



**Universitat Autònoma de Barcelona**

## **UAB-HRS4R Updated Action Plan**

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The European Charter for Researchers and the Code of  
Conduct for the Recruitment of Researchers  
Report on the Interim Assessment (2 years)  
Action Plan for the period 2017 – 2019

**Universitat Autònoma de Barcelona, December 2016**

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# UAB-HRS4R Updated Action Plan

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**This document describes:**

- a) the implementation of measures in the identified gaps since receiving the acknowledgement from Euraxess.**
- b) the integration of the C&C principles in the UAB strategy**
- c) the planned actions to improve policies and processes in next years (2017-2019)**

<http://www.uab.cat/en/euraxess>

## 1 Introduction

The Universitat Autònoma de Barcelona (UAB) is one of the major public universities of Spain. It is located in Bellaterra, close to Barcelona. Currently, the University offers 81 bachelor's degrees, covering a wide range of fields such as humanities and arts, social sciences, health sciences, technology and physical sciences. Furthermore, the UAB offers 143 official Master's degrees, as well as 8 Erasmus Mundus Master's degrees; more than 618 PhD dissertations have been elaborated within its doctoral programs. The University has over 37,800 students, almost 3,600 researchers and teaching staff, and it hosts more than 6,000 foreign students

The UAB is recognized internationally for its quality and innovation in research. It coordinates a potent scientific and technological campus (*Esfera UAB - UAB Sphere*), which comprises all the departments, science and technology services, research centres, institutes and university hospitals that are members of the UAB; promotes new business projects, directs and projects its productive activity towards its socio-economic surroundings, and disseminates newly acquired knowledge. The University is therefore a breeding ground for quality researchers and a centre for the dissemination of knowledge and technologies, and it plays a leading role in scientific research. Its main areas of investigation include Biotechnology and Biomedicine (including the vital contribution made through the clinical research carried out at associate hospitals), Animal Health, Food Technology and Safety, Environmental Sciences and Technology, Nanotechnology, Microelectronics, Material Science and Engineering, Computer Vision, Artificial Intelligence, Experimental Sciences, Social

Sciences, and research in Humanities. This wide range of disciplines integrated into a single area help to promote multi-disciplinary in research.

Regarding the UAB’s research activity, the following data stands out: 3,240 articles published in indexed journals (2014 Thompson Reuters WOK); 566 research agreements; 256 research national projects; 44 patents claimed (2014)- and 53 spin-off companies (2012) and new 9 companies (including 7 spin-offs during 2014).

UAB is committed to improve its Human Resources policies in line with the European Charter for Researchers and the Code of Conduct of the Recruitment of Researchers. In January 2012, the UAB [endorsed the C&C](#). In October 2012, the Universitat Autònoma de Barcelona joined the 4th Cohort of the HRS4R.

During 2013 and 2014, the Internal Analysis of the UAB was conducted by an interdisciplinary team, including meetings with members of the Governing Board, the Management Board, and researchers from all fields of knowledge.

The result of this task was the “UAB Gap Analysis and Action Plan”. **In December 2014, the UAB was acknowledged with the distinction “HR Excellence in Research”**. This reflects our commitment to continuously improve our human resources strategies in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, and our commitment to guarantee a supportive research environment implementing these principles into UAB policies.



## 2 Implementation of the Action Plan (2015-2016)

As result of the first Gap Analysis in 2014, several areas of improvement were identified and subsequently described in the first Action Plan, including the measures to be taken in next years. **In January 2015 started the implementation of such measures.**

Three sectorial workings groups (see Action 1) - coordinated by the responsible appointed by the Supervisory Committee - have assessed the relevant actions, revised implementation plans and schedules to elaborate the UAB-HRS4R Updated Action Plan for the next three years (2017-2019). Most of the proposed actions for 2015-2016 have been either fully or partially implemented, or are currently being implemented, as they are mid-term or long-term measures affecting strategic aspects of the institution. In fact, the implementation of C&C has generated an intense debate, especially in those aspects related with “selection and recruitment” (OTM-R), becoming, together with “the professional development”, the main topic of discussion in the focus groups and meetings.

To monitor the progress in the implementation of C&C principles, a **detailed revision of the Gap Analysis** has been carried out and it is included in this assessment. In the next table, the implementation of each principle is analysed (if they are fully or partially implemented) and there are suggestions for improvement or actions to be undertaken.

In addition, a specific working group for OTM-R issues was appointed during the 2016. This group has carried out an initial review of the current system: using the OTM-R checklist and a step-by-step guide (toolkit), as a self-assessment tool, a list of questions has been considered to determine the degree to which our current practices are OTM compliant and identify where improvements could be made. The results of this analysis will be incorporated in the development of a new UAB policy for recruitment and selection (see Updated Action Plan).



