

Ethical and professional aspects					
Actions	Indicators	Evidence and measured data			
		2019	2020	2021	2022 (data at 30/06/2022)
E1 - Good Practice in Research: "Basic data protection guide"					
	Approval of the guide by the Data Protection Commission			The guide was approved by the Data Protection Commission on 10 December 2020 Data Protection Basic Guide	
	Dissemination to the university community (PDI y PAS)			3 March 2021, communication by e-mail to all staff members Publication on the data protection website https://www.uc3m.es/inicio/proteccion-datos	Monitoring and updating the guide for a better practical application of it.
	No. of consultations of the Guide			Numerous requests addressed to the DPD. Significant number of research treatments declared and published in the Register of Treatment Activities (RAT).	
	Número de expedientes recibidos en el CEI y vinculados con protección de datos	14 (100%)	16 (98%)	24 (99%)	7 (99%)
	No. of incidents related to data protection linked to Research				1
E2. Adaptation of the new Data Protection regulation in all University processes, compliance with the GDPR in the processing of researchers' personal data.					
	Dissemination to the university community (PDI y PAS)	DPD meetings with all the Services/Units		Meetings with Data Protection interlocutors in university services	
	Nº Registration of processing of personal data related to research in the UC3M Register of Processing Activities.		Around 85 processes	160 treatments	190 treatments
	Num. of consultations made to the DPD			An average of three a day.	An average of two a day.
E3. e-Government Regulation					
	Approval by the competent bodies			Approved by the Government Council 10 June 2021	
	Dissemination to the university community (PDI y PAS)			Dissemination by mail Publication in BOEL Publication in BOCM 25 June 2021	
E4. Creation of a suggestion channel for UC3M staff					
	Approval by the competent bodies	Approval of the Directive (EU) 2019/1937 of 23 October 2019 on the protection of persons who report breaches of Union Law			Approval by the Ministers's Council on 3 March 2022 of the Preliminary Draft Law regulating the protection of persons who report regulatory infringements and the fight against corruption, transposing EU Directive 2019/1937.
	No. of queries and suggestions received through the mailbox	Starts in April 19: 177	251	2271	916
E5. Actions to increase the visibility and recognition of women in research, in companies, startups and entrepreneurs in the UC3M environment.					
	Dissemination to the university community (PDI y PAS)	Weekly newsletter	web, weekly newsletter, articles https://www.uc3m.es/ss/Satellite/Innovacion/Emprendimiento/es/TextoDosColumnas/1371302851591/	web, weekly newsletter, articles https://www.uc3m.es/innovacion/retos-para-innovar-juntos	
	No. of female researchers in events	15	20	15	
	No. of female speakers	20	32	39	
	No. of dissemination activities	5	5	17	

E6. Diagnosis and dissemination of knowledge and attitude about Open Science among our researchers (Open Science Survey)				
	Dissemination to the university community (PDI y PAS)			Communication campaign (internal and also in social media) in February to all the professor and researches and staff on the development of a calendar containing very useful information on Open Science https://zenodo.org/record/5961563#.YsasDHZBxPY
	No. of researchers who complete the survey			104
	Comparison with YUFE universities			More than 100%
	No. of training actions on Open Science (R1-R4).		6	6
	No. of research proposals (projects) that include Open Science as a key element of the project's impact	315	360	176
	Increase in the number of publications visible in the institutional repository (eArchive)	5%	8%	11%
E7. Project UniversiDATA Transparency with open data				
	Approval by the competent bodies		Approval of the project 24/11/2020	Incorporación de UC3M a UniversiDATA 24/05/2021
	Dissemination to the university community (PDI y PAS)			Publication on corporate website: "Conócenos" Newsletter (9,460 views) Digital advertisement Social media: twitter (40.878 followers), twitter science (26.341), LinkedIn (125.084), Facebook (53.093)
	No. of Datasets published (annual)			Initially: 10 datasets. Publication of Datasets on budgets (Sep 21). This makes UC3M equal to UCM, UAM and URJC. Preparation of new dataset: Demand for new students.
	News, media impact on UC3M transparency.			NEWS PUBLISHED IN DATOS.GOB: 10/06/2021 News 8/07/2021. The UniversiDATA-LAB project has received the first prize DESAFIO APORTA https://datos.gob.es/es/noticia/universidata-lab-proyecto-mip-y-educawood-ganan-el-iii-desafio-aporta
				12 -13. We have all the data published as well as the rest of the partners. We are up to date with the publication and active in the discussion groups to decide which datasets are published next. The role of universities in the ecosystem of open data (April 2022)
E8. New UC3M Transparency Portal				
	No. of requests for access to information received.	11	18	17
	Institutional position of UC3M in the transparency ranking of the UUPPs published by the Fundación Compromiso y Transparencia (Commitment and Transparency Foundation)		Last ranking of 2019 by the Fundación "Commitment and Transparency" we are in position 4 with 49 points.	The Commitment and Transparency Foundation became the Fundación Haz , a private institution that wants to give a "stamp of transparency".

