

## TEMPLATE 1 – GAP ANALYSIS

Name of Organisation under review: Universitat Internacional de Catalunya, Private Foundation.

Organisation's contact details: Vice-Rector for Research, Carrer de la Immaculada, 22, 08017

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SUBMISSION DATE: 10/07/2017

DATE ENDORSEMENT CHARTER AND CODE: 26/10/2016

*Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.*

### PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. <sup>1</sup> These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4<sup>2</sup>, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates and consultation format. In addition, indicate how the Committee and Working Group are composed.

The HRS4R process was carried out with a multidisciplinary, inclusive and participative focus involving the entire research community, leaders, management departments and administrative and service staff. The following groups were appointed for the process:

**Steering Committee** (SC, responsible for supervising the process)

- Vice-Rector for Research - Dr Toni Mora
- Vice-Rector for Staff Management - Dr Josep Clotet
- Director of Research - Òscar Carbó
- HR Director - Paco Navallas
- Research Technician - Rut Martínez

**Working group** (WG, responsible for implementing the process)

To guarantee the participation of the entire research community, an email was sent (13.07.2017) to all Faculties requesting their proposed candidates for the Working Group. Once the proposals were received, candidates were selected based on ensuring that a full range of researchers were represented (R1 to R4). Thus, the Working Group consisted of:

- Director of Research - Òscar Carbó (staff)
- HR Director - Paco Navallas (staff)

<sup>1</sup> The term 'Human Resources' is used **in the broadest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career, level, type of contract etc. etc.

<sup>2</sup> For a description of R1-R4, please see [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

- Research Technician - Rut Martínez (staff)
- Vice-Dean of the Faculty of Law - Montse Gas (R3)
- Dean of the Faculty of Humanities - Judith Urbano (R3)
- Representative of the Faculty of Education - Mariona Graell (R2)
- Representative of the Faculty of Communication - Rejina Selvam (R1)
- Vice-Dean of the Faculty of Economic and Social Sciences - Frederic Marimon (R4)
- Director of the Doctorate School and representative of the Faculty of Medicine and Health Sciences - Núria Casals (R4)
- Representative of the Faculty of Medicine and Health Sciences - Rosa Cabanas (R2)
- Representative of the Faculty of Dentistry - Fernando Durán Sindreu (R3)

In addition, the following university and bodies were involved in the process:

- Board of Governors
- Vice-Rector for Research
- Vice-Rector for Teaching Staff
- Human Resources Service
- Doctorate School
- Research Institutes

The priority was to include the entire community which is why the process was not explained in a centralised way. A working group was put together that included representatives from each of the Faculties. This meant that each member of the group went back to the researchers in their own Faculty and, at the same time as explaining to them the importance of the project, they requested that a survey should be carried out as the basis for the Gap Analysis.

Out of a workforce of 132 permanent staff and 163 temporary staff, a total of 95 researchers took part. These actions brought home to the research community that HRS4R was a strategic commitment involving all of the stakeholders participating in the university's research activities. The survey results enabled the Gap Analysis to be produced as well as generating the suggestions that would form the content of the Action Plan.

The implementation of the HRS4R process involved the following phases and steps:

#### **A. Preliminary phase**

- March-April 2017. After being turned down by Europe with regard to the granting of the HR Award, an initial meeting was held in the research department to decide on a new strategy that would involve the entire university community.

-May 2017. An initial meeting was held with the Steering Committee to explain the whole HRS4R process in detail, agree a timetable and objectives for it, decide on the need to include external agents and establish the selection process for the working group.

-June 2017. The need to involve the community in the HRS4R process was presented to the Board of Governors and it was decided to offer credits to members of the Working Group as an incentive.

-June-July 2017. The Personnel Director sent out an email inviting the Faculties to put forward their candidates for the Working Group.

-September 2017. Final appointments to the Steering Committee and the Working Group.

-September 2017. The first meeting with the Working Group was held, where the whole process was explained, highlighting the main aspects and advantages of applying an HRS4R strategy to the university. The proposal to carry out a Gap Analysis (survey) was explained as was the role of each member with respect to its production. Extensive information was also provided about HRS4R, especially with reference to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, using electronic communication tools. Finally, the timetable for the project was decided.

-October 2017. Working Group representatives sent an email to their individual Faculty members explaining the HRS4R process and distributed the survey that had been drawn up to produce the Gap Analysis. The survey, just as Europe demanded, included 40 points from the Charter and the Code and asked to what extent the organisation complied with each principle.

