation impediments** : If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals** : If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status

Ethical and Professional Aspects

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How do you know?

1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The aspect of freedom in research is addressed by national legislation and included in the Statute of the University of Siena. Law 240 of 2010 "Regulations on the organization of universities, academic staff and recruitment, as well as the authorization to the Government to encourage the quality and efficiency of the university system" (hereinafter Law 240/2010) includes it among the inspiring principles (Art.1): "Universities are the primary seat of free research". The Statute of the University of Siena in Art. 1 states "The University of Siena (...) is the primary seat of free research (...)" and in art. 2 c.3 "The University guarantees freedom of research (...)". Furthermore, the University of Siena is committed to promoting and guaranteeing the freedom of research at an international level. Unisi is a member of the Italian section of Scholars at Risk (SAR), the international network that works for the protection of scholars whose freedom of research and teaching is precluded in their respective countries. SAR Italy promotes joint initiatives to protect scholars at risk and academic freedom in general, through welcoming, awareness-raising, research, and advocacy activities.</p>

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2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The University of Siena adopts a Code of Ethics (Rector's Decree (DR) n. 1381 of July 28th., 2011) for its entire community as required by the Statute in Article 7 and promotes an ethics commission that verifies compliance of the norms (Statute Art. 36). Ethical principles are also referred to in the Code of Conduct for employees. The University has recently established CAREUS, a commission to address the increasing number of ethical issues related to research activities in human and social sciences in order to safeguard the rights, dignity, integrity, and well-being of human beings involved in research programs. In the field of clinical trials, the University of Siena, through the Sienese University Hospital, uses the Regional Ethics Committee for Clinical Trials. As regards the theme of animal welfare, the university's policy foresees that all research projects that involve the use of animals for scientific purposes must obtain prior authorization from the Ministero della Salute, Direzione Generale della Sanità Animale e dei Farmaci Veterinari, Ufficio VI (Italian Ministry of Health, General Administrative Management of Animal Health and of Veterinary Drugs, Office VI).</p>

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The University of Siena promotes and respects professional responsibility, as required by the Statute and in particular by the Code of Ethics. It also governs intellectual property through a regulation and refers to these principles also in the following specific regulations: Research Grants Regulations Art. 10 c.8, Regulations for Scientific and Didactic Structures art. 16 c.4 Lett. I and Regulations for Researchers with Fixed Term Art. 16. With regard to actions already taken against plagiarism, the University provides access to all teachers to an online software to support the correct use of documentary sources in works produced within our institution and periodically organizes information seminars aimed at the entire academic community, and to PhD students in particular, with a focus on intellectual and joint property rights, on copyright and open-access rights and on the innovativeness of research. Furthermore, the University adheres to and applies an Open Access implementation policy: archiving products in the Usiena air institutional repository allows not only to fulfill national obligations for career and evaluation, but also to fulfill Open Access obligations for national and European projects. The publications relating to the research conducted under the Horizon 2020 program present in Usiena air are collected and deposited automatically (avoiding the double insertion of data) in OpenAire, the repository created by the European Commission which collects the list of all the publications created within the scope of the programs FP7 and H2020. SURVEY: Excellent feedback from the survey regarding researchers' perception with respect to some points subject to accountability and protection by the institution: 1) [USiena adequately protects the intellectual property rights of researchers] As many as 91% expressed a positive opinion (almost 50% said they were "very much in agreement"). 2) [USiena researchers must avoid plagiarism and respect the principle of intellectual property] 98% of researchers have fully agreed with this statement.</p>

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4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Current legislation does not expressly deal with issues relating to the integrity of research and the behavior of the researcher involved in the management and implementation of research projects funded through external competitive calls for application. SURVEY results: 1) 71% of the participants in the survey assessed positively the item: "USiena researchers are adequately informed about the strategic objectives of the University and research funding mechanisms" 2) 83% of positive evaluations compared to the statement "USiena informs researchers with public funding about their duties and responsibilities in managing the funds"	Current regulations consider this aspect in a general way: in the Statute Art.2 (professional training) and in the Code of Conduct art. 3. However, the University has long implemented internal mechanisms and good practices (such as the appointment of the Research Commission with departmental representation for internal dissemination and discussion, the preparation of a vademecum, the creation of web pages with indications of procedures and templates, the organization of dedicated webinars, as well as administrative structures for assistance in the presentation and management of research projects) to support the widest internal and external information about the research funding mechanisms and consequent accountability of the principal investigators in relation to the management of funded research projects. PROPOSAL: integration of the "Code of Ethics of the University Community" with principles of research integrity, management of external funds and the responsibility of the Principal Investigator (PI).

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5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Researchers' rights and duties are specified both in the University regulations and in their contracts or appointment decrees. This documentation is only partially available in English. The conferral deeds in English must be reviewed for all the figures involved in research.	The contracts for the researchers expressly provide references to the type of contract, intellectual property, and the relevant legislation both at national and university level. PROPOSAL: Publication of a web page in English dedicated to the recruitment of researchers "ERA-European Research Area: researchers' recruitment" in which documents, forms, regulations, calls for applications divided by profile of the researcher R1-R2-R3-R4 will be collected and translated and integrated with explicit references to the principles of the Charter and the Code.

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The concept of responsibility, not only normative and legal, but also towards stakeholders is present in various university regulations and provisions, in particular: in the Statute Art. 5 (responsibility) and Art. 7 (Code of Ethics); in the Code of Conduct Art. 3; in the Research Grant Regulations Art.10 c.6; in the Regulation on Administration, Finance and Accounting. Beyond the necessary regulatory framework, researchers come into contact with the concept of accountability also through the services (central and departmental) supporting the management of research funding, which they use for the implementation of their projects. In addition to specific vademecum on roles, procedures, internal practices, a lot of information and documentation has been collected and distributed through the institutional web pages. Finally, the report on research, training, third mission and public and private funding activities is drawn up and published annually on the web, attached to the Unified University Financial Statements. SURVEY: 83% of the survey takers express positive evaluations compared to the statement "USiena informs researchers who receive public funding about their duties and responsibilities in managing the funds"</p>

7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>In order to promote good practices in research, the University of Siena makes use of the following measures and structures: 1) Regulation containing the IT specification of the University of Siena: the regulation guarantees a good use of IT resources, in the spirit of RFC 1855 (Request for Comment 1855 - "Netiquette Guidelines") and the directives issued by the Research Network Harmonization Group (GARR - the telematic service that connects the Entities of Italian Scientific Research) in order to ensure a network infrastructure that facilitates</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		<p>research, teaching, administration and other institutional activities of the University, guaranteeing, in particular, the following objectives: to ensure the integrity, reliability, availability and high level of performance of the Network Systems; ensure that the Systems are effectively used for the purposes envisaged by the University; verify the correct use of IT resources. 2) Regulation for the processing of sensitive and judicial data in implementation of the national legislation (Legislative Decree No. 196/2003) which identifies the types of sensitive and judicial data, as well as the operations that can be carried out for the performance of the universities' institutional purposes. It also complies with EU Regulation 2016/679 "concerning the protection of individuals with regard to the processing of personal data, as well as the free circulation of such data" (GDPR). 3) Regulations for the improvement of safety and health in the workplace of the University of Siena, in implementation of the provisions dictated by national legislation: Legislative Decree 19 September 1994, n. 626 and Law Decree August 5, 1998, n. 363 and subsequent amendments and additions. 4) Prevention and Protection Service and Health Surveillance Service that develops activities related to the implementation of prevention and protection systems for workers and risk assessment within the teaching, research, and service facilities of the University of Siena. 5) Committee for Ethical Research in Social and Human Sciences (CAREUS) to address the increasing number of ethical issues related to research activities in human and social sciences in order to safeguard the rights, dignity, integrity, and well-being of human beings involved in research programs. CAREUS has the competence to express opinions on research proposals and experimental protocols submitted for the committee's examination as well as to perform an informative and propositional function in order to sensitize the entire university community on the ethical implications of research activities in human and social sciences.</p>

