

INTERNAL GAP ANALYSIS AND ACTION PLAN TO SUPPORT THE IMPLEMENTATION OF THE *HUMAN RESOURCES STRATEGY FOR RESEARCHERS* AT UNIVERSITAT AUTÒNOMA DE BARCELONA

July 2014



On November 2009 the Universitat Autònoma de Barcelona (UAB) was acknowledged as *Campus of International Excellence (UAB-CIE)*, an initiative launched by the Secretary General of Universities of the Spanish Ministry of Education to improve the quality of Spanish universities and to promote their modernisation and internationalization, in line with the Lisbon Declaration. This initiative has been an opportunity to promote relevant changes to the concept of “traditional campus”, and to strengthen the relationship with our region, aligned with the strategy of the European Union under Horizon2020. The UAB-CIE has also been an excellent opportunity to start a process of debate on the role to be played by our university, both at international level, as a leading institution and locally, as a driving force in the socio-economic development of our territory. In general terms, the global focus of UAB's strategy is the creation of a knowledge and innovation ecosystem, with the participation and aggregation of research centres, technological parks, and other actors of the innovation process. This ecosystem facilitates synergies by sharing resources, reducing expenses, increasing the potential, boosting a multidisciplinary and collaborative research oriented to tackling societal challenges, with special emphasis on policies of talent attraction and smart specialization.

Concerning talent attraction, the UAB has started a process to guarantee a supportive research environment and, as consequence, to improve the attractiveness of the researcher career. The adoption of the *European Charter for Researchers* and the *Code of Conduct for the Recruitment of Researchers* and its implementation into UAB policies and practices is one of the key elements in this process.

The Human Resources Strategy for Researchers (HRS4R)

In a communication of March 2005, the European Commission adopted the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, and recommended its implementation in the Member States. These two documents are aimed at researchers as well as hiring institutions, and are key elements in the policy of the European Union to make research an attractive career, which is an essential feature of its strategy to stimulate the economic growth and employment.



- **The European Charter for Researchers** addresses the roles, responsibilities and rights of researchers and their contractors. Its aim is to ensure that the relationship between the parties contributes positively to the process of creating, transferring and sharing knowledge and professional development of researchers.

- **The Code of Conduct for the Recruitment of Researchers** aims to improve recruitment, and that selection procedures are fair and transparent. It proposes several means of evaluating the merits, taking into account not only the number of publications, but a wider range of evaluation criteria, such as teaching, supervision of people, teamwork, knowledge transfer, the management and scientific outreach .

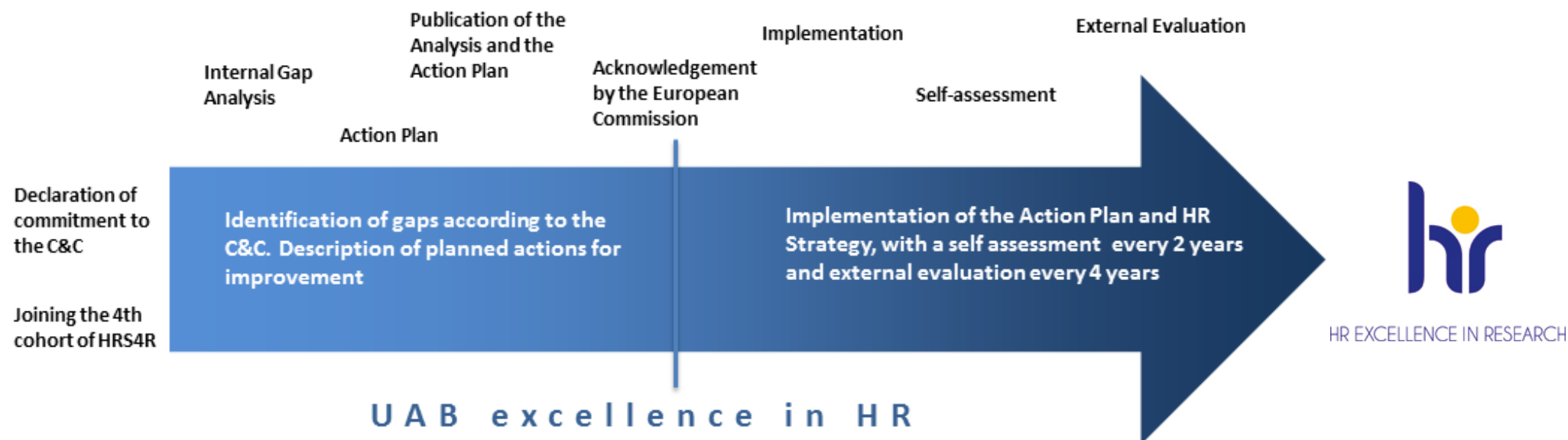
In 2008, it was launched the EURAXESS Human Resources Strategy for Researchers (HRS4R) to support institutions in the process of implementation of the Charter and Code principles in their practices and in policies. The logo "HR Excellence in Research" identifies the institutions and organizations such as suppliers and supporters of a stimulating environment and favorable working conditions.