-October-November 2017. Meetings held with the Working Group to analyse the results of the survey. Each one of the principles was discussed. If they were compliant, proof was provided (links to UIC Barcelonan policy, programmes, etc.). If they were non-compliant, everyone put forward suggestions for improvement.

### **C. Action Plan Phase.**

-October-November 2017. Meetings held with the Working Group to develop an action plan to address the results of the Gap Analysis.

-December 2017. Meetings held with the Steering Committee to highlight the strategic priorities and topics arising from the Gap Analysis, clearly defining the deficiencies that needed dealing with and to review and implement the Action Plan put forward by the Working Group.

-January 2018. Prioritisation of the actions and approval of the Action Plan by the Working Group and the Steering Committee.

-March 2018. Action Plan published on the website

## **GAP ANALYSIS**

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.

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?	+ = <b>fully</b> implemented +/- = <b>almost but not fully</b> implemented -/+ = <b>partially</b> implemented - = <b>insufficiently</b> implemented	In case of -, -/+, or +/-, please <b>indicate the actual "gap"</b> between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	69% fully implemented	Relevant Legislation: <ul style="list-style-type: none"> <li>- Spanish Law 14/2011 on Science, Technology and Innovation</li> </ul> Institutional Rules: <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<b>Implemented.</b> Initiatives already undertaken: <ol style="list-style-type: none"> <li>1. Existence of a Research Ethics Committee, guaranteeing freedom at the same time as solving problems and warning on ethical limits according to circumstances. Evidence:               <ul style="list-style-type: none"> <li>-Information from the CEIC on the website <a href="https://www.uic.es/ca/comites-1">https://www.uic.es/ca/comites-1</a></li> <li>-Information on the intranet from the Clinical Research Ethics Committee (CEIC) and the Ethical Research Committee (CER)</li> </ul> </li> <li>2. UIC Barcelona code of good research practice that discusses the freedom of research and its limitations. Evidence:               <ul style="list-style-type: none"> <li>-Information on the Doctorate School website on the code of good practice in research: <a href="http://www.uic.es/ca/escola-de-doctorat/bones-practiques">http://www.uic.es/ca/escola-de-doctorat/bones-practiques</a></li> <li>-Information on the intranet (Recerca&gt; Odonto) about the code of good practice in clinical research and the laboratory and the code of good scientific practice at the Doctorate School.</li> </ul> </li> </ol>

			<p>3. Diversity of research groups, guaranteeing freedom of choice for research topics.</p> <p>There are currently 26 research groups (SGR) within UIC Barcelona. There are Faculties with more than one SGR, enabling lines of research to be chosen freely. Evidence:</p> <p>-Research group websites: <a href="http://www.uic.es/ca/grups-de-recerca">http://www.uic.es/ca/grups-de-recerca</a></p>
<p>2. Ethical principles</p>	<p>76% fully implemented</p>	<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 14/2011 on Science, Technology and Innovation</li> <li>- Spanish Law 14/2007, on research into Biomedicine</li> <li>- Spanish Law 15/1999 on Personal Data Protection</li> <li>- Spanish Law 1201/2005 on Animal protection in experimentation</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <p>1. Ethical Research Committee, responsible for clarifying which ethical principles apply to each discipline. Evidence:</p> <p>-Information from the CEIC on the website <a href="https://www.uic.es/ca/comites-1">https://www.uic.es/ca/comites-1</a></p> <p>-Information on the intranet from the Clinical Research Ethics Committee (CEIC) and the Ethical Research Committee (CER)</p> <p>2. UIC code of good research practice which defines research limits. Evidence:</p> <p>-Information on the Doctorate School website about the code of good research practice: <a href="http://www.uic.es/ca/escola-de-doctorat/bones-practiques">http://www.uic.es/ca/escola-de-doctorat/bones-practiques</a></p> <p>-Information on the intranet (Recerca&gt; Odonto) on the code of good practice in clinical research and the laboratory and the Doctorate School code of good scientific practice</p> <p>-The Doctorate School obliges new doctoral students to sign the code of good research practice. <a href="http://www.uic.es/es/escuela-de-doctorado/buenas-practicas">http://www.uic.es/es/escuela-de-doctorado/buenas-practicas</a></p> <p>3. UIC Barcelona's ideology, which speaks about the philosophy and values of the University and thus its ethical principles. Evidence:</p> <p>-<a href="http://www.uic.es/ca/portal-transparencia/filosofia-i-valors">http://www.uic.es/ca/portal-transparencia/filosofia-i-valors</a></p>