<b>European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: Updated Gap Analysis</b>			
<b>C&amp;C principle</b>	<b>Implementation</b>	<b>Existing national/regional legislation or institutional regulation</b>	<b>Initiatives already undertaken and/or suggestions for improvement</b>
<b>Ethical and Professional Aspects</b>			
1. Research freedom	<b>fully implemented</b>	<p>Implementation of this principle is supported by:</p> <p>Spanish Law ( 14/2011) of Science, Technology and Innovation</p> <p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	<p>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</p>
2. Ethical principles	<b>fully implemented</b>	<p>Spanish Law (14/2011) of Science, Technology and Innovation</p> <p>Spanish Law 4/2007, research on Biomedicine</p> <p>Spanish Law 15/1999 on personal data protection</p> <p>Spanish Law 1201/2005, Animal protection in experimentation</p> <p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p><i>UAB Animal and Human Experimentation Ethics</i></p>	<p>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.</p> <p>The procedures of the <i>UAB Animal and Human Experimentation Ethics Committee</i> (CEEAH), are being revised to facilitate their use online. A new website will be launched (September 2017)</p>

		<p>Committee (CEEAH), established in 1994.</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	
3. Professional responsibility	<b>fully implemented</b>	<p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	<p>This information is available to all the academic staff of the UAB. As UAB policy, from the academic year 2016/2017 these documents (including the C&amp;C) are supplied to pre-doctoral researchers during the “welcoming sessions”.</p>
4. Professional attitude	<b>fully implemented</b>	<p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	<p>This information is available to all the academic staff of the UAB. As UAB policy, from the academic year 2016/2017 these documents (including the C&amp;C) are supplied to pre-doctoral researchers during the “welcoming sessions”.</p>
5. Contractual and legal obligations	<b>fully implemented</b>	<p>Spanish Law 4/2007</p> <p>EU law for EC funded projects (as Marie S.Curie)</p> <p>Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)</p> <p>Guidelines for contracting temporary researchers for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>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 and some documents and web contents translated to English (this is an improvement included in the Updated Action Plan). For international researchers, the "International Welcome Point of the UAB" (<a href="http://www.uab.cat/web/mobility-international-exchange/mobility-international-exchange-programmes/international-welcome-point-1345671079656.html">http://www.uab.cat/web/mobility-international-exchange/mobility-international-exchange-programmes/international-welcome-point-1345671079656.html</a>) provides all information and support to foreigner researchers, for immigration issues and for visa processing. There is a "welcoming package" including practical and legal information required for the new employees to start working at the UAB as smoothly as possible.</p>
6. Accountability	<b>fully implemented</b>	<p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p>	<p>There are guidelines and a dedicated space in the intranet with the laws and regulations, and also specific support and advice, mainly for Ethical and Administrative accountability. The UAB has launched a new website with information on Transparency, Accountability, and Social</p>



			Responsibility ( <a href="http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility-1345688805397.html">http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility-1345688805397.html</a> )
7. Good practice in research	<b>fully implemented</b>	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)	This information is available to all the academic staff of the UAB. As UAB policy, from the academic year 2016/2017 these documents (including the C&C) are supplied to pre-doctoral researchers during the “welcoming sessions” A new website with the information for data protection and confidentiality protection requirements has been launched in 2015 ( <a href="http://www.uab.cat/web/research/open-access-uab/scientific-output-in-open-access-1345695205706.html">http://www.uab.cat/web/research/open-access-uab/scientific-output-in-open-access-1345695205706.html</a> ) The UAB has a Health and Safety Plan ( <a href="http://www.uab.cat/web/about-the-uab/itineraries/campus-sis/health-plan-1345668880624.html">http://www.uab.cat/web/about-the-uab/itineraries/campus-sis/health-plan-1345668880624.html</a> ), and when hired, all researchers have an introductory course about health and safety in the workplace.
8. Dissemination, exploitation of results	<b>fully implemented</b>	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 ( <a href="http://www.recerca.uab.es/journalmetrics/recomanacions.php">http://www.recerca.uab.es/journalmetrics/recomanacions.php</a> )	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 ( <a href="http://ddd.uab.es/?ln=en">http://ddd.uab.es/?ln=en</a> ). Promoted by the UAB_HRS4R strategy, the Intellectual Property and Open Access Website has been launched (05/10/2015) to provide information and procedures on intellectual property and open access, with the aim to support research activities at the university
9. Public engagement	<b>fully implemented</b>	Spanish Law (14/2011) of Science, Technology and Innovation	As a public university, the UAB is especially concerned about the public engagement of research. For this reason, the UAB has <b>the Observatory</b>