HR EXCELLENCE IN RESEARCH

In January 2012 the UAB endorsed the C&C, and in October 2012, the UAB joined the 4th Cohort of the HRS4R. During 2013 the Internal Analysis has been conducted by an interdisciplinary team, including meetings with members of the Governing Board, the Management Board, and researchers from all the fields of knowledge. During the first quarter of 2014, there has been a discussion on the results of the gap analysis and the possible actions for improvement of weaknesses as well as the development of this document.

After receiving the European Commission's acknowledgement, the second phase will start, with the implementation of the actions which will be subsequently evaluated.



Internal Analysis and Action Plan: the process

The analysis of the HRS4R at UAB is based on

1. The Principles of the European Commission's Recommendation: *The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers (C&C)*,
2. An inventory of external legal regulations relating to the principles of the Charter and Code (document analysis).
Legislation Framework: The national and regional law
3. An inventory of internal regulations relating to the principles of the Charter and Code (document analysis)
4. The strategy of UAB, and specifically the Research Strategic Plan

This analysis has been conducted by a multidisciplinary team composed by members from the following units:

Research Management
Academic Personnel
Human Resources
International Relations
Research International Projects
Strategic Projects

With a supervisory commission with the following members:

Deputy Executive Administrator for Research
Deputy Executive Administrator for Organization
Vicerector for Research
Vicerector for Strategic Projects and Planning

Actions developed:

- A) establishing a working group that includes some of the actors involved in different stages of the internal analysis. This analysis has been focussed into four areas:
 - 1. Ethical and Professional aspects
 - 2. Selection and Recruitment
 - 3. Working conditions
 - 4. Supervision and training
- B) defining a schedule of meetings to discuss the main points of C&C.
- C) creating a intranet repository where documents and information related to the process are available.
- D) writing the present report.

TIMELINE

January 2012: Declaration of commitment to the Principles of the Charter & Code

October 2012: Joining the 4th cohort of the HSR4R

Key meetings of the project:

- 18th December 2012:** Presentation of HSR4R to the Governing Board and Management Board
- 26th February 2013:** Meeting of the Working Group
- 20th September 2013:** follow-up meeting with the Governing Board
- 2nd April 2014:** Meeting of the Working Group

Meetings with researchers:

- **21th June 2013** Biosciences and Health
- **22nd October 2103:** Engineering
- **23th October 2103:** Experimental Sciences
- **12nd November 2013:** Humanities
- **20th November 2013** Social Sciences

Internal Analysis and Action Plan: main outcomes

As has been previously commented, the 40 principles of the European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers has been grouped in four areas:

- 1 Ethical and professional practices, rights and duties of the investigator
2. Processes of selection and recruitment, criteria and transparency
3. Working conditions, social security, professional career
4. Supervision and training

In each area, some principles are affected by the same law, rules or practices, and for this reason they have been considered together (for instance those concerning recruitment, supervision and career development).