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>There is a need to improve communication of the University's numerous activities and initiatives aimed at disseminating research results. Although the information is quite fragmentary on the University portal and it will be necessary to improve the single access point (https://www.unisi.it/ricerca and https://en.unisi.it / research) there are various research initiatives conducted by the University both spontaneously and following grants and funding obtained at various levels (from public bodies and foundations and at national and international levels). In this regard, the research and grants management Division is conducting a redesign of the pages accessible from the homepage of the site www.unisi.it under the heading Research.</p>	<p>The University uses its own Communication and Portal Office which creates and manages information and strategic and integrated communication products, also developing and managing the University social networks and the related usage policies (social media management). It designs and implements communication activities related to projects with the aim of disseminating results and reaching an audience which is wider than the academic one. It also manages the USiena Information web pages that reach the entire academic community, which can be consulted online and also in English. The Research and Grants Management Division promotes and coordinates project initiatives in the University about the main funding opportunities, from European sources to national ones. Often these initiatives have been open to third parties such as the Tuscan technological centers and business associations. In fact, this is meant to increase the opportunities for supply of and demand for research to meet. Among other things, the Division is also involved in providing support to the University structures which participate in research projects during the negotiation of grants and the definition of contractual aspects with funding bodies and project partners. Finally, the Liaison Office promotes contact between the university and companies in relation to the processes of technology transfer and research enhancement. It also conducts economic analyses and provides support services to SMEs. PROPOSAL: Creation of single online point for the communication and dissemination of USiena research results</p>

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9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The University has an internal administrative structure, the Third Mission Division, which deals with public engagement, organizes events with the aim of presenting and disseminating the results of scientific research among citizens and at the same time generating interest among the younger generations in research, innovation, and solutions with scientific bases useful to face the main challenges of our societies. Furthermore, the activity of the “Santa Chiara Lab” Service Center should be highlighted. This center promotes a workshop, exhibition, and dialogue space, and aims to function as a bridge between research, businesses, students, institutions, and citizens. It is a hub of skills to promote the employability of students and graduates of the University of Siena and to enhance the professional profile of the university teaching and administrative technical staff. It encourages research and sustainable development initiatives with the aim to involve citizens and facilitate knowledge of the 2030 Agenda and the adoption of virtuous behaviors. Finally, the University has coordinated and participated for several years in the project "Night of researchers", co-financed by the European Commission through the Marie Skłodowska Curie Actions program, and by the Region of Tuscany. The initiative involves all the universities of the Tuscany Region in a coordinated manner and aims to raise awareness among citizens, including schools and children, on the importance of research and researchers' role in society.</p>

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10. Non discrimination

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The principle of non-discrimination is among the most important principles within the Italian Constitution, which provides in art. 3 "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". Non-discrimination and the principle of equal opportunity are guaranteed by national legislation in recruitment procedures in the public bodies (art. 35 of Legislative Decree 165 of 2001). Furthermore, Article 57 of this decree provides, with regard to "equal opportunities", that public bodies take the necessary measures to apply the provisions of the European Directives on this issue. Non-discrimination principles are reaffirmed in the Statute of the University of Siena (in articles 2, 3 and 5), As foreseen by Law 183/2010 (art.21), the Statute of the University of Siena provides in art.46 that a Single Guarantee Committee be established for equal opportunities, promotion of the well-being of those who work and against discrimination. This committee ensures gender equality and equal opportunities and strengthens the protection of male and female workers, implementing preventive measures against any form of physical or moral violence, direct or indirect, relating to gender, age, sexual orientation, ethnic origin, disability, religion, politics, and language. SURVEY: Following a consultation, 90 % of the researchers consulted agree (while 34% of them agree completely) with the affirmation that "Unisi does not discriminate researchers on the basis of gender, age, sexual orientation, race, disability, religion or language".</p>

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>At a national level, the evaluation of the quality of the activities of universities and public and private research bodies is conducted by the Italian National Agency for the Evaluation of Universities and Research Institutes (hereinafter ANVUR). As regards research, the Agency evaluates the quality of results and products, the ability to attract external funding and to stimulate collaboration between researchers. It also defines the criteria and methodologies to evaluate the structures of research institutions and directs the evaluation activities conducted by the internal evaluation units of the universities and research centers. Periodically, usually every three years, ANVUR requires all universities to provide relevant data to evaluate their research activity and products obtained (VQR - Evaluation of Quality and Research). The data provided by the universities are considered by the MUR (Italian Ministry for University and Research) in the distribution phase of the Ordinary Fund (FFO), which is divided into two parts: a fixed fee attributed to each university based on its size and needs and a variable (reward share) which is attributed, among other things, on the basis of the results obtained in the research activity. Furthermore, Law 240/2010 establishes that the verification functions of the research activities carried out by Universities be entrusted to a specific body (Evaluation Unit). The Evaluation Unit of the University of Siena is provided for by the Statute (art.41) which lists its functions, subsequently developed by a specific regulation. Finally, the National Scientific Qualification is a non-comparative assessment procedure managed directly by the Ministry of University and Research that allows participation in the selection processes in individual universities for the R3 and R4 profiles. SURVEY: The results of a survey show that around 74% of the researchers consulted agree that Unisi has adopted a system of periodic, independent, and transparent evaluation of the researchers' professional performance.</p>

Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.

12. Recruitment

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Not all calls of applications for the selection of researchers (profiles R1 to R4) are published in English. Not all the regulations governing the various figures involved in research refer to the Charter for Researchers and the Code of Conduct for their recruitment. Consequently, it is necessary to rationalize and coordinate the initiatives for the publication in English of all the calls for applications and selection notices,</p>	<p>As regards access to the various researcher profiles, the University of Siena complies with national laws. Calls for applications for selection of research grants (aimed at graduates who collaborate with University research groups/projects) are not published on the Euraxess portal and are not translated into English. Calls for applications of admission to the research Ph.D. (R1) are published in Italian and English on the web pages of the University, the Ministry and on the Euraxess Portal. The calls for applications refer to the principles of the Charter and the Code. As regards Research Fellows (R2 - "Assegni di Ricerca"), the regulation does not provide for the publication of the calls for applications in English. However, an English version of the call for applications has been prepared (for the central administration and for departments), which was only partially adopted by some departments . It is necessary to spread and consolidate this practice within the departments and to adopt the use of the Integrated Platform for University Appointments Examinations (hereinafter PICA) by the departments to standardize procedures. USiena's regulations governing the roles of fixed-term researchers (R3) establish that the calls for applications must be published in Italian and with an abstract in English, both in the "Albo di Ateneo" (online university register) and on the transparent administration web pages. https://www.unisi.it/ateneo/concorsi-gare-e-appalti/concorsi-professori-e-ricercatori/ricercatori-tempo-determinato. The notice, in Italian and English, is also published on the website of the Ministry of University and Research at https://bandi.miur.it/ and on the European portal at: http://ec.europa.eu/euraxess/ The same applies to technologists pursuant to art. L. 240/2010 art. 24bis, and for teachers of I and II band pursuant to art. 18 L. 240/2010. Finally, with regard to the R4 profiles (the calls of associate professors and full professors) the relative regulation makes explicit reference to the principles of the Charter for Researchers (not the case of individual calls for applications) and provides for the publication, at least, of one extract in English. However, this has not been implemented yet. The submission of applications takes place through the PICA platform, where the fields to be filled in are both in Italian and in English. PROPOSALS: 1) Definition of an OTM-R Policy "Open, Transparent and Merit-based Recruitment of Researchers" for the three main phases of recruitment and for the four : 1. advertising and candidacy; 2. selection and evaluation, 3. appointment and contracts. The aim is to standardize, formalize and make known the existing procedures and practices, improve them</p>

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	improving access to information by international candidates.	if necessary and introduce any corrections (where gaps have emerged in the OTM-R check-list), with particular reference to access to this information by international researchers (all documentation produced and published must be in English) 2) Publication of a web page in English dedicated to the recruitment of researchers "ERA-European Research Area: researchers' recruitment" in which documents, forms, regulations, calls for applications divided by profile of the researcher R1-R2-R3-R4 will be collected, translated, and integrated with explicit references to the principles of the Charter and the Code.