		<p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	<p><b>for Science Dissemination</b> (<a href="http://www.odc.cat/ca/inici.aspx">http://www.odc.cat/ca/inici.aspx</a>)</p> <p>There are two electronic magazines, one for Research (UAB Divulga) and one for Innovation (UAB Innova) and many activities to spread science to the society.</p> <p>Specific courses on RRI are currently being provided to the researchers as part of their training. In fact, the UAB is currently coordinating a Horizon2020 project (PERFORM), dealing with this issue, and which involves the collaboration of UAB's R1 and R2 researchers.</p>
10. Non discrimination	<b>fully implemented</b>	<p>Spanish Law 4/2007</p> <p>UAB Third Action Plan for the Equality (quadrennial 2013-2017) UAB Observatory for Equality</p>	<p>There is a strong commitment of the UAB against any form of discrimination. In this sense, the UAB Observatory for Equality was created in 2005. The Observatory has elaborated three plans on gender equality and one aimed at people with disabilities. All four plans have been introduced to and assessed by the Executive Governing Body, the Observatory's Advisory Council and social partners, and eventually, passed by the Governing Council. A new website has been launched during 2015. The website provides information about gender issues and non-discrimination issues, including a tool for "Gender Sensitive Research" in research projects.</p> <p>The main items of the Gender Sensitive Research are:</p> <ul style="list-style-type: none"> <li>• Gender equality in the composition of research teams.</li> <li>• Gender as a relevant dimension in all the stages of research: design, theoretical framework, methodology and techniques, data analysis, and dissemination of results</li> <li>• Take into account the interest and impact of the research on the individuals conceived as research subjects.</li> <li>• Give voice to the experiences of women and minoritised social sectors, to facilitate social empowerment.</li> </ul>

11. Evaluation/ appraisal systems	<b>fully implemented</b>	<p>Spanish Law 63/2006</p> <p>Spanish Law CIN/2657/2008, <a href="https://sede.educacion.gob.es/catalogo-tramites/organismos/senixios-cneai">https://sede.educacion.gob.es/catalogo-tramites/organismos/senixios-cneai</a></p> <p>Spanish Law 1052/2002</p> <p>Guidelines for the evaluation of the academic activity of the Universitat Autònoma de Barcelona. Approved by the Government Council (14/03/2012)</p>	<p>There are national and regional systems of evaluation for permanent and contracted researchers (R2,R3,R4), and in addition, there is one guideline “UAB guidelines for the evaluation of the academic activity”. Also there is an indicator-based system to monitor research performance at the UAB, from faculties to individual researchers.</p> <p>R1 researchers are yearly evaluated by a Doctoral Programme’s Academic Committee, in which a committee of three senior researchers evaluates the progress of the research plan.</p>
<p><b>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.</b></p>			
12. Recruitment	<b>partially implemented</b>	<p>Spanish Law (1312/2007)</p> <p>Spanish Law (1313/2007)</p> <p>UAB Manual for contracting temporary staff for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers and tenure-track positions) with strict rules and procedures.</p> <p>For temporary researchers, there is a UAB guidelines describing all the procedures to be followed.</p> <p>Currently, and to ensure that recruitment and selection practices are carried out according Charter&amp;Code, procedures are being modified:</p> <ul style="list-style-type: none"> <li>- Researchers jobs vacancies will be automatically published internationally</li> <li>- A report of the process and criteria of selection will be mandatory, including a feedback to the applicants selected and</li> </ul>

			<p>non-selected.</p> <p><b>These two rules are expected to be approved in the first semester of 2017. They will be included in a new policy which is expected to be approved in the second semester of 2018</b></p>
13. Recruitment (Code)	<b>partially implemented</b>	<p>Spanish Law (1312/2007)</p> <p>Spanish Law (1313/2007)</p> <p>UAB Manual for contracting temporary staff for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers). For temporary researchers, there is a UAB guidelines describing all the procedures to be followed.</p> <p>Currently, and to ensure that recruitment and selection practices are carried out according Charter&amp;Code, procedures are being modified:</p> <ul style="list-style-type: none"> <li>- Researchers jobs vacancies are automatically published internationally</li> <li>- A report of the process and criteria of selection is mandatory</li> </ul> <p><b>The UAB is implementing the use of e-tools to facilitate the application of candidates and the selection process. This tool will be available during the 2nd quarter of 2017.</b></p>
14. Selection (Code)	<b>partially implemented</b>	<p>Spanish Law (1312/2007)</p> <p>Spanish Law (1313/2007)</p> <p>Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)</p> <p>Guidelines for contracting temporary researchers for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers). For temporary researchers, there is a UAB guidelines describing all the procedures to be followed.</p> <p>Currently, and to ensure that recruitment and selection practices are carried out according Charter&amp;Code, procedures are being modified (see principle 12)</p> <p>The UAB is also implementing the use of e-tools to facilitate the application of candidates and the selection process.</p> <p>Concerning the selection committees, there are clear rules for permanent staff, but not for temporary staff. This is an initiative to be implemented.</p>