<p>3. Professional responsibility</p>	<p>66% fully implemented</p>	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> <li>- Regulations on intellectual property</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Turnitin Programme. An anti-plagiarism programme that guarantees the authenticity of anything produced in-house. It is accessible to all UIC Barcelona teaching and research staff via Moodle.</li> <li>2. Regulations on intellectual property approved in February 2017. Evidence: <ul style="list-style-type: none"> <li>-Regulations uploaded to the UIC Barcelona intranet as part of the VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) section</li> </ul> </li> <li>3. UIC Barcelona code of good research practice. Evidence: <ul style="list-style-type: none"> <li>-Information on the Doctorate School website on the code of good research practice: <a href="http://www.uic.es/ca/escola-de-doctorat/bones-practiques">http://www.uic.es/ca/escola-de-doctorat/bones-practiques</a></li> <li>-Information on the intranet (Recerca&gt; Odonto) about the code of good practice in clinical research and the laboratory and the Doctorate School code of good scientific practice</li> <li>-The Doctorate School makes all new doctoral students sign the code of good research practice. <a href="http://www.uic.es/es/escuela-de-doctorado/buenas-practicas">http://www.uic.es/es/escuela-de-doctorado/buenas-practicas</a></li> </ul> </li> <li>3. UIC Barcelona's ideology, which talks about professional responsibility. Evidence: <ul style="list-style-type: none"> <li>-<a href="http://www.uic.es/ca/portal-transparencia/filosofia-i-valors">http://www.uic.es/ca/portal-transparencia/filosofia-i-valors</a></li> </ul> </li> </ol>
<p>4. Professional attitude</p>	<p>54% fully implemented</p>	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> <li>- UIC Barcelona Strategic Plan</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. UIC Barcelona has defined a Strategic Plan in which it details the objectives of UIC research. Evidence: <ul style="list-style-type: none"> <li>Link to the UIC Barcelona website: <a href="http://www.uic.es/ca/portal-transparencia/pla-estrategic">http://www.uic.es/ca/portal-transparencia/pla-estrategic</a></li> </ul> </li> <li>2. UIC Barcelona code of good research practice. Evidence: <ul style="list-style-type: none"> <li>-Information on the Doctorate School website about the code of good research practice:</li> </ul> </li> </ol>

			<p><a href="http://www.uic.es/ca/escola-de-doctorat/bones-practiques">http://www.uic.es/ca/escola-de-doctorat/bones-practiques</a> -Information on the intranet (Recerca&gt; Odonto) about the code of good practice in clinical research and the laboratory and the Doctorate School code of good scientific practice -The Doctorate School makes all new doctoral students sign the code of good research practice.</p> <p><a href="http://www.uic.es/es/escuela-de-doctorado/buenas-practicas">http://www.uic.es/es/escuela-de-doctorado/buenas-practicas</a> 3. Existence of the VRIT (Vice-Rectorate of Research, Innovation and Knowledge Transfer) which is the department that controls projects, funding, etc.</p>
5. Contractual and legal obligations	45% fully implemented	<p>GAP: Poor knowledge of the regulations through lack of information and the disorganisation of the intranet and website.</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 4/2007</li> <li>- EU Law for EC funded projects (such as Marie Curie)</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> <li>- Regulations on intellectual property</li> <li>- Table of Teaching and Research Staff (PDI) categories</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Welcome letter for researchers indicating the institutional rules along with their references and links. This information could be presented (in the form of a booklet) to researchers when they sign their contracts with UIC Barcelona.</li> <li>2. Upload the regulations on intellectual property to the library website so that information about intellectual property rights is made clearer.</li> <li>3. Training courses for researchers. Gaudí Programme for all Faculties. These courses will explain to researchers their responsibilities and the regulatory framework applicable to researchers.</li> <li>4. Introduce a process to request grants for projects or research groups in competitive external calls. This will clarify to researchers the conditions imposed by funding entities.</li> <li>5. Information sessions. Sessions to which public institutions are invited to provide first-hand information on the requirements of funding entities.</li> <li>6. Demonstrate the practical application of projects. Explanation of the introduction of a new ERP.</li> </ol>