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>As already highlighted on point 12, some notices of selection have been translated in English, but most of them and their supporting documents are published only in Italian language. In order to fill this gap USiena appointed a translator who is collaborating with the International Relations Divisione to internationalize the communication of USiena. This issue is a priority for our University because internationalisation of teaching and research is one of the strategic objectives of the University.</p>	<p>Law 240/2010 details the requirements that Italian universities must respect in their recruitment process, in order to guarantee they are open, efficient and transparent. Notices of selections always include a clear explanation of the entry requirements, a description of knowledge and competencies required as well as the procedures for participation. They remain open for 30 days (after the date of publication of the notice in the Official Journal of the Italian Republic) and the staff of the human resources office provide further information and support to potential candidates. Notices of selection are advertised on the university web site, on the Ministry for University and Researchers website and almost all of them on the Euraxess Portal. All announcements always indicate the type of contract offered and its duration, the description of the working conditions (legal, economic and social security provisions are included). PROPOSALS: 1) Definition of an OTM-R Policy "Open, Transparent and Merit-based Recruitment of Researchers" for the three main phases of recruitment and for the four researcher profiles; 2) Update of the Regulations for Research Fellowships and of the Regulations for research grants from an OTM-R perspective (reference to the Charter and Code principles, gender balance in the selection committees); 3) Publication of a web page in English dedicated to the recruitment of researchers in which documents, forms, regulations, calls for applications divided by profile of the researcher will be available in English.</p>

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14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The criterion of gender equality in the composition of the selection boards is not expressly mentioned in the Regulations for all researcher figures.	The University of Siena complies with national and international rules on personnel selection at all levels. The calls for applications indicate the evaluation criteria that the commissions must follow in the various procedures. As regards the appointment and composition of the evaluation commissions, pursuant to art. 15 and 24 of the Regulations on the calls for applications of Professors, gender equality is guaranteed. However, with the exception of professors and fixed-term researchers, gender equality is not mentioned for all other figures. Nevertheless, for good practice, we try to insure it in commissions. If this is not possible, due to the low representativeness of one of the genders in the scientific disciplinary sector, this circumstance is expressly indicated in the act of appointment of the commission itself. PROPOSAL: 1) Measures to support gender equality (drafting, publication, divulgation of the "Gender Equality Plan", gender equality in the selection commissions R1 and R2, communication campaign to raise awareness of the figure of the trusted advisor among researchers). 2) Update of the Regulations for Research Fellowships and of the Regulations for research grants from an OTM-R perspective (reference to CH&C, gender balance in the selection committees).

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>For the University of Siena transparency is a key principle in the procedures for hiring and recruiting staff at all levels and teaching staff in particular. The art. 7 paragraph 3 of the Scholarships and Research Scholarships Regulations provides for the selection notice to be published on the university's online register and on the web pages of the proposing office or management center, while art. 8 paragraph 3 states that any oral interview must be public. The art. 6 of the Regulations for research grants establishes in paragraph 5 that the competition announcement must be adequately publicized on the university's online register and on the EU portal, while art. 6, paragraphs 5 and 6 of the Researchers' Regulation provide that the selection procedure must be published in the official gazette, on the university's online register, on the MIUR's website and on the EU online portal, also in English; there is also a public oral interview. As for researchers pursuant to art. 24 I. 240/2010, the RTD Regulation explicitly refers to art. 1 to the European Charter for Researchers and art. 6 to public, transparent, and published selection procedures, at least as an excerpt, also in English. Candidates are properly informed on the selection procedures and criteria, as well as on the number of places available on the dedicated web pages With regard to career prospects, art. 22 I. 240/2010 establishes that the research grant does not give rise to any right of access to the roles of universities. This provision is echoed by art. 13 paragraph 6 of the regulation on research grants and by art. 5 paragraph 1 of the regulation on scholarships, while for the other figures the specific regulations govern the procedures for accessing the university roles and clearly indicate this in art. 1.</p>

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16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		All selection procedures include the evaluation of the CV, publications, teaching and research experiences. Thus, it is specified in all the regulations governing the various figures involved in the research, which focus the evaluation of the scientific-professional curriculum and qualifications, also providing for comparative procedures with oral interviews. Only in the case of the Regulations on research grants (Article 8, paragraph 2), the conduct of the oral interview is at the discretion of the examining commission.

17. Variations in the chronological order of CVs (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	At present, the university regulations do not have any provisions regarding the enhancement of the multidimensional career paths of candidates for researcher positions.	The University of Siena provides suitable comparative procedures for evaluating the curriculum of candidates in compliance with national regulations. In the specific case of fixed-term researchers, the commissions must comply with the criteria set out in Ministerial Decree 341/2011, which provides that "The judging commissions [...] must also assess the overall consistency of the candidate's scientific production, the intensity, and the temporal continuity of the same, without prejudice to the periods, adequately documented, of involuntary removal from the research activity, with particular reference to parental functions. Provisions in The Ministerial Decree 344/2011 also establish "Criteria for the discipline, by universities, of the evaluation of fixed-term researchers, in possession of the national scientific qualification, for the purpose of being called to the role of associate professor". PROPOSAL: Definition of a University policy to enhance mobility paths (international and intersectoral) in the recruitment and careers of researchers (R1 and R2), recognize professional paths without penalizing any interruptions in their CVs, both in the selection phase and for career development purposes.

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The results of the USiena researchers consultations (online survey) highlighted that approximately 77% agree that "USiena considers international, intersectoral and interdisciplinary mobility in the selection and career advancement systems". The University promotes the international mobility of its teaching and research staff, but the gap is evident in the absence of recognition of mobility periods abroad in the evaluation of researchers' performance.	In the selection procedures for teaching staff and researchers, the international mobility experience that the candidates have conducted during their training path is taken into consideration. For example, for fixed-term researchers, the Law (Ministerial Decree No. 243 / 2012) provides that the selection commissions must take into consideration the activities and related experience conducted by the candidates both in Italy and abroad and the consequent cooperation with foreign bodies and institutions is fundamental for the evaluation of the candidates' curricula. The University of Siena has always considered internationalization as one of the key principles of its strategy, developing over time the participation in European projects, international networks and entering into scientific didactic collaboration agreements with numerous foreign universities, aimed above all, at developing mobility between students, teachers, researchers, and staff. PROPOSAL: Definition of a University policy to enhance mobility paths (international and intersectoral) in the recruitment and careers of researchers (R1 and R2), recognize professional paths without penalizing any interruptions in their CVs, both in the selection phase and for career development purposes.