			<b>The new policy on recruitment and selection will include specific rules to define functions and composition of selection committees. (4<sup>th</sup> quarter of 2018).</b>
15. Transparency (Code)	<b>partially implemented</b>	<p>Spanish Law (1312/2007)</p> <p>Spanish Law (1313/2007)</p> <p>Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)</p> <p>Guidelines for contracting temporary researchers for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers). For temporary researchers, there is a UAB guidelines describing all the procedures to be followed, with clear information about the conditions and requirements for each job application</p> <p>As stated in principle 12, and to ensure that recruitment and selection practices are carried out according Charter&amp;Code, procedures are being modified:</p> <ul style="list-style-type: none"> <li>- A report of the process and criteria of selection will be mandatory, including a feedback to the applicants selected and non-selected.</li> </ul> <p><b>This procedure is expected to be approved in the 2<sup>nd</sup> quarter of 2017. It will be included in a new policy which is expected to be approved in the 4<sup>th</sup> quarter of 2018.</b></p>
16. Judging merit (Code)	<b>partially implemented</b>	<p>Spanish Law (1312/2007)</p> <p>Spanish Law (1313/2007)</p> <p>Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)</p> <p>Guidelines for contracting temporary researchers for projects and research agreements</p> <p>Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers and tenure track positions), clearly describing and establishing the criteria for academic positions.</p> <p>For temporary researchers, there is a UAB guidelines describing all the procedures to be followed including regulations and recommendations to judge the whole range of achievements, competences and experience of the candidates.</p> <p>However, it should be emphasized and included in the new policy for recruitment and selection.</p> <p><b>This new policy is expected to be approved in the 4<sup>th</sup> quarter of 2018.</b></p>

<p>17. Variations in the chronological order of CVs (Code)</p>	<p><b>fully implemented</b></p>	<p>Spanish Law (1312/2007)                  Spanish Law (1313/2007)                  Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)                  Guidelines for contracting temporary researchers for projects and research agreements                  Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there is a UAB guidelines. In this context, career breaks are not penalised.</p>
<p>18. Recognition of mobility experience (Code)</p>	<p><b>fully implemented</b></p>	<p>Spanish Law (1312/2007)                  Spanish Law (1313/2007)                  Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)                  Guidelines for contracting temporary researchers for projects and research agreements                  Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there is a UAB guidelines.                  In the UAB's offers of employment for researchers, mobility is not only recognized, but it is mandatory (in the case of postdoctoral positions a minimum of two years of international mobility is required).</p>
<p>19. Recognition of qualifications (Code)</p>	<p><b>fully implemented</b></p>	<p>Spanish Law (1312/2007)                  Spanish Law (1313/2007)                  Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)                  Guidelines for contracting temporary researchers for projects and research agreements                  Guidelines for contracting temporary technical staff for projects and research agreements</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers and tenure track positions), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there is a UAB guidelines. Members of the selection committee are appointed according to their capacity to assess the qualifications of the applicants. If there is any doubt about the recognition of qualifications, the "Office of Academic Affairs" and the "Secretary of the Doctoral School" takes the responsibility to examine these qualifications through all the available channels.</p>
<p>20. Seniority (Code)</p>	<p><b>fully implemented</b></p>	<p>Spanish Law (1312/2007)                  Spanish Law (1313/2007)                  Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014)</p>	<p>There are national and regional systems of selection and recruitment (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions.                  For temporary researchers, there is a UAB guidelines. In no case seniority <i>per se</i> is taken into account, nor for or against. Which is judged is the lifelong professional development.</p>

		Guidelines for contracting temporary researchers for projects and research agreements Guidelines for contracting temporary technical staff for projects and research agreements	
21. Postdoctoral appointments (Code)	<b>fully implemented</b>	Spanish Law (1312/2007) Spanish Law (1313/2007) Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 05/03/2014) Guidelines for contracting temporary researchers for projects and research agreements Guidelines for contracting temporary technical staff for projects and research agreements	There are national and regional systems of selection and recruitment for postdoctoral positions clearly describing and establishing the criteria of selection.
<b>Working Conditions and Social Security</b>			
22. Recognition of the profession	<b>fully implemented</b>	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
23. Research environment	<b>fully implemented</b>	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 (there is a mandatory seminar for newcomers to the UAB). In addition, there is a Biosecurity Committee (established in 2003) as a response to the need to regulate and improve the management of biological risk at the UAB.

24. Working conditions	<b>fully implemented</b>	Spanish Law (70/2000) Spanish Law ( 14/2011) of Science, Technology and Innovation Spanish Law (7/2007) Catalonian Law DOGC 4821 Catalonian Law (1/2003) 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 strict following up these issues.
25. Stability and permanence of employment	<b>fully implemented</b>	Spanish Law (70/2000) Spanish Law ( 14/2011) of Science, Technology and Innovation Spanish Law (7/2007) Catalonian Law DOGC 4821 Catalonian Law (1/2003) 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 strict following up these issues.
26. Funding and salaries	<b>fully implemented</b>	Spanish Law (70/2000) Spanish Law ( 14/2011) of Science, Technology and Innovation Spanish Law (7/2007) Catalonian Law DOGC 4821 Catalonian Law (1/2003) 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 strict following up these issues.
27. Gender balance	<b>fully implemented</b>	UAB Third Action Plan for the Equality (quadrennial 2013-2017) UAB Observatory for Equality ( <a href="http://www.uab.cat/web/observatory-for-equality-uab-1345697907214.html">http://www.uab.cat/web/observatory-for-equality-uab-1345697907214.html</a> )	There is a strong commitment of the UAB against any form of discrimination. In this sense, the UAB Observatory for Equality was created in 2005. The Observatory has elaborated three plans on gender equality and one aimed at people with disabilities. All four plans have been introduced to and assessed by the Executive Governing Body, the