6. Accountability	64% fully implemented	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. UIC Barcelona code of good research practice, which explains researcher obligations in this respect. Evidence: <ul style="list-style-type: none"> <li>-Information on the intranet (Recerca&gt; Odonto) about the code of good practice in clinical research and the laboratory and the Doctoral School's code of good scientific practice.</li> <li>-The Doctorate School obliges new doctoral students to sign the code of good research practice.</li> </ul> <a href="http://www.uic.es/es/escuela-de-doctorado/buenas-practicas">http://www.uic.es/es/escuela-de-doctorado/buenas-practicas</a> </li> <li>2. Department controlling the economic justification of projects (VRIT). All project proposals must be vetted by the VRIT and subjected to a process of budget approval. Once the project is registered, the authorised ones are monitored</li> <li>3. In-house software for the economic control of projects.</li> </ol>
7. Good practice in research	53% fully implemented	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. UIC Barcelona code of good research practice, which contains a section that refers to back-up copies. Evidence: <ul style="list-style-type: none"> <li>-Information on the intranet (Recerca&gt; Odonto) about the code of good practice in clinical research and the laboratory and the Doctorate School's code of good scientific practice</li> <li>- The Doctorate School obliges new doctoral students to sign the code of good research practice.</li> </ul> <a href="http://www.uic.es/es/escuela-de-doctorado/buenas-practicas">http://www.uic.es/es/escuela-de-doctorado/buenas-practicas</a> </li> <li>2. A daily and weekly back-up copy of the computer data recorded in UIC Barcelona's own programmes guarantees that files can be recovered in the event of IT mishaps.</li> </ol>
8. Dissemination, exploitation of results	39% fully implemented	<p>GAP: Teaching and research staff (PDI) do not have specific guidelines about disseminating research or making use of its results</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Training seminars (once a year) on making use of results so that they can be exploited commercially.</li> </ol>

		<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 4/2007</li> <li>- EU Law for EC funded projects (such as Marie Curie)</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> <li>- Regulations on intellectual property</li> <li>- Table of Teaching and Research Staff (PDI) categories</li> </ul>	<ol style="list-style-type: none"> <li>2. Upload the regulations on intellectual property to the library website to make access to them easier for researchers.</li> <li>3. Promote the Research Portal, to explain the methods of dissemination that UIC Barcelona already has in place.</li> <li>4. Create a section on the library website in support of research, making the dissemination of results more understandable to researchers.</li> <li>5. Create an institutional repository with a commitment to the policy of Open Access. Creating an institutional policy for this initiative will establish the operational basis for the dissemination of UIC Barcelona results.</li> </ol>
9. Public engagement	43% fully implemented	<p>GAP: Teaching and research staff (PDI) do not have sufficient opportunity at UIC Barcelona to publicise their research</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Set up a UIC Barcelona Research Week. Presentation of projects by researchers, running VRIT conferences that enable researchers to raise awareness about their studies.</li> <li>2. Increase knowledge about research within the DIRCOM department, thereby ensuring that our researchers' activities can be communicated to society at large using the most appropriate channels.</li> </ol>
10. Non discrimination	79% fully implemented	<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law (14/2011) on Science, Technology and Innovation</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Universitat Internacional de Catalunya Action Plan for Equal Opportunities (period 2009-2012)</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. UIC Barcelona's ideology. Non-discrimination is embedded in the DNA of the university. Evidence: -<a href="http://www.uic.es/ca/portal-transparencia/filosofia-i-valors">http://www.uic.es/ca/portal-transparencia/filosofia-i-valors</a></li> <li>2. There is a Universitat Internacional de Catalunya Action Plan for Equal Opportunities (period 2009-2012)</li> </ol>
11. Evaluation/ appraisal systems	44% fully implemented	<p>GAP: Not enough value seems to be given to external accreditation</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Increase the weight given to accredited external assessors</li> </ol>

		<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 63/2006</li> <li>- Spanish Law CIN/2657/2008 <a href="https://sede.educacion.gob.es/catalogo--tramites/organismos/sixenios--cneai">https://sede.educacion.gob.es/catalogo--tramites/organismos/sixenios--cneai</a></li> <li>- Spanish Law 1052/2002</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> </ul>	<p>who evaluate the teaching and research staff. This will be included in a section of the new regulations for teaching and research staff.</p>
<p>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. <b>In addition</b>, your organisation also needs to complete the checklist on <b>Open, Transparent and Merit-Based Recruitment</b> included below, which focuses on the operationalization of these principles.</p>			
12. Recruitment	33% fully implemented	<p>GAP: Lack of knowledge about the admission system for researchers</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 1312/2007</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Disclosure of pre-doctoral and postdoctoral recruitment procedures, providing links to the calls in which the rules of access and admission for researchers are clearly explained.</li> </ol>
13. Recruitment (Code)	32% fully implemented	<p>GAP: Lack of knowledge about UIC Barcelona offers of employment</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 1312/2007</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Improve the website to make job offers more visible, with clear descriptions about what is required of potential candidates.</li> <li>2. Publication of some of the job offers on Euraxess.</li> </ol>
14. Selection (Code)	28% fully implemented	<p>GAP: Selection panels for researchers do not always include in-house experts.</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 1312/2007</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Publication of the composition and CVs of the pre- and postdoctoral selection panel (Toni Mora and others), that will include members at different levels and with different types of experience.</li> </ol>