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>Although, as per the results of a survey, 80% of the researchers consulted agree with the statement that USiena provides for the adequate assessment of the university and professional qualifications of all researchers, it is highlighted that as regards the assessment of qualifications and recognition of qualifications obtained abroad, there is no univocal criterion in the University selection announcements, and it varies greatly in the several departments. In most of the announcements, the criteria are very restrictive and may constitute an obstacle to the participation of candidates in possession of a foreign qualification, as candidates must (Example: "For qualifications obtained abroad it is necessary to, under penalty of exclusion from the selection, attach the declaration of equivalence to the qualification indicated above pursuant to art.38 of Legislative Decree 165/2001, or that of equivalence with the title of PhD in the Italian university system issued to pursuant to art. 74 of Presidential Decree 382/1980. 3. The candidate may be admitted subject to the acquisition, within 30 days of taking up office, of the provision of equivalence or of the declaration of equivalence referred to in paragraph 2 above, if not yet issued by the competent administration at the expiry of the deadline for submitting the application to participate, attaching the application submitted to the application itself, under penalty of exclusion from the selection (reference website: http://www.functionpubblica.gov.it/strumenti-econtrolli/modulistica"). In some cases, the announcement allows for greater flexibility and accepts, for the sole purpose of participating in the selection, any documentation showing the details of the identification document in Italy, in accordance with current legislation, of the qualifications obtained abroad or, in the absence of recognition, the declaration of initiation of the request for equalization.</p>	<p>PROPOSAL: Revise the draft of the selection notices and regulations in order to standardize the equivalence procedures, adopting the less onerous ones provided for by national legislation.</p>

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How do you know?

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	At present, except for adherence to the principles governing the hiring of personnel in public bodies at national level, the university legislation does not provide for anything in this regard.	The University of Siena, as per national and international regulations, provides for suitable comparative procedures to evaluate the candidates' curriculums and qualifications obtained in compliance with national regulations. Depending on the research and teaching needs, the departments choose the type of researcher to be recruited (senior letter b or junior letter a), with different admission requirements. The evaluation criteria established by the Commissions, in compliance with the provisions of the Ministerial Decree, are abstract with respect to the origin of the candidates (institution reputation), but more than anything else with a focus on the international openness of recruitment. PROPOSAL: Definition of a University policy to enhance mobility paths (international and intersectoral) in the recruitment and researchers' careers (R1 and R2), as well as recognition of their professional paths without penalizing any interruptions in their CVs, both in the selection phase and for career development purposes.

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	USienaneeds to improve the communication of postdoctoral positions (research grants), as currently only some departments publish the selection notices for research grants in Italian and English	In Italy, postdoctoral positions correspond to research grants. Article 22 of Law 240/2010 regulates access to research grants. Moreover, the dedicated Unisi Regulation: https://www.unisi.it/node/8459 , governs the procedure to activate, select and award a research fellowship. The maximum duration of such contracts is 6 years, as the

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	<p>on the University portal(https://www.unisi.it/ateneo/concorsi-gare-e-appalti/concorsi-assegni-di-ricerca). Furthermore, the publication on the Euraxess portal is too brief and, in some cases, the requirements on the equivalence of qualifications obtained abroad are extremely restrictive.</p>	<p>position is intended as a transition and training period towards the status of independent researcher. For admission, the possession of a research doctorate is not mandatory, but both national law and the University regulations state that the research doctorate degree or equivalent obtained abroad constitutes a preferential qualification. The University regulations envisage that a portion of the positions on the calls for applications may be reserved for candidates with a Ph.D. Each year the University approves a "University Research Support Plan") https://www.unisi.it/ricerca/piano-di-sostegno-alla-ricerca) which, in harmony with the strategic programming of the University, intends to guarantee financial support for the research activities of the Departments. One of the lines of action contemplates disbursements of contributions to finance research grants. Furthermore, the University publishes calls for applications for research grants as established by a specific University regulation: https://www.unisi.it/node/13392 USiena has approved the document "Guidelines on the procedures for the acceptance and coordination of international professors and researchers" in which the status of Research Fellow is conferred to foreign researchers who have been awarded a research grant and to research fellows from the University. PROPOSALS: 1) Publication of a web page in English dedicated to the recruitment of researchers "ERA-European Research Area: researchers' recruitment" in which documents, forms, regulations, calls for applications divided by profile of the researcher R1-R2-R3-R4 will be collected, translated, and integrated with explicit references to the principles of the Charter and the Code. 2) Elaboration of a guide in Italian and English where research fellows will be informed about all the administrative steps to start their position. The guide may be published on the mentioned web page and on the site intended for visiting professors and researchers (on the "International Faculty" website). 3) Revision of the draft of the selection announcements and</p>

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		regulations in order to standardize the equivalence procedures, adopting the less onerous ones provided for by national legislation.

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Several official documents of the University mention and refer to the European Charter for Researchers. The survey carried out among USiena researchers shows a low level of knowledge of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, documents that include the general principles and recommendations concerning roles, responsibilities and researchers' prerogatives, their employers and the bodies that fund the research.	National legislation (Law 240/2010) sets out the general context for regulating researchers' positions at any level of their career. All researchers, from R1 to R4, have professional recognition within the University and have access to facilities, research support services and career development activities. According to this Law, each University is called to apply its own Code of Ethics. As already indicated in principle 2, the Statute of the University of Siena provides for it (art.7), and was issued with a Rector's Decree on July 28, 2011. The Code of Ethics appeals to the sense of responsibility that every member of the university community must follow in the fulfillment of their duties and in the exercise of their rights within the university community. In particular, art. 14 makes explicit reference to the duties pertaining to people engaged in research. PROPOSAL: Communication and dissemination campaign between the university community on the principles of the Charter and the Code and on researchers' professional figure , with particular emphasis on R1 researchers.

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Sometimes access to information in terms of immediacy, optimization, and clarity, jeopardizes the possibility of effectively using all the services and opportunities offered by the University to its researchers. The heterogeneity in the promotion and management of the many proposals, which arises from a liveliness and attention on the part of several structures and bodies within the University, may, above all, disorient the international researcher who is less familiar with Italian bureaucracy or in any case with the internal procedures and practices. In this sense, the result of the survey may also be consulted.</p>	<p>A stimulating, competitive, protected, and accessible environment for all researchers is the prerequisite for an optimal promotion of their career and for the development of research that can reach the highest scientific standards. 1. Permanent training aimed at all researchers on issues related to both their research activity (European planning, ethics, open science, etc.) and general working well-being; 2. General services and scientific facilities: all researchers are guaranteed safe access to their own department and to the many innovative laboratories (thanks to specific and binding national legislation and internal regulations, specific assessment plans are drawn up in case of exposure to biological and chemical risks, etc.), to archives and libraries and to all electronic resources (Gsuite, online services, wi-fi and access via the Edu-Roam network, periodicals, ebooks and online databases also accessible through IDEM/GARR authentication, institutional archive of research products in open access, a personal home-page to collect CVs, contacts, automatic links to scientific publications and teachings); 3. Residency: thanks to the agreement with the DSU Toscana company, the University is able to accommodate R1 researchers in rooms reserved for international mobility within the university residences for students. Furthermore, it is essential for researchers to have the widest access to internal funds, national and otherwise, for research. USiena in the Regulations relating to fixed-term researchers (pursuant to Law 240/2010 art. 24 paragraph 3 letter a and b) explicitly allows this access, thus facilitating and enabling even researchers in unstructured positions to present competitive curricula and demonstrate in addition to their scientific skills also the so-called appropriate managerial ones. A different situation is that PhD students or fellows who by national legislation have a reference tutor and do not have ownership of funds but whose figures can be widely involved in research projects often, in the case of PhD students doing the PhD at a school which belongs in the team description, and therefore forms an active part of the work group. Annually the University supports research through a Research Support Plan https://www.unisi.it/ricerca/piano-di-sostegno-alla-ricerca managed by the Research and grants management Division, which for the year 2021 has decided to finance 4 main areas: F-SEAL researchers who have obtained the Seal of Excellence within the European projects Marie Skłodowska Curie - Individual</p>