		<p>UAB Social Responsibility  <a href="http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility/introduction-1345688821755.html">http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility/introduction-1345688821755.html</a></p>	<p>Observatory's Advisory Council and social partners, and eventually, passed by the Governing Council.          A new website has been launched during 2015. The website provides information about gender issues and non-discrimination issues, including a tool for "Gender Sensitive Research" in research projects.          The main items of the Gender Sensitive Research are:</p> <ul style="list-style-type: none"> <li>• Gender equality in the composition of research teams.</li> <li>• Gender as a relevant dimension in all the stages of research: design, theoretical framework, methodology and techniques, data analysis, and dissemination of results</li> <li>• Take into account the interest and impact of the research on the individuals conceived as research subjects.</li> <li>• Give voice to the experiences of women and minoritised social sectors, to facilitate social empowerment.</li> </ul>
28. Career development	<b>partially</b> implemented	<p>Code of Good Practices of Research (Governing Council, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council, 30/01/2013)</p>	<p>This issue is well developed in the PhD researchers. All PhD programmes include research training that is both transferrable and specific to the area of each programme and consists of both compulsory and optional activities.          Both obligatory and transversal activities chosen by the student, on the recommendation of their supervisor may be taken during the process up to the defence of the doctoral thesis.          Currently the UAB is completing a pilot programme on Researchers Professional Development (RPD), involving researchers from all stages, from R1 to R4. The programme will include courses, seminars and conferences, as well as personalized advice and counselling.  <b>This programme will be launched in the 2nd quarter of 2017. However, a revision of the researcher's career model at the UAB, including new policies, is in the roadmap and is expected to be approved in the 2nd quarter 2019.</b></p>
29. Value of mobility	<b>fully</b> implemented	<p>Code of Good Practices of Research (Governing Council,</p>	<p>UAB researchers are encouraged to participate in mobility, facilitating all the academic (teaching obligations) and administrative burden, and providing travel grants and funds.</p>

		30/01/2013)	
30. Access to career advice	<b>partially</b> implemented	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. Currently the UAB is completing a pilot programme on Researchers Professional Development (RPD), involving researchers from all stages, from R1 to R4. The programme will include courses, seminars and conferences, as well as personalized advice and counselling for career development and to increase employability.  <b>Tools or service to provide advice and counselling to researchers (2nd quarter 2018)</b> <b>Provision of tools to increase employability (4th quarter 2017)</b>
31. Intellectual Property Rights	<b>fully</b> implemented	Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)  UAB Open Access ( <a href="http://www.uab.cat/web/research/open-access-uab/scientific-output-in-open-access-1345695205706.html">http://www.uab.cat/web/research/open-access-uab/scientific-output-in-open-access-1345695205706.html</a> ) Research Valorisation & Patents: ( <a href="http://www.uab.cat/web/research/itineraries/innovation-knowledge-transfer-business/whats-is-the-research-valorisation-1345667277595.html">http://www.uab.cat/web/research/itineraries/innovation-knowledge-transfer-business/whats-is-the-research-valorisation-1345667277595.html</a> )	The Intellectual Property and Open Access website: as part of UAB_HRS4R strategy, a new website has been launched (05/10/2015) on intellectual property and open access, with the aim to support research activities at the university. In the same way, 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.
32. Co-authorship	<b>fully</b> implemented	Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)	This information is available to all the academic staff of the UAB. As UAB policy, from the academic year 2016/2017 these documents (including the C&C) are supplied to pre-doctoral researchers during the "welcoming sessions"

33. Teaching	<b>fully implemented</b>	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)	Teaching activities are strictly regulated by law and there is an Individual Teaching Plan for the academic staff. Early stage researchers (R1) and post-docs (R2) are encouraged to have teaching experience as <i>Teaching Assistants</i> .
34. Complains/ appeals	<b>fully implemented</b>	Regulatory framework of the Ombudsman (approved by the General Assembly of the UAB on 20 December 2011)	The Ombuds Officer of the UAB responsibilities are to receive the complaints and observations made on the functioning of the university, to guarantee the abidance of all that which is laid down in the UAB Statutes, and to present non-binding resolution proposals to the competent bodies on issues submitted to them by the members of the university community. Personal data and all other information, whether spoken or written, received by the Ombuds Office from persons requesting assistance, as well as those obtained during the investigation process, and in general all documents compiled in each case, will be treated with strict confidentiality. The activity of the Ombudsman is yearly reported to the UAB community. ( <a href="http://www.uab.cat/web/about-the-uab/governing-and-representative-bodies/ombuds-officer-1345667138422.html">http://www.uab.cat/web/about-the-uab/governing-and-representative-bodies/ombuds-officer-1345667138422.html</a> )
35. Participation in decision-making bodies	<b>fully implemented</b>	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)	Researchers are represented in the relevant bodies (information, consultation and decision-making bodies) of the institution <ul style="list-style-type: none"> <li>• Senate</li> <li>• Governing Council</li> <li>• Departmental Bodies (Faculty/School Board, Department Board)</li> <li>• Social Council.</li> </ul>
<b>Training and Development</b>			