15. Transparency (Code)	30% fully implemented	<p>GAP: Lack of transparency when it comes to knowing who the members of the selection panel will be. The criteria used for selection or rejection are unclear.</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Publication of the composition and CVs of the pre- and postdoctoral selection panel (Toni Mora and others)</li> <li>2. Give feedback to those candidates who are not selected so that they understand their weak points.</li> <li>3. Implement some of the points from the OTM-R system and publish a version of the HR policy.</li> </ol>
16. Judging merit (Code)	41% fully implemented	<p>GAP: Lack of information on the general merits taken into account when judging candidates.</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Implement some of the points from the OTM-R system and publish a version of the HR policy, where it makes clear which merits are taken into consideration when taking on researchers.</li> </ol>
17. Variations in the chronological order of CVs (Code)	38% fully implemented	<p>GAP: Despite this being a point that acts as a guarantee, there is not enough specific information on the subject .</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Welcome letter for researchers indicating the institutional rules along with their references and links. This information could be presented (in the form of a booklet) to researchers when they sign their contracts with UIC Barcelona. This will make in-house teaching staff regulations more visible and will include the rules on sabbatical years, maternity leave, etc.</li> </ol>
18. Recognition of mobility experience (Code)	51% fully implemented	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> <li>- Mobility Regulations of the Universitat Internacional de Catalunya</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Everything in respect of mobility is clearly and fully set out in the in-house teaching staff regulations. Evidence: <ul style="list-style-type: none"> <li>-In-house teaching staff regulations. (Annex 4. Rules for research stays, study permits and sabbatical courses)</li> </ul> </li> <li>2. At UIC Barcelona there is a teaching staff assessment system called 'Compromís PDI' (Teaching and Research Staff Commitment). Research stays are assessed and PDI teaching time is reduced in favour of research.</li> </ol>

19. Recognition of qualifications (Code)	46% fully implemented	GAP: Information is missing regarding the recognition of qualifications	<b>Suggestions for improvement:</b> 1. New teaching regulations that will include the recognition of qualifications.
20. Seniority (Code)	42% fully implemented	GAP: Seniority is valued but written information on this subject is lacking	<b>Suggestions for improvement:</b> 1. Welcome letter for researchers indicating the institutional rules along with their references and links. This information could be presented (in the form of a booklet) to researchers when they sign their contracts with UIC Barcelona. This letter will raise the visibility of in-house teaching staff regulations and deal with how academic careers are recognised.
21. Postdoctoral appointments (Code)	43% fully implemented	Institutional Rules: - In-house teaching staff regulations	<b>Implemented.</b> Initiatives already undertaken: 1. There is a paragraph in the in-house teaching staff regulations that discusses how long the position of postdoctoral researcher lasts. Evidence: -In-house teaching staff regulations. 2. Postdoctoral call announcements are made on the website with a description of the candidate criteria. <a href="http://www.uic.es/ca/recerca/convocatories">http://www.uic.es/ca/recerca/convocatories</a>
<b>Working Conditions and Social Security</b>			
22. Recognition of the profession	54% fully implemented	Relevant Legislation: - Spanish Law 14/2011 of Science, Technology and Innovation  Institutional Rules: - In-house teaching staff regulations	<b>Implemented.</b> Initiatives already undertaken: 1. UIC Barcelona's ideology. Professional recognition forms part of the University's own ethos. Evidence: - <a href="http://www.uic.es/ca/portal-transparencia/filosofia-i-valors">http://www.uic.es/ca/portal-transparencia/filosofia-i-valors</a> 2. Everything related to professional recognition is clearly and fully set out in the in-house teaching staff regulations. Evidence: -In-house teaching staff regulations.