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	<p>An adequate mapping of the services/tools offered that may guarantee rapid access also to information, especially in English, and enhance the many initiatives and services in support of researchers, could therefore bridge the gap. SURVEY Although the general opinion on this item [USiena guarantees everyone a stimulating work or training environment for research and is able to offer adequate equipment, appliances, and opportunities] is quite positive (about 65%), it is in the interest of the University to give attention also to the criticalities emerged in 35% of the researchers involved proposing measures for improvement with</p>	<p>Fellowships, F-LAB scientific equipment, F-AdR research grants and F-DIP distributed to the Departments on a size and award basis. In addition, in May 2021 the F-CUR line was also approved for the financing of bottom-up Curiosity-driven projects, by young University researchers and in particular: The projects can be presented by researchers at the beginning of their career, classified as RTD (b) or RTD (a). The funding will be divided into the 3 ERC macro-sectors: SH (Social sciences and humanities), LS (Life sciences), PE (Mathematics, physical sciences, information and communication, engineering, earth, and universe sciences). contemplating the possibility of reconciling private life and work, also considering any maternity and parental leaves that may be taken by the researchers involved and thus providing for an extension of the terms for the use of the grant. PROPOSAL: 1) To develop the "Research" section on the University portal (https://www.unisi.it/ricerca), providing for the presentation of all information in Italian and English. In particular the aim is to: a) Strengthen and give greater visibility to the web pages already online devoted to external research funding opportunities on national and international competitive calls for applications; b) Map available scientific laboratories/ equipment and research lines; c) Create a site in English dedicated to international researchers called "International Faculty", where the services offered will be described (training, access to laboratories, living and working in Siena). The website may have two access points on the University portal: the "International" section and the "Research" section. 2) Residency: stipulate agreements with housing structures that can accommodate international researchers (in particular for profiles from R2 to R4).</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	respect to the research environment.	

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>Italian legislation regulates the working conditions of university teachers (researchers): salary, pension, work, and family life balance (maternity, parental leaves - Law 151/2001), sick leave and other reasons which may motivate work interruption. At USiena there is a Guarantee Committee for Equal Opportunities, the enhancement of the well-being of those who work and against discrimination" (hereinafter CUG) which promotes actions and initiatives aimed at ensuring gender equality and equal opportunities in every working environment, strengthening protection of female and male workers and ensuring the absence of any form of moral or psychological violence and discrimination, direct or indirect, relating to gender, age, sexual orientation, race, ethnic origin, disability, religion and language. The activities of the CUG are aimed at the entire university community, and therefore also at all researchers. As University workers, researchers are included in health safety and surveillance programs. At the University of Siena there is a prevention and protection service that is responsible for identifying risk factors as well as assessing the risks and measures for the safety and health of the workplace. Researchers participate in safety information and training programs. In fact, from the survey conducted among USiena researchers, it emerges that 80% of them believe they are adequately informed about the rules relating to safety in the workplace.</p>

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25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The personnel engaged in USiena research were asked how much they agree with the statement "The University is committed to improving the stability of researchers' working conditions." Almost 40% of the researchers believe that USienai is committed to improving the researchers' stability.</p>	<p>Law 240/2010 establishes the rules relating to the duration of university contracts for researchers, establishing a minimum and maximum duration for all temporary positions (doctoral students, postdoctoral and fixed-term researchers), and thus all contracts stipulated by the University state the duration of the position. As USiena is a public university, access to permanent positions takes place through public selection procedures. In compliance with the autonomy recognized to universities, the recruitment procedures for access to a university career are managed directly by the universities through local competitions. The university career related to research activities is carried out by the following figures: 1) Fixed-term researcher referred to in article 24, paragraph 3, letter a) of Law 240/2010. These are 3-year contracts, renewable for a further two years. 2) Fixed-term researcher referred to in article 24, paragraph 3, letter a) of Law 240/2010. These are three-year non-renewable contracts at the end of which it is possible to have direct access to the role of Second Level Professor, if in possession of the National Scientific Qualification, and following a positive evaluation by the university. 3) Research fellow. Each individual contract may last for a minimum duration of one year and a maximum of three years. The overall duration of the position of research fellow of an individual may not, in any case, exceed six years. The overall duration of the position as research fellow and as a fixed-term researcher, held by the same individual even with different institutions, cannot in any case exceed twelve years, even if not continuous. This is a difficult gap to fill because USiena has to adapt to the national legislation regarding the duration of contracts</p>

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26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Teaching staff's and researchers' remunerations as well as their social security system are regulated by national legislation. For each category of researcher, the national law establishes the salary level to be applied by category, according to the career level achieved, updated when necessary. For young researchers, following the indications provided by the National Law 240/10 art. 22, each year a dedicated ministerial decree establishes a minimum and maximum level of remuneration to be applied. As regards the social security system, which concerns permanent professors and researchers, according to national legislation, the complete assistance of the social security system is contemplated (including sickness, unemployment, maternity, parental leave, pension, etc.). Young researchers, which is fellow researchers and PhD students, may take advantage of the "Separate management of INPS", a form of social security assistance that intends to guarantee basic coverage for temporary workers or workers in particular situations, including benefits relating to illness and motherhood. The University of Siena applies the provisions of national legislation in this regard, guaranteeing all researchers salary and salary in line with existing rules.

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The general architecture of policies, services, and tools to support gender balance has been taking shape in recent years. At	Article 2, paragraph 2 of the Statute of the University of Siena states "The University, in harmony with the Constitution of the Italian Republic, operates in accordance with the principles of

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	<p>present, what needs to be developed is a system for monitoring and evaluating the impacts of the actions proposed and implemented with particular reference to the Three-Year Positive Action Plan (hereinafter PAP) which also contain sections dedicated to Gender Balance. Closely related to the PAP and the recently published Gender Report</p> <p>https://www.unisi.it/unisilife/notizie/pubblicato-il-bilancio-di-genere-delluniversita-di-siena , is the Gender Equality Plan (GEP) expressly requested by the European Commission to all public bodies wishing to participate in competitive calls for funding of research and researchers of the new Horizon Europe framework program (2021-2022) and, starting from 2022, a real binding requirement which must be complied with at the time of signing the grant. The University of Siena will therefore have to equip itself with this tool, enhancing the many experiences and resources already in the field and promoting virtuous mechanisms of protection and support for the balanced participation of researchers within research groups and projects, with the awareness that more and more in the composition of the final judgment on a proposal for the purpose of assigning funding (see ministerial calls of the MUR or European Horizon), this principle is one of the elements under evaluation.</p>	<p>pluralism, democracy and respect for personal and collective freedom, from individual rights to knowledge, the enhancement of merit and culture based on the respect of gender diversity " The art. 46 provides for the establishment of a Single Guarantee Committee for equal opportunities, the enhancement of the well-being of those who work and against discrimination, having among its aims the promotion of actions and initiatives to ensure equality and equal gender opportunities. Law 150/2009 requires the dissemination of the document in which the individual institution analyzes and evaluates its management choices and economic-financial commitments in relation to the presence of men and women in its staff. On 19 September 2019, the CRUI Group for Gender Balance presented at the Rectors' Conference the Guidelines for Gender Balance in Italian Universities: https://www.cruil.it/bilancio-di-genere.htm On March 22, 2019, the University's Board of Directors approved the 2019-2021 Three-Year Plan of Positive Actions, a program of initiatives that aims to fill gender imbalances in education and research, especially in the STEM sector, where female participation is significantly lower than male participation. The Plan aims, among other things, to implement and encourage the presence of female researchers in the research projects of the University - with particular attention to the projects financed by the Miur - providing a reward in the evaluation to the project which has also applied the principle of equality between female and male researchers as well as female and male professors. The plan includes special temporary measures that aim at: 1) Favouring the rebalancing of the female presence in the activities and in the hierarchical positions where they are underrepresented; 2) Ensuring the removal of obstacles that prevent the full realization of equal employment opportunities, and at work, between men and women; 3) Promoting the inclusion of women in the sectors and professional levels in which they are</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		<p>underrepresented; 4) Encouraging the diversification of women's professional choices, especially through educational and professional guidance and training tools. Gender equality within the selection commissions is regulated at national level and guaranteed for R3 and R4 levels (for R1 and R2 the regulations do not refer to gender equality, but in practice we try to ensure it). SURVEY: 77% of researchers expressed a positive opinion with respect to the following statement: [USiena aims at a representative gender balance at all levels of the researchers' career]. It is a very encouraging result which in fact recognizes the commitment, ambition, and efforts of the Body in terms of policies in support of gender balance in a national and academic context which is sometimes not particularly favourable to it. PROPOSAL: Measures to support gender equality (drafting, publication, divulgation of the "Gender Equality Plan", gender equality in the R1 and R2 selection commissions, a communication campaign to raise awareness of the figure of the trusted advisor among researchers).</p>