36. Relation with supervisors	<b>fully implemented</b>	Code of Good Practices of the UAB Doctoral School (approved by the Governing Council of the UAB, 30/01/2013)	<p>Early Stage Researchers' Supervisors have the obligation to plan regular meetings and to be able to accredit the frequency of the meetings (written reports, messages, minutes, handwritten papers etc). They advise the trainees on the research in general and the performance of their project in particular, and facilitate participation in the specific and transferrable training activities.</p> <p>In the case of PhD, each academic year the doctoral programme's academic committee organises a review, in which a committee of three PhD holders evaluates the progress of their research plan and activities document, and a report from their thesis supervisor (including a report on whether they have, at least, kept to the agreed number of meetings with their supervisor and whether they have carried out the study activities scheduled for that academic year).</p>
37. Supervision and managerial duties	<b>Partially implemented</b>	<p>Spanish Law: RD 99/2011</p> <p>Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)</p>	<p>Assuming the multifaceted role of senior researchers in the university, the UAB is implementing a "Researchers Development Program" to provide the skills and competencies required for these activities.</p> <p><b>This programme will be launched in the 2<sup>nd</sup> quarter of 2017. However, specific actions for R3 and R4 will start at 4<sup>th</sup> quarter of 2018.</b></p>
38. Continuing Professional Development	<b>Partially implemented</b>	<p>Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)</p>	<p>Researchers must be equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment. A lot of the 'professional development' involve research activities, but it is also important to think about other areas beyond the research itself, as teaching experience, management skills, communication skills, leadership, etc.</p> <p>To provide this training, the UAB is implementing a "Researchers Development Program", including a Teacher Training Plan which aims to provide UAB lecturers with a variety of tools and resources to help them implement innovation initiatives and to improve the quality of their teaching.</p>

			<p>In this program, all members of the research community will have access to a range of activities designed to provide support, knowledge, skills, tools and pathways to help on the professional and personal development.</p> <p>There will be also training activities for specific groups, for example higher degree by research candidates, mid-career researchers and research supervisors.</p> <p><b>This programme will be launched in the 2<sup>nd</sup> quarter of 2017. However, specific actions for R3 and R4 will start at 4<sup>th</sup> quarter of 2018.</b></p>
39. Access to research training and continuous development	<b>Partially implemented</b>	<p>Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)</p>	<p>Researchers must be equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment. A lot of the 'professional development' involve research activities, but it is also important to think about other areas beyond the research itself, as teaching experience, management skills, communication skills, leadership, etc.</p> <p>To provide this training, the UAB is implementing a “Researchers Development Program”, including a Teacher Training Plan which aims to provide UAB lecturers with a variety of tools and resources to help them implement innovation initiatives and to improve the quality of their teaching.</p> <p>In this program, all members of the research community will have access to a range of activities designed to provide support, knowledge, skills, tools and pathways to help on the professional and personal development.</p> <p>There will be also training activities for specific groups, for example higher degree by research candidates, mid-career researchers and research supervisors.</p> <p><b>This programme will be launched in the 2<sup>nd</sup> quarter of 2017. However, specific actions for R3 and R4 will start at 4<sup>th</sup> quarter of 2018.</b></p>
40. Supervision	<b>Partially implemented</b>	Spanish Law: RD 99/2011	<p>A qualified and experienced research is appointed by the Department to supervise the research activities of Early Stage Researchers. However, and assuming not all researchers have the adequate competencies, the UAB is</p>