23. Research environment	30% fully implemented	<p>GAP: There are problems with not enough space, poor Wi-Fi connectivity, too few programme licences and a lack of research infrastructure (equipment needs to be brought in from outside)</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Manual for the integrated management of occupational risk management and the environment</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Improvements to Wi-Fi connectivity.</li> <li>2. Change the entire IT system of UIC Barcelona (implementing an ERP system), making it easier to connect and access university data.</li> <li>3. UIC grants for research infrastructures.</li> </ol>
24. Working conditions	39% fully implemented	GAP: Lack of efficient communication to research staff of their working conditions	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Dissemination of the new teaching staff regulations to guarantee flexible working hours for all teaching and research staff. The other concepts that fall under this point are covered in the in-house teaching staff regulations (sabbatical years, part-time work, etc.)</li> </ol>
25. Stability and permanence of employment	29% fully implemented	<p>GAP: A feeling of insecurity among researchers on temporary contracts (common at the start of a career). More information is needed about academic careers</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 70/2000</li> <li>- Spanish Law (14/2011) of Science, Technology and Innovation</li> <li>- Spanish Law 70/2007</li> <li>- Catalan Law DOGC 4821</li> <li>- Catalan Law (1/2003)</li> </ul> <p>Institutional Rules:</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Offer contracts with the longest possible duration (up to four years)</li> <li>2. New teaching staff regulations. Section on institutional support for research that enables the quantity of management, teaching and research to be defined.</li> </ol>

		- In-house teaching staff regulations	
26. Funding and salaries	54% fully implemented	<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 70/2000</li> <li>- Spanish Law (14/2011) of Science, Technology and Innovation</li> <li>- Spanish Law 70/2007</li> <li>- Catalanian Law DOGC 4821</li> <li>- Catalanian Law (1/2003)</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. There is a well-defined salary table according to category posted on the intranet.</li> </ol>
27. Gender balance	54% fully implemented	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Universitat Internacional de Catalunya action plan for equal opportunities (for the period 2009-2012)</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Universitat Internacional de Catalunya action plan for equal opportunities (for the period 2009-2012)</li> <li>2. UIC Barcelona's ideology, which guarantees equal opportunities.</li> </ol> <p><a href="http://www.uic.es/ca/portal-transparencia/filosofia-i-valors">http://www.uic.es/ca/portal-transparencia/filosofia-i-valors</a></p>
28. Career development	30% fully implemented	<p>GAP: There is no professional development strategy for researchers</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Mentor action plan to guarantee that researchers receive support and professional guidance.</li> </ol>
29. Value of mobility	35% fully implemented	<p>GAP: Not taken into account as GAP (18)</p> <p>Institutional Rules:</p>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Everything related to mobility is clearly laid out in the in-house teaching staff regulations. Evidence:</li> </ol>

		<ul style="list-style-type: none"> <li>- In-house teaching staff regulations</li> <li>- Mobility Rules of the Universitat Internacional de Catalunya</li> </ul>	<p>-In-house teaching staff regulations. (Annex 4. Rules for research stays, study permits and sabbatical courses)</p> <p>2. At UIC Barcelona there is a teaching staff assessment system called 'Compromís PDI' (Teaching and Research Staff Commitment). Research stays are assessed and PDI teaching time is reduced in favour of research.</p>
30. Access to career advice	30% fully implemented	<p>GAP: Lack of information about academic careers</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law 70/2000</li> <li>- Spanish Law (14/2011) on Science, Technology and Innovation</li> <li>- Spanish Law 70/2007</li> <li>- Catalanian Law DOGC 4821</li> <li>- Catalanian Law (1/2003)</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house rules for teaching staff</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. New teaching staff regulations. Section on institutional support for research that enables the quantity of management, teaching and research time to be defined.</li> <li>2. Training from the VP for departmental heads to explain how academic careers work</li> <li>3. Designate a person from the Board of Governors to take charge of professional development (supervisor)</li> <li>4. Develop the research intranet</li> </ol>
31. Intellectual Property Rights	41% fully implemented	<p>GAP: There is a lack of training and information about matters to do with intellectual property</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Upload the legislation on intellectual property to the intranet and the library website</li> <li>2. Develop the research intranet</li> <li>2. Set up the UIC Barcelona Research Week. Researchers present their projects, VRIT seminars are held (including training sessions on intellectual property)</li> </ol>