	RELEVANT LEGISLATION	INSTITUTIONAL RULES	CURRENT SITUATION	ACTIONS REQUIRED
1 ETHICAL and PROFESSIONAL ASPECTS				
1.1 Research freedom Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision /guidance /management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.				
	Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)	Implemented. In addition to the national legislation, the UAB has the <i>Code of Good Practices of Research</i> and the <i>Code of Good Practices of the Doctoral School</i> , which guarantee freedom with the obvious limitations due to the ethical principles and practices related to the UAB statutes, the current legislation and international agreements	NO
1.2. Ethical principles Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.				

	Spanish Law (14/2011) of Science, Technology and Innovation Spanish Law 4/2007 , research on Biomedicine Spanish Law 15/1999 on personal data protection Spanish Law 1201/2005, Animal protection in experimentation	<i>UAB Animal and Human Experimentation Ethics Committee</i> (CEEAH), established in 1994. Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)	Implemented. In addition to the national legislation, the UAB has the <i>Code of Good Practices of Research</i> and the <i>Code of Good Practices of the Doctoral School</i>, which guarantee that researchers follow the legislation and rules on ethical principles.	NO
1.3. Professional responsibility Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out				
		Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)	Implemented	NO
1.4 Professional attitude Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.				
		Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)	Implemented	NO

1.5. Good practice in research Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times				
		Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)	Implemented	NO
1.6. Dissemination, exploitation of results All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises				
	Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)) UAB Recommendation for publication (http://www.recerca.uab.es/journal/metrics/recomanacions.php)	Implemented. The principles concerning dissemination and valorisation of research results, are described in the <i>Codes of Good Practices of Research</i> and others specific documents. There is a Publishing Service (for scientific books and magazines) and the Research Valorisation and Patent Office for results exploitation and commercialisation. In addition there is an Institutional Strategy for the use of Open Data, according to the EC recommendations, and a free accessible Digital Documents Repository (http://ddd.uab.es/?ln=en)	NO
1.7. Public engagement Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.				
	Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council,	As public university, the UAB is specially concerned about the public engagement of research. For this reason, the UAB has the Observatory for Science Dissemination (http://www.odc.cat/ca/inici.aspx) There are two electronic magazines, one for Research	NO

		30/01/2013)	(UAB Divulga) an one for Innovation (UAB Innova) and many activities to spread science to the society.	
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1.8. Contractual and legal obligations Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document				
	Spanish Law 4/2007 EU law for EC funded projects (as Marie S.Curie)	Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014) Manual for contracting temporary staff for projects and research agreements	There are guidelines and a dedicated space in the intranet with the laws and regulations. However, the dissemination to the UAB community should be improved. The "International Welcome Point of the UAB" provides information and support to foreigner researchers, for immigration issues and for visa processing. Shortly a reviewed "welcoming package" will be implemented, including the standard information required for the new employees to start working at the UAB as smoothly as possible.	NO
1.9. Accountability Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.				
		Code of Good Practices of Research (Governing Council, 30/01/2013) UAB Financial Guidelines	There are guidelines and a dedicated space in the intranet with the laws and regulations, and also specific support for financial management. However, the dissemination to the UAB community should be improved.	NO

1.10. Non discrimination Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.				
	Spanish Law 4/2007	UAB Third Action Plan for the Equality (quadrennial 2013-2017) UAB Observatory for Equality	There is a strong commitment of the UAB against any form of discrimination. The UAB Observatory for Equality was created in 2005.	NO
1.11. Evaluation/appraisal Systems Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee				
	Spanish Law 63/2006 Spanish Law CIN/2657/2008, https://sede.educacion.gob.es/catalogo-tramites/organismos/sixenios-cneai Spanish Law 1052/2002	Guidelines for the evaluation of the academic activity of the Universitat Autònoma de Barcelona. Approved by the Government Council (14/03/2012)	There are national and regional systems of evaluation (only for permanents researchers), and in addition, there is one guideline "UAB rules for the evaluation of the academic activity". Currently, the Vicerectorate of Research is developing an indicator-based system to monitor research performance at the UAB, from faculties to individual researchers	NO