		<p>Code of Good Practices of Research (Governing Council of the UAB, 30/01/2013)</p> <p>Code of Good Practices of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)</p>	<p>implementing a “Researchers Development Program” to provide the skills and competencies required for these activities.</p> <p><b>This programme will be launched in the 2<sup>nd</sup> quarter of 2017. However, specific actions for R3 and R4 will start at 4<sup>th</sup> quarter of 2018.</b></p>
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<b>Annex: Open, Transparent and Merit-based Recruitment Check-list</b>					
<i>OTM-R checklist for organisations</i>					
	<b>Open</b>	<b>Trans- parent</b>	<b>Merit- based</b>	<b>Answer:</b> ++ <i>Yes, completely</i> +/- <i>Yes, substantially</i> -/+ <i>Yes, partially</i> -- <i>No</i>	<b>Suggested indicators (or form of measurement)</b>
<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	-/+ <i>Yes, partially</i>	[web link] The UAB-HRS4R website ( <a href="http://www.uab.cat/en/euraxess">http://www.uab.cat/en/euraxess</a> ) is available to UAB community. This website gathers information about OTM-R, Charter and Code, and all kind of information related to the career development for researchers. Include Intranet links with the information about recruitment (Open and Transparent). Currently the guidelines is in national language, not in English. A <b>working group</b> has been organized to review the current UAB recruitment system and to design the new OTM-R policy applicable to all kind of job vacancies offer in UAB.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/- <i>Yes, substantially</i>	There are clear procedures only for permanent researchers. For temporary researchers, there is a handbook with the procedures to be followed.  However, there is a need to increase the awareness and ensure that recruitment and selection practices are carried out according to OTM-R procedures. The working group is working in a common OTM-R policy to all kind of UAB' job vacancies  [Date of latest update; ensure that it is sent to all staff]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+ <i>Yes, partially</i>	Specific informative sessions have been conducted in 2016 about Euraxess and OTM-R procedures with key actors. Several focus groups in OTM-R procedures will be conducted

					<p>during 2017., with the aim to train in OTM-R procedures different staff involved in the recruitment procedures.</p> <ul style="list-style-type: none"> <li>• Researchers (R4-R3)</li> <li>• Financial and project managers</li> <li>• HRRR staff</li> </ul> <p>- Existence of training programmes for OTM-R - Number of staff following training in OTM-R</p>
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	<b>+/-Yes, substantially</b>	<p>It is expected that the <b>Nexus platform</b> (e-recruitment tool) fully operates with all UAB' vacancies by the end of 2017</p> <p><b>Nexus platform</b> : number of applications</p>
5. Do we have a quality control system for OTM-R in place?	x			<b>-/+ Yes, partially</b>	<p>Once the OTM R policy is running, the organization and planning unit will be in charge to monitor and control the OTM-R process in place.</p>
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	<b>+/-Yes, substantially</b>	<p>There has been a large increase in international advertisement of vacancies. It is planned to establish a mechanism to automatically advertise in Euraxess portal the UAB's job vacancies (2017)</p> <p>Trend in the share of applicants from outside the organisation</p>
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	<b>++ Yes, completely</b>	<p>Trend in the share of applicants from abroad</p>
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	<b>++ Yes, completely</b>	<p>This is one of the objectives of the <b>UAB's Observatory for Equality, which will participate in the preparation of the new UAB OTM-R policy.</b></p> <p>Trend in the share of applicants among underrepresented groups (frequently women)</p>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	<b>++ Yes, completely</b>	<p>Trend in the share of applicants from outside the organisation</p>
10. Do we have means to monitor whether the most suitable researchers apply?				<b>+/-Yes, substantially</b>	<p>National and international advertisement of vacancies (specific tools other than Euraxess Jobs), ensure the</p>

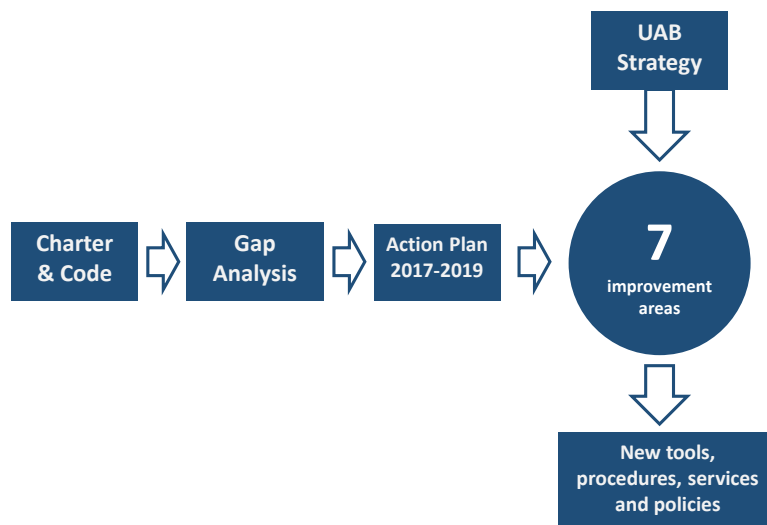


					application of the most suitable researchers, (but currently there is not a monitor system in place to check it)
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		<b>+/-Yes, substantially</b>	There are clear guidelines only for permanent vacancies established by national rules. The HHRR office is actually working on different templates and guidelines for the advertisement of different positions in Spanish and English
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		<b>+/-Yes, substantially</b>	Most of the sections suggested by OTM-R are included in the job advertisement
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		<b>++ Yes, completely</b>	- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x		<b>++ Yes, completely</b>	Yes, for positions of some knowledge fields with a very specific experience or qualification
15. Do we keep the administrative burden to a minimum for the candidate?	x			<b>+/-Yes, substantially</b>	The new e-recruitment & selection tools will facilitate this point
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees?		x	x	<b>+/-Yes, substantially</b>	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy will include detailed rules for the appointment of selection committees Statistics on the composition of panels
17. Do we have clear rules concerning the composition of selection committees?		x	x	<b>+/-Yes, substantially</b>	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy will include detailed rules concerning the composition of selection committees  Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x	<b>-/+ Yes, partially</b>	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy will include detailed rules for the composition (including gender-balance) of selection committees