32. Co-authorship	53% fully implemented	<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Every participating member of the research group is mentioned in publications. Evidence: <ul style="list-style-type: none"> <li>- Anything published by an SGR (Mutual Guarantee Association).</li> </ul> </li> </ol>
33. Teaching	42% fully implemented	<p>GAP: Lack of teacher training for researchers</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law RD 14/2012</li> <li>- Spanish Law RD 6/2001</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- In-house rules for teaching staff</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Training courses for researchers. UIC Barcelona is running what is referred to as the Gaudí programme (which contains an initial teaching module) and the intention is to teach this course in every Faculty.</li> </ol>
34. Complains/ appeals	49% fully implemented	<p>GAP: Researcher - supervisor problems do not reach the ombudsman</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Ombudsman regulations (Approved by the Board of Trustees on 5 March 2013)</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Promotion of the ombudsman so that researchers can make use of this possibility.</li> </ol>
35. Participation in decision-making bodies	39% fully implemented	<p>GAP: Team meetings involving all academic staff are not held equally regularly across all Faculties</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Regulations on the organisation and operation of UIC Barcelona (as per the DOGC)</li> <li>- In-house rules for teaching staff</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Encourage team meetings to be held (attended by all of the researchers) in every Faculty.</li> </ol>

Training and Development			
36. Relation with supervisors	58% fully implemented	<p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law RD 99/2011</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice in the Doctorate School</li> </ul>	<p><b>Implemented.</b> Initiatives already undertaken:</p> <ol style="list-style-type: none"> <li>1. Meetings held by the Board of Governors to supervise the work of all researchers within the team.</li> <li>2. Doctoral Candidate Record of Activities (DAD) that is sent to the Doctorate School. The following link clarifies the relationship with the supervisor: <a href="http://www.uic.es/es/estudios-uic/salud/doctorado-en-ciencias-de-la-salud/formacion">http://www.uic.es/es/estudios-uic/salud/doctorado-en-ciencias-de-la-salud/formacion</a></li> <li>3. Existence of the DRAC programme on the intranet and the compulsory inclusion of scientific activity to meet the requirements of 'Compromís PDI'. This guarantees that the results referred to in this point are registered.</li> </ol>
37. Supervision and managerial duties	40% fully implemented	<p>GAP: The figure of the supervisor is not well defined (in some Faculties the Dean fulfils this function, in others the PI of the SGR and so on)</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law RD 99/2011</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice in the Doctorate School</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Document to describe what being a research supervisor entails.</li> <li>2. Appoint a person from the Board of Governors to take responsibility for professional development (supervisor)</li> </ol>
38. Continuing Professional Development	49% fully implemented	<p>GAP: Teaching and research staff (PDI) do not have sufficient information on the courses that UIC Barcelona are prepared to subsidise.</p>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Explanation of the service offered by HR (formerly DFAC). The training offer will include a specific course for research staff.</li> </ol>

		<p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	
39. Access to research training and continuous development	37% fully implemented	<p>GAP: Teaching and research staff (PDI) do not have sufficient information on the courses that UIC Barcelona are prepared to subsidise. General lack of training in research</p> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Explanation of the service offered by HR (formerly DFAC). The training offer will include a specific course for research staff.</li> <li>2. Cross-curricular training. UIC Barcelona teaching and research staff who are expert in a discipline will be used to give classes to other Faculties.</li> </ol>
40. Supervision	44% fully implemented	<p>GAP: The role of the supervisor is not always clear and varies according to the Faculty. Furthermore, some supervisors are not qualified for the position.</p> <p>Relevant Legislation:</p> <ul style="list-style-type: none"> <li>- Spanish Law RD 99/2011</li> </ul> <p>Institutional Rules:</p> <ul style="list-style-type: none"> <li>- Code of good scientific practice</li> <li>- Code of good practice in clinical research and the laboratory</li> <li>- Code of good research practice at the Doctorate School</li> </ul>	<p><b>Suggestions for improvement:</b></p> <ol style="list-style-type: none"> <li>1. Document describing what it means to be a research supervisor</li> <li>2. Appoint a person from the Board of Governors to take responsibility for professional development (supervisor)</li> </ol>
Any additional issues			

## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list<sup>3</sup>

### OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	-- No	We are in the process of analysing the system.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	-- No	The guide is currently being produced.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+ Yes, <i>partially</i>	The Vice-Rector for Research, Vice-Rector for Teaching and Research Staff and the Research Committee are particularly well trained. Members of the HR department and the quality team are still undergoing training.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		+/-Yes, <i>substantially</i>	There is a specific portal for advertising offers ( <a href="https://www.uic.es/es/trabaja-en-uic-barcelona/personal-docente-investigador">https://www.uic.es/es/trabaja-en-uic-barcelona/personal-docente-investigador</a> ).  The link is being perfected through the use of electronic communication tools and specific applications.  For the recruitment of teaching and research staff, the initial phase is not always made public.