28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>Over the last five years (2015/2019), the University of Siena has undertaken to use its recruitment faculties, compatibly with economic and financial sustainability, in order to promote the recruitment of external teaching staff. The process starts from the annual distribution to the 15 departments of a certain number of organic points, according to an algorithm that considers the results of research and teaching, as well as the numerical consistency (number of teachers, terminations, qualified). The departments, on the basis of the availability acquired, formulate</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		<p>recruitment proposals consistent with the strategic guidelines of the University. To this is added the mechanism defined "University co-financing by area", through the assignment to the four areas in which the departments are grouped (Economics Area, Law and Political Sciences Area, Letters Area, History, Philosophy and Arts, Biomedical Sciences Area and Medical, Experimental Sciences Area) of a part of the staff, intended to co-finance recruitment procedures reserved for external staff. This policy was also pursued as part of the "Departments of excellence" project, which rewarded 4 out of 9 pre-selected departments. The University of Siena has approved the co-financing with its own resources for the purpose of recruiting temporary professors and researchers, most of whom are external staff. Thanks to the extraordinary plans for fixed-term researchers financed by MIUR / MUR, the University of Siena has recruited, respectively: 20 researchers (DM 924/2015 and DM 78/2016), 23 researchers (DM 168/2018), 21 researchers (Ministerial Decree 204/2019). A further 22 researchers are expected to be hired on the resources referred to in Ministerial Decree 83/2020. Of particular importance, alongside the new ministerial extraordinary plan for the career progression of university researchers with permanent contracts to associate professors (Ministerial Decree 84/2020), is the decision of the University of Siena to launch an additional University Plan, also allocating its own resources own to said progression. Thus, at least 36 progression moves are expected in the next two-year period 2021/2022. In the 2017/2019 three-year period, the University of Siena reached a percentage of researchers' recruitment when compared to the number of first band professors (full professors) of 160.53% (RTDB/full). With regard to career progression, in particular the possible transition to associate professor of the RTDB in possession of national scientific qualification, the University of Siena, in line with the provisions of national legislation (Article 24 paragraph 5, of Law 240/2010), requires the departments, in the resolutions relating to RTDB recruitment proposals, to foresee an additional 0.20 POE on the department budget in addition to the 0.50 POE necessary to proceed with a researcher's recruitment, in order to also cover the cost of any change of role.</p>

29. Value of mobility

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	A clear majority of the researchers consulted (77%) believe that USiena considers the value of international, intersectoral and interdisciplinary mobility in the selection and career advancement systems. Even if it may be said that there is a widespread culture on the value of mobility at the university of Siena, we must continue working to increase this percentage.	The University of Siena promotes teachers' and researchers' international mobility, both thanks to the active participation of the University in the Erasmus + program and through the stipulation of didactic-scientific collaboration agreements with several university institutions all over the world. PhD students may profit from numerous opportunities to pass periods abroad, which are financed through an increase in the doctoral scholarship and which, in some programs, are mandatory. Professors' and researchers' mobility is one of the main indicators to measure the degree of internationalization of the University, on the basis of which universities are assessed and ministerial funding from the Fund for Ordinary Financing (FFO) is distributed. As has already been mentioned, ANVUR, is the organism which evaluates the quality of the research results of Universities and Research Bodies. In the process of Research Quality Assessment (RQA), one of the main indicators of internationalization are the periods of mobility abroad of at least 3 months conducted by the University's professors and researchers. Attracting international researchers has been included among the University's strategic objectives. In the Performance Plans of the last 3 years, approved by the Board of Directors and available on the USiena institutional website: https://www.unisi.it/ateneo/adempimenti/amministrazione-trasparente/performance/piano-della-performance the objective entitled Human Resource Excellence has been added, which aims at strengthening the University's ability to attract international teachers of a high professional level. Among the measures contemplated there, is the strengthening of the reception point, the adoption of good practices as per the European Charter for Researchers and the creation of the "International Faculty" website, conceived as a place for information but also for international researchers to meet. The University allocates funds to initiatives to attract researchers. As a member of the Coimbra Group, USiena participates in Scholarships programs for young researchers. In 2021 these funds were strengthened thanks to the approval and execution of two lines of the Research Support Plan aimed at young researchers: F-SEAL which aims to finance Seal of Excellence recognized by the European Commission under the Marie Skłodowska Curie Actions; F-CUR which aims to finance curiosity-driven projects conducted by young researchers. These initiatives and the related funds are managed by the Research and Grants Management Division. PROPOSAL: Creation of a site in English dedicated to international researchers called "International Faculty",

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		where the services offered will be described (training, access to laboratories, living and working in Siena). Definition of a University policy to enhance mobility paths (international and intersectoral) in researchers' recruitment and careers.

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	There is no coordinated communication action and a single point of reference for information	<p>The University of Siena promotes different initiatives that aim to offer tools to young researchers for their career development. According to the provisions of Ministerial Decree 45/2013, art. 4, letter f), "Regulation laying down procedures for accreditation of doctoral offices and courses and criteria for the establishment of doctoral courses by accredited bodies", in order to broaden the working horizon of research doctors, which can also use their skills outside the world of academic research, university institutions must offer training and research initiation courses, including the acquisition of transversal skills in doctoral programs. The "transferable skills" must facilitate the application, development, and transfer of scientific knowledge of the specific course of study, in order to be functional both to the research activity and to the insertion into the world of work. The Santa Chiara Lab (a laboratory, exhibition and dialogue space, a bridge between research, companies, and students) in collaboration with the Research Doctorate Office organizes the "Soft skills for PhD" project. The University of Siena has an administrative structure, the Liaison Office, which deals with the technology transfer between the University and the production sector, offering services to researchers, companies, and local institutions. The primary objective is to promote constant interaction between academia and industry and to develop joint projects between University researchers and the world of production. The research and grants management Division organizes training paths and info days that aim to inform and train researchers on aspects related to European planning. In particular, the course on project cycle management is intended for PhD students and is part of the soft skills plan. Finally, the University of Siena organizes a Career Week every year, a week dedicated to career guidance and meetings with companies aimed at students and young researchers. PROPOSAL: Creation of a web space intended to group all the initiatives on professional development, with the aim of improving their visibility and communication</p>