2. SELECTION and RECRUITMENT

2.1 Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

2.2. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

2.3. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

	Spanish Law (1312/2007) Spanish Law (1313/2007)	UAB Manual for contracting temporary staff for projects and research agreements	There are national and regional systems of selection and recruitment (only for permanent researchers). For temporary researchers there is a manual with the procedures to be followed. However, there is a need to increase the awareness. The UAB should ensure that recruitment and selection practices are carried out according to such regulatory framework.	YES
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2.4. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

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

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

2.6. Recognition of mobility experience (Code)

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

2.7. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels

2.8. Recognition of experience (Code)

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

2.9. Seniority (Code)

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

2.10. Postdoctoral Appointments (Code)

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects

			An informative and regulatory framework should be established to ensure the reliability of the process. This part should be added to the “manual” referred in the previous point.	YES
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3. WORKING CONDITIONS and PROFESSIONAL CAREER

3.1. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

	Spanish Law (14/2011) of Science, Technology and Innovation	UAB statutes Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)	All research staff have equal terms and conditions regardless of their level and the duration of the contract. In the UAB the concept of "research staff" is used in a global sense, and there are different working/contracting schemes. - Permanent positions: both by civil servants and by hired researchers, - Tenure-track equivalent: hired researchers - Postdoctoral and predoctoral positions: hired researchers	NO
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3.2. Working conditions Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

3.3. Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work

3.4. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities

	Spanish Law (70/2000) Spanish Law (14/2011) of Science, Technology and Innovation	Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)	There is an strict legal framework. Working conditions are regulated by different labour laws and collective labour agreements, applied to all employees regardless of their nationality. This legislation is for employee protection and guarantees equal treatment. In addition, Unions are very	NO
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	Spanish Law (7/2007) Catalonian Law DOGC 4821 Catalonian Law (1/2003)		strict following up these issues.	
3.5. Gender balance Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.				
		UAB Third Action Plan for the Equality (quadrennial 2013-2017) UAB Observatory for Equality	Implemented. There is a strong commitment of the UAB against any form of discrimination. The UAB Observatory for Equality was created in 2005.	NO
3.6. Research environment Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme				
		Code of Good Practices of Research (Governing Council, 30/01/2013) Research Regulatory Framework at the UAB (Governing Council 05/05/2013)	Departments and Research Institutes ensure that researchers have the appropriate environment and equipment. The office Health and Safety, collaborating with the Environmental Office, provides information and a regulatory framework on how to keep safe on a working environment. In addition, there is a Biosecurity Committee (established in 2003)	NO
3.7. Career development Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements				
3.8. Value of mobility Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation				
3.9. Access to career advice Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation				

		Code of Good Practices of Research (Governing Council, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013) Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council of the UAB - 05/03/2014)	As permanent positions are very limited in the UAB academic community, is recognized that not all the researchers will obtain such a position. In this sense, the UAB should be supportive and assist those researchers, by running a program to analyse the career progression and development, and facilitating career advice.	YES
3.10. Intellectual property rights Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement				
		Code of Good Practices of Research (Governing Council, 30/01/2013) Research Regulatory Framework at the UAB (Governing Council of the UAB, 05/05/2013)	The Office for Research Valorisation and Patents, provides guidance and counselling on IPR, know-how protection and research valorisation. There is a handbook provided to the researchers "How to patent", courses and educational resources.	NO
3.11. Co-authorship Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s)				
		Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)	Implemented	NO
3.12. Complaints/appeals Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment				

		Regulatory framework of the Ombudsman (approved by the General Assembly of the UAB on 20 December 2011)	Since 1995 the UAB has an Ombudsman to deal with complains and support all the members of the UAB community	NO
3.13. Participation in decision-making bodies Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution				
		UAB Statutes Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council of the UAB - 05/03/2014)	Implemented	NO
3.14. Teaching Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.				
	Spanish Law: RD 14/2012 Spanish Law: RD 6/2001	Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council of the UAB 05/03/2014)	Implemented	NO