Ethical and professional aspects:

Universidad Carlos III de Madrid is committed to complying with and enforcing compliance with all applicable regulations, particularly in specific areas such as intellectual property and confidentiality. It is confident in the work of its Research Ethics Committee and ensures compliance with the best practices and ethical principles set out in international and national codes of ethics, as well as those of the University itself.

The main trademark of our university, together with its teaching, is its research activity. Research is one of the strategic axes that aims to generate research of excellence, interdisciplinary, international in scope, participating in research networks and providing scientific solutions to the demands of society.

Good practices in research are a priority for the university. Data protection has taken on special relevance at the university since the European Union promoted Regulation 2016/679 on the protection of individuals with regard to the processing and free movement of personal data. For this reason, the application of the instructions established in the regulation has been promoted in all university processes, including the field of research. Action protocols have been established for researchers and information has been disseminated. In the last two years we can conclude that great progress has been made, although it is necessary to continue to carry out awareness and training campaigns. A **basic Guide of good practices for researchers** has been drawn up to enable them to take decisions in their research projects and activities while respecting Data Protection. The figure of the Data Protection Delegate with the status of Director has been crucial.

With the approval by Law of the Regulation on the action and functioning of the public sector by electronic means (2021), it became necessary to have a regulation, a specific framework at UC3M for the development of its administrative activity through electronic means. Thus, in June 2021, the **Electronic Administration Regulation** was developed and approved, which helps intercommunication with other public administrations, citizens and members of the university community in an agile, transparent and simple way.

The new Transparency Portal facilitates the right of access to public information and provides open data. According to Dinamyc Transparency Index (Dyntra.org), in relation to published data on faculty and researchers the university reached 66.67% in 2021.

During 2021 and 2022, researchers at UC3M, at all levels (R1-R4) have reached a bigger knowledge and sensitiveness regarding to **Open Science** that could be seen in the number of researchers implied in training activities, specific listserv, or the rise of papers deposited in the OA repository as well as the number of research datasets deposit in the data repository. This is due to the big effort on training, the survey among researchers that made them think over OS practices, the new web on Open Science, the Twitter channel for Open Science as well as the specific listserv about Open Science news, and the continuous support given by the Unit of Open Science (UnIOS), created in 2018.

UniversiDATA project gave the UC3M more transparency and commitment with the Openness principle in the Public Universities and Institutions in Europe, legitimizing its commitment with the Open and Transparent University on the realm of a big commitment with the Human Strategy for Research as well as with the internal Strategic Planning. In the very near future (Q4-2022) UC3M open data in the UniversiDATA portal will be used for a specific datathon by

students and citizens in Europe, giving more credibility and reusability to the public information we generate. UC3M will keep opening up this way (Linked Open Data) more relevant datasets related with the research practices in the University and contributing to the open and visible practices of research.

E7 - UniversiDATA Project. Transparent University through Open Data

The above actions, included in the Action Plan 20-22 and already implemented, contribute significantly to our university's open approach or perspective to transparency and academic and research excellence.

Remarks (max 500 words)

Taking into account, all these actions, impacts and the due evidences we can confirm that the reformulation of the objective, stated at the beginning of our HRS4R, of “creating an Open Access Policy”, at the end of the period we will be able to fulfill the more ambitious objective of having an Open Science Policy for UC3M at the end of the period (2023) for our HRS4R.

E6 - Diagnosis and diffusion of Open Science (OS)attitude, practices and knowledge among UC3Mresearchers

It should be noted that in the period 2020-2021, as a result of the pandemic, the university has made significant progress in promoting innovation to improve teaching-learning processes.

As a result of the creation of the channel, a link to the mailbox for incidents, suggestions, complaints and queries (CONTACTA) has been created on the University's Transparency Portal. [Suggestions box](#) On the same page there is also a document with the number of incidents received and their status.

The need to analyse and draft the University's own regulations on the Law regulating the protection of persons who report infractions is raised and will be worked on during 2022 and 2023.