31. Intellectual Property Rights

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Especially for junior positions, the possibility of independently promoting the research products that have been worked on and publishing as a single author, where possible, must be increased. This is relevant to the growth of career prospects from a more European perspective and to allow access to competitive funds such as those deriving from the European Research Council program. At the same time, training opportunities aimed at promoting the criteria of responsible research and innovation and open access to knowledge and data generated by research must be increased, in order to ensure that research products are increasingly accessible to society and for the benefit of the community.</p>	<p>Intellectual property is protected by a specific regulation, as well as by national and European legislation and by specific constraints required by external funding bodies in the event of exploitation of the results of research financed on specific competitive tenders. The protection of the "inventor" according to art. 1 of the University Regulations on Intellectual Property applies to University employees and "research fellows, PhD students, students and any other person who has created the invention or patentable invention during a collaboration relationship with the Università degli Studi di Siena ". The University provides a support and consultancy service to its researchers, both in the event of disputes related to the ownership of intellectual property rights, as well as on patents and on start-ups or spin-offs. Specific supports relating to copyright on products and research data are also provided and informative sessions or real training courses are also organized periodically for the entire academic community and for PhD students in particular. In this sense, actions are being implemented to raise awareness of the value of Open Access and in particular on how to comply with the obligations of open access in community and national projects, supporting researchers in the writing and management of research projects. An online vademecum on Open Access and Horizon has been drawn up collaboratively by the University Library System and the Research and Grants Management Division. PROPOSAL: Scheduling and programming of training courses and initiatives for researchers. Among the initiatives it will be possible to include communication events on the autonomy of researchers addressed to doctoral students (R1) and their supervisors.</p>

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How do you know?

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>Most Italian universities benefit from a combined Open Access institutional archiving system and, on the initiative of ANVUR, each researcher now has an ORCID code that provides a unique identification, an indispensable condition to avoid cases of homonymy that could pollute the management of an integrated system. The enhancement of co-authorship in the selection phase by the commission, especially for the younger ones, is already a consolidated practice, having taken note that publication as single or first author for a junior researcher remains at least in Italy still rather rare. USiena has also adopted a specific policy for the deposit of research products in the Usienair institutional Repository in which it refers to a fair acknowledgment of the contributions of all those who participate in a research, specifically "Teachers, researchers, doctors and post-docs research staff, technical-administrative staff or other scholars, who contribute to the scientific production of the Departments and Research Structures of the University", who will have to provide "for the inclusion in USiena-air of the research products they are authors or co-authors of. "In effect, during the validation phase of the products to be included in the institutional repository, particular attention is paid to the fact that all the co-authors of the University present in the author string of the product are recognized on the product. Equal attention is paid to verifying that all University co-authors have an ORCID through which to PUSH and PULL from and between Usiena air and the ORCID platform.</p>

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The teaching activity is not	L 240/2010, art. 6 determines that among teachers' and researchers'

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	<p>recognized as accountable in many research funding programs. Therefore, especially for fixed-term researcher contracts and for professors, this "effort" must always be separated and not funded on the direct costs of the project. In particular, in the excellence research projects of the European Research Council, it would be important to be able to recognize the PI the possibility of devoting to funded research a prevailing amount of time when compared to teaching (in implementation of the possibility of requesting a "reduction of the teaching load" already foreseen by the national law 240/2010 art.6). The teaching hours conducted during the mobility periods abroad under the Erasmus + mobility program are not recognized as a teaching activity of the participants. SURVEY: USiena researchers were consulted on the following statement: "USiena guarantees that teaching workload is compatible with the development</p>	<p>institutional tasks there is teaching and giving assistance/tutoring to students. Researchers, at all stages of their career, may perform teaching activities, if this commitment does not become excessive, thus preventing the researcher from conducting research activities. In the case researchers are assigned teaching activities, they must submit their explicit written consent. Each year the University's Board of Directors approves the document "Guidelines on the curriculum", part III of the document governs the teaching duties of full and associate professors, researchers' teaching activity, the allocation teaching activities to holders of research grants, as well as the teaching activity doctoral students are allowed to conduct. PhD students, postgraduates and young trainees' scholarship holders and holders of research grants may be entrusted, only if deemed functional to the training project in which they are engaged, support activities and technical collaboration in teaching, always under the guidance of the teachers responsible for the official courses. Researchers' teaching tasks are remunerated according to the methods established by the specific University Regulations (as required by Law 240/2010, art. 6, c. 4). The teaching activity conducted by the researcher is evaluated according to the provisions of national legislation (Ministerial Decrees 243 and 344 of 2011) The Start Teaching @ USiena project, which started in 2019, offers specific training to new teachers and researchers, with the aim to illustrate both quality-related issues and procedures related to conducting teaching and research activities (applications, digital signature , etc.) The web page dedicated to this is: https://www.unisi.it/start-teaching-usiena PROPOSALS: 1) Definition of a University policy to enhance mobility paths (international and intersectoral) in the recruitment and researchers' careers (R1 and R2), as well as recognition of their professional paths without penalizing any interruptions in their CVs, both in the selection phase and for career development purposes. 2) Drafting of a vademecum to illustrate the processes related to the teaching activity: use of applications for inserting syllabus, lesson register, recording of exams, good practices, etc. 3) Definition of a University policy aimed at enhancing the</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
	of research activities.” Approximately 30% of the researchers found critical issues with respect to this statement, compared to 70% who were more than satisfied	activity conducted by teachers in the field of competitive research and in internationalization processes with possible revision of the teaching load.

34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	As a result of the survey carried out, the consulted researchers showed that approximately 67% agree that USiena has established adequate procedures for the treatment of complaints and appeals from researchers.	<p>The National Law 240/2010 provides the basis for the creation of a Disciplinary Committee of the Universities, in accordance with peer review principle and the dispute. The Statute of the University of Siena provides in art. 45 for the establishment of a Discipline Board which operates in compliance with the adversarial procedure, according to the principle of peer judgment, and decides about the section composed of teachers belonging to the same band of the teacher subjected to the procedure. He takes care of the preliminary phase of the disciplinary proceedings, initiated by the Rector in accordance with the provisions of art. 26, paragraph 2, letter j). In compliance with the procedure provided for by the law and the General University Regulations, within thirty days of the start of the procedure, the Discipline Board expresses a final opinion on the proposal made by the Rector, both in relation to the relevance of the contested facts on the disciplinary level, and in relation to the type of sanction to be imposed and transmits the documents to the Rector and the Board of Directors for the adoption of the consequent resolutions. An important figure in the field of mediation and dispute resolution is the Trust Advisor. The Trust Advisor is an impartial figure called to listen and establish a dialog in support of the academic community (teachers, technical-administrative staff, and students) in matters of discrimination, sexual and moral harassment, mobbing, as well as non-compliance with values and rules set out in the University Code of Ethics and Conduct. The Advisor is a person who does not form part of the Administration (and, therefore, possesses the characteristics provided for by the code of researchers which speaks of a mediation figure), appointed by the Rector based on a proposal by the Guarantee Committee for Equal Opportunities (CUG), identified following a specific public tender among a shortlist of candidates with suitable professional and personal skills and experience. This figure possesses knowledge in the field of law and labor law, conflict management, regulations on equal opportunities, reconciliation of work and family times, etc. PROPOSAL: Communication campaign to raise awareness of the figure of the trusted advisor among researchers.</p>

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How do you know?