4.SUPERVISION and TRAINING

4.1. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms

4.2. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs

4.3. Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers

	Spanish Law: RD 99/2011	Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013) Code of Good Practices of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)	There are guidelines and a dedicated space in the intranet with UAB's regulations. It is specially detailed the procedure and responsibility concerning doctoral supervision and training.	NO
4.4. Continuous professional development Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning				
		Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013) Code of Good Practices of the UAB	Implemented	NO

		Doctoral School (Governing Council of the UAB, 30/01/2013)		
4.5. Access to research training and continuous development Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.				
		Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)	Further training provision to ensure that training needs are met	YES

Conclusions

The first action to do has been already identified when gathering the information on the University's guidelines and instructions: not all documents are provided in English and, consequently, they will be translated. The second one is to develop an appropriate dissemination platform (probably a space in the intranet) from which information can be easily accessed and updated.

One of the main positive outcomes of the internal analysis is that most of the principles described in the Charter & Code are already in practice at the UAB. However, there are some areas for improvement which are the basis for the action plan:

- **Recruitment & Selection:** the UAB will ensure the clarity and transparency of recruitment criteria by improving its recruitment procedures. In spite of there is a manual with a description of the requirements of the selection process, it will be improved. In addition, the UAB will increase the awareness of such rules among the researchers.
- **Career development & advice:** UAB will provide guidance in supporting researcher's career progression and development, giving researchers the tools and confidence to develop the proper career, especially through the transition from PhD to postdoc positions. It will include personal counselling as well as seminars and awareness sessions to: a) understand the balance between supply and demand of researchers in organizations, b) increase competitiveness in the labour market of PhD research, c) add value to the experience and knowledge attained during the doctorate d) develop new skills and competences. In this process the role of the supervisor will be crucial, specially at the level of the initial and intermediate stages of the research career.
- **Research training, skills and competences:** UAB is aware that some researchers need to develop their professional skills and competences to increase their opportunities and employability. In this context, specific courses (on transversal competences, entrepreneurship, project management, leadership, etc.) should be programmed, together with a mentoring program for researchers.

Actions to be done

	what	who	when
Quality Review of documents	Update and Translation: All documents affecting relevant issues for researchers, must be available, updated and in English.	Strategic Projects Unit	1st semester 2015 (started on April 2014)
Intranet	Document Repository: in the intranet, available to all the researchers, with the information and documents concerning the principles of the C&C.	Strategic Projects Unit, Communication Office	December 2014 (starting on September 2014)
Dissemination	Benefits of HRS4R. An informative campaign to disseminate the C&C, including meetings with other institutions associated to the UAB, to promote C&C endorsement and implementation	Strategic Projects Unit, Communication Office	December 2014 (started on June 2014)
Recruitment & Selection	Guidelines and Best Practices in Recruitment & Selection. A document to improve the practices in recruitment and selection processes	Teaching Staff Area Organisation and Planning Area	1st semester 2015 (starting on September 2014)

Career development & advice	Institutional Program. The recent establishment of the UAB Doctoral School (April 2014), is a great opportunity to implement a program for career development, providing support and resources to assist doctoral and postdoctoral researchers at any stage of their academic careers. A former unit (Unit of Doctoral Employability) will be fully renovated.	Doctoral School Secretary, Vicerector for Research/ Vice-Rector for Teaching Staff and Academic Programming	2 nd semester 2015. This issue has a high level of complexity, including results from the next action described in this table (<i>Training, skills and competences</i>) It is expected to start on September-October 2014, and probably the complete development of the action will take a whole academic year.
Research training, skills and competences	Program and Courses providing the training and development opportunities to support personal and professional growth of doctoral and postdoctoral researchers. Closely linked to the Career Development & Advice Action.	Doctoral School Secretary Research Management Area	1st semester 2015 (starting on September-October 2014)
Monitoring system (self assessment)	Establishment of a working group to follow up the development of the actions to be done, and providing and overall assessment of the results.	Strategic Projects Unit	September 2014

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