<sup>3</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					For the recruitment of staff exclusively dedicated to research, all of the selection phases use electronic tools, from the selection phase, which is advertised publically, through to an interview by Skype if the candidate is in a foreign country.
5. Do we have a quality control system for OTM-R in place?	x	x	x	-- <b>No</b>	The system is under development. All members of the Selection Committee have full access rights to information at all stages.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	<b>+/-Yes, substantially</b>	Many positions are currently being covered by people external to UIC Barcelona.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	<b>-/+ Yes, partially</b>	Foreign people are treated in the same way as anybody else external to the organisation, so long as they comply with the legal requisites for being able to sign a contract in Spain. Some posts are advertised on Euraxess. Applications have been received from a wide range of different countries.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	<b>+/-Yes, substantially</b>	The female employment rate is high. We don't have a significant number of minority groups or those that need special protection. We need to give special attention to people with disabilities.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	<b>+/-Yes, substantially</b>	The main factor that attracts researchers is the salary, but we must work the university network (cooperation, area of authority, mobility, etc.)
10. Do we have means to monitor whether the most suitable researchers apply?				<b>+/-Yes, substantially</b>	It is possible to incorporate external reference reports, interviews and trial periods into the selection process.

					A compulsory pre-condition for submitting applications for pre-doctoral calls is to have already passed a competitive call before applying, so some information will already be held on record.
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		<b>-/+ Yes, partially</b>	Positions are published on an in-house platform and on reputable academic websites. There are written guidelines for advertising positions but they need to be better adapted to promote international calls.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report <sup>4</sup> ]	x	x		<b>-/+ Yes, partially</b>	When recruiting for research posts, full details are given of all the requirements as laid out in chapter 4.4.1, but it still remains to include points such as the number of positions available and references to our policy on equal opportunities.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		<b>+/-Yes, substantially</b>	We use Euraxess to publish some adverts for postdoc research posts and for teaching and research staff in general. It is expected to be used more in the future.
14. Do we make use of other job advertising tools?	x	x		<b>++ Yes, completely</b>	One of our own web pages is used to advertise all job offers: <a href="https://www.uic.es/es/trabaja-en-uic-barcelona/personal-docente-investigador">https://www.uic.es/es/trabaja-en-uic-barcelona/personal-docente-investigador</a> We also use other platforms such as Red IRIS, Researchgate, LinkedIn, etc.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) <sup>45</sup> ]	x			<b>+/-Yes, substantially</b>	We process documentation and sign contracts electronically, thereby lightening the candidate's administrative burden.

<sup>4</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					An online form is used for some calls to create an electronic database. Conversely, with other calls, the application requires the presentation of all relevant documentation.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) <sup>45</sup> ]		x	x	<i>+/-Yes, substantially</i>	The teaching regulations cover the composition, appointments to and actions of the selection committee for stable positions. <a href="http://www.uic.es/progs/obj.uic?id=41ff6b41f28d0">http://www.uic.es/progs/obj.uic?id=41ff6b41f28d0</a>
17. Do we have clear rules concerning the composition of selection committees?		x	x	<i>+/-Yes, substantially</i>	The teaching regulations cover the composition, appointments to and actions of the selection committee for stable positions. <a href="http://www.uic.es/progs/obj.uic?id=41ff6b41f28d0">http://www.uic.es/progs/obj.uic?id=41ff6b41f28d0</a>
18. Are the committees sufficiently gender-balanced?		x	x	<i>+/-Yes, substantially</i>	Yes, we make sure that this is always the case.
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	<i>-/+ Yes, partially</i>	There are no written guidelines. These are agreed on as part of workings of the selection panel/committee.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		<i>++ Yes, completely</i>	They are informed electronically or by phone. In all of the selection processes, the results and the information on those who have passed are published in good time for the candidates. Also, there is direct contact with the candidates to provide explanations about the results.
21. Do we provide adequate feedback to interviewees?		x		<i>++ Yes, completely</i>	For the recruitment of teaching staff, each candidate is given an explanation about their results and the results of all the other candidates.

					For the recruitment of researchers, all of these explanations are also covered at the interview stage.
22. Do we have an appropriate complaints mechanism in place?		x		<b>++ Yes, completely</b>	The Ombudsman and HR department are available to all candidates for any possible complaints they may have.
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				<b>-- No</b>	The system is being drawn up.