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The national legislation gives autonomy to the Universities to define the terms, drawn up in specific regulations, relating to the participation of researchers in academic bodies, according to the limits set by National Law 240/2010. In accordance with this law, the University Statute and General Regulations establish the governing structure of the University and the composition of its bodies. Universities are organized into Departments, where researchers carry out their activities and whose structure is defined in art. 16 of the Statute. The Director is elected by the Department Council from among the full professors and full-time associated professors, in the cases and with the majorities provided for by the Electoral Regulations. The Director may appoint a Deputy Director, chosen from among the full-time tenured professors, who will replace the Rector in case of absence or impediments. The Department Council is made up of the professors, elective representatives of students enrolled in Bachelor's and Master's Degree Courses, Research Doctorates, Specialization Courses, holders of research grants, as well as technical and administrative staff, within the limits established by the University General Regulations and according to election procedures established by the Electoral Regulations. At a central level, the Statute of the University of Siena provides for the composition of its governing bodies under title III, arts. 25 to 32. Proportional representation of researchers in these bodies is contemplated.</p>

Training and Development

36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>This principle concerns PhD students and research fellows, for whom a supervisor is appointed. The art. 17 of the Regulations for the research doctorate states: "1. The Teaching Staff Board will assign to all PhD students, within the first semester of activity, at least one Tutor who will follow each of them in the Course of Studies, with the possibility of a second Tutor for specific needs. 2. The Tutor of the PhD student is also the Supervisor of the PhD thesis and is responsible for all scientific activities that refer to the PhD student, guaranteeing that activities provided for in the Study Plan are effective and profitably carried out, the execution and monitoring of the research project and activities as a whole, including practical ones, as well as the identification of external venues the student must attend and voluntary or mandatory internships. " Art. 10 of the Regulations for research grants states: "The activity of the holder of the grant is conducted, [...] under the supervision of a scientific manager appointed with a formal act of the Rector or the Director/Head of the autonomous management center where the holder of the grant will work" . The presence of a supervisor in the initial career phase is preparatory and serves to train researchers and include them in the team. This aspect is usually evaluated in competitive grants such as the MSCA Doctoral Networks and MSCA Postdoctoral Fellowships where the quality of supervision, training opportunities and the exchange of expertise between researcher, supervisor and the existing team at the University are essential to ensure success of the research project and the researcher's path. Even grants awarded by national and local bodies are increasingly going in the direction of favoring these forms of growth based on cooperation rather than on hierarchical order. An example of this is the regional call for research grants in the cultural field where the University participates in different collaborative projects that also involve operators in the cultural sector and that recognize the grant holders' autonomy in the development of their own path even under the supervision of both the teacher from the University and the operator's manager where they may conduct periods of research and training activities. When the figure of a supervisor is contemplated, it may have the role of authorizing the use of funds allocated to research by the researcher. SURVEY: [Young USiena researchers have regular and structured relationships with their supervisors] 87% agree with this statement (52% declare themselves as "fully in agreement).</p>

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How do you know?

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>In the direction of recognizing an increasing managerial autonomy to young researchers and above all guaranteeing a growth path, including managerial in the administration and responsibility of funds, recently on the occasion of ministerial and regional calls for access to internal University funding, the University of Siena recognized the scientific responsibility of projects submitted for RTD-type researchers to researchers at a lower career stage. The same orientation was adopted on the occasion of the regional Research and Development 2020 call for proposals aimed at promoting collaboration between universities and companies for the identification of innovative technological solutions in line with the regional S3 Intelligent Specialization Strategy. These elements confirm the openness of the University towards young people that it will continue pursuing, as, for example, in the context of the F-CUR initiative funded by the University Support Plan (see point 23 above). Furthermore, there is growing attention also at national level on the quality of supervision, given that this element is part of the accreditation criteria of doctoral courses and is increasingly valued by ANVUR for the purpose of awarding research funding.</p>

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The opportunities for lifelong learning and continuing professional development are many: they range from formal and periodic initiatives to more informal and spontaneous events, from courses organized with internal services and resources to external offers also supported</p>

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How do you know?

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
		<p>financially by the University, from in-person teaching to Moodle and e-learning activities or webinars, from "extensive" collective initiatives to individual paths. 1. Training: all our researchers have the opportunity to participate in workshops, events, training courses (from ethical issues related to research, to Open Science or IPR, to more technical courses on reporting, to events on specific disciplines, etc.). Beyond the training that researchers may participate in by working in the laboratories and within the teams they form part of, the University is going in the direction of increasingly favoring the continuous acquisition of transversal skills which may benefit researchers' career. In particular, the periodic soft skills initiative for doctoral students, in which more than 100 PhDs participated this year, was the context which provided an occasion to offer short training on project cycle management and on how to define a research project for a competitive call (thus creating the opportunity to provide first acquaintance with EU research funding), as well as an in-depth study on the topic "Bibliographic research and open access & science". For years, the University has also participated in the regional initiative Start up Academy thanks to which it provides young researchers, but also recent graduates with the opportunity to go deeper into the issues related to access to research funding, the management of intellectual property and chances to translate research into employment opportunities even outside the academic context. From this year, the MSCA-PF School initiative was also launched (5 webinars offered to potential MSCA candidates with international experience with USiena as host institution) entirely delivered in English. In addition, a Vademecum has been created which is available online on issues relating to Open Access and to documentation and research data. The documentation, developed by the Support Group usiena-air@unisi.it- made up of librarians with expertise in bibliometrics and metadata management and research officials competent in the field of competitive design - constitutes a work in progress gradually increased and strengthened also on the basis of the reports and needs expressed by researchers themselves. 2. International mobility: researchers are encouraged and supported to apply for international mobility programs; PhD students can count on a real "dedicated" budget for courses abroad of about 6 months. SURVEY: [USienai activates initiatives for the development of soft skills] good response from almost 80% of the survey participants.</p>

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>As described in principle 38 and extensively in various other points of the Gap analysis, development and training opportunities are broad and specific to all phases of a researcher's career. On the other hand, what can be improved is the access to these opportunities, the systemization of many initiatives and, consequently, also their monitoring and evaluation with a view to improvement, starting from a survey of the training needs of all types of researchers, with particular attention to young researchers and to the description of transversal skills that are increasingly requested also at a European level, as recalled in the document "Identifying Transferable Skills and Competences to Enhance Early-Career Researchers Employability and Competitiveness" by Eurodoc - European Council of Doctoral Candidates and junior Researchers "of 2018</p> <p>http://eurodoc.net/skills-report-2018.pdf .</p>	<p>Unisi organizes numerous training initiatives aimed at developing the researchers' career at all stages As an example, the latest activities conducted are listed below: 1) The StartTeaching@USiena project, beginning in 2019, and interrupted in 2020 and 2021 due to the COVID-19 pandemic, offers specific training to new teachers and researchers (newly hired). 2) The Research and Grants Management Division holds a course for PhD students on project cycle management every year. The 2020 and 2021 editions have been organized online. 3) Training initiative dedicated to aspiring Marie Curie Post-Doctoral fellowship researchers with targeted seminars. 4) Each year the Division organizes webinars and information sessions at a Department level with updates on financial opportunities for research. SURVEY: Almost 80% of the researchers agree with the statement and they believe that the University of Siena has activated initiatives for the development of researchers' skills PROPOSAL: Scheduling and planning of courses and training initiatives aimed at researchers on funding opportunities for scientific research. Among the initiatives it will be possible to include communication events on the autonomy of researchers addressed to doctoral students (R1) and their supervisors.</p>

40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		<p>The role of the supervisor/ tutor/scientific manager is noticeably clear and institutionalized both for PhD students (R1) and for fellows (R2) from the very beginning of their training and research experience at the University. In the case of doctoral students, it is also the national legislation that guarantees the professionalism and exclusivity of the supervisor: the doctoral board must be composed of at least 16 members with proven international results in the disciplinary areas of the doctoral course. Furthermore, each teacher belongs to a single research doctorate at national level, so as to consolidate the personal commitment and the time available to guarantee adequate training and supervision for young researchers. In the case of fellow researchers, the "scientific manager" is clearly present both in the call for applications and in the contract signed at the beginning of the course and will contribute to the evaluation of the young researcher on the occasion of the final report on the activity conducted, the results achieved and the scientific production that the latter will present at the end of their research project to the Department Council.</p>