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	<b>+/-Yes, substantially</b>	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy will include detailed rules to help to judge merits.  Written guidelines
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		<b>++ Yes, completely</b>	
21. Do we provide adequate feedback to interviewees?		x		<b>+/-Yes, substantially</b>	There are clear guidelines for permanent positions established by national rules. For temporary positions, there is an internal rule by should be updated
22. Do we have an appropriate complaints mechanism in place?		x		<b>++ Yes, completely</b>	There are clear guidelines for permanent positions established by national rules. For temporary positions, there is a UAB rule, giving to the applicant ten working days for complaints. Statistics on complaints
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				<b>+/-Yes, substantially</b>	A <b>working group</b> has been organized to review the current UAB recruitment system and to design the new OTM-R policy applicable to all kind of job vacancies offer in UAB. The working group is constituted by: <ul style="list-style-type: none"> <li>• Strategic Projects Unit</li> <li>• HRR office</li> <li>• Organization and Planning Area</li> </ul>

### 3 Updated Action Plan (2017-2019)

As has been stated in the previous table, during the development of the Action Plan 2015-2016, new challenges and actions have been identified. The UAB is currently facing some major organizational changes, and **these actions for the updated Action Plan must be embedded in the framework of the institutional strategy.** Consequently, to ensure that the actions for the implementation of the C&C principles are fully integrated in the UAB strategic lines for the next years, they have been arranged in seven areas of application:



The seven improvement areas are:

- Area 1: Monitoring
- Area 2: Quality Review of Key Documents
- Area 3: Document Repository
- Area 4: C&C Dissemination
- Area 5: Recruitment and Selection
- Area 6: Career Development
- Area 7: Training

A detailed analysis of these areas is presented in the next section. It is composed by different descriptors: progress done in the last two years (2015-2016), the C&C principles affected on each area, detected weaknesses, actions proposed for the next period, timeline, responsible of the actions, and indicators of progress.

**Area 1. Monitoring**

**Description of the progress**

To follow-up the implementation of the Action Plan, there were defined some functional structures:

- a) *The Supervisory Committee*, composed by:
  - Vicerector for Research and Transfer
  - Vicerector for Innovation and Strategic Projects
  - Deputy Executive Administrator for Research

The Supervisory Committee appointed Dr. X. Arino, Head of Strategic Projects, as responsible to lead the implementation of the Action Plan (Coordinator of UAB-Hrs4R project) In addition to the coordination of the planned actions, three specific working groups were formed:

  - b) *WG for the Researchers Training Program*, composed by personnel from the following units: Strategic Projects, Human Resources, Research Management, Doctoral School, Language Services, Ethics Committee, UAB- Research Park, Teaching Quality Office, Researchers (R4-R3-R2) and Early Stage Researchers (R1)
  - c) *WG for the Improvement of R&I Processes*, composed by personnel from the following units: Strategic Projects, Research Management, Financial Management, Human Resources, Faculty/School Administration, and Researchers (R3-R4)
  - d) *WG for the OTM R*, composed by personnel from the following units: Strategic Projects, Organization and Planning, Human Resources, Research Management. This group was not previously planned, and was established at the beginning of 2016 as consequence of the Euraxess publication of OTM-R policy.

Affected C&C principles	Current weaknesses
All principles	There are no weaknesses detected. The governance and the structure of working groups provides a framework for a proper project management and monitoring.

Updated Actions Planned (2017 -2019)
This system will be maintained throughout the implementation of C&C.

Timeline	Responsible						
Action 1. Governance and working groups <table border="1" style="margin-left: 40px;"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td style="background-color: #004a7c; height: 20px;"></td> <td style="background-color: #004a7c; height: 20px;"></td> <td style="background-color: #004a7c; height: 20px;"></td> </tr> </tbody> </table>	2017	2018	2019				Supervisory Committee and Coordinator of UAB-HRS4R project
2017	2018	2019					

**Indicators**

## Number of Meetings:

- Supervisory Committee (**3 meetings**): annual meeting (27/05/2015, 21/07/2016) and final assessment meeting (19/12/2016)
- Researchers Training Program (**7 meetings**): (27/03/2015, 19/05/2015, 20/07/2015, 20/10/2015, 20/4/2016, 22/09/2016, 09/11/2016)
- R&I process (**4 meetings**): (20/11/2015, 29/05/2016, 17/11/2016; 1/12/2016)
- OTM-R Group (**3 meetings**): (25/07/2016, 6/10/2016, 22/11/2016)

## Area 2. Quality review of documents

### Description of the progress

There were many documents and processes guidelines affecting relevant issues for researchers, which should be reviewed, updated and some of them translated to English.

As a result, there have been either updated or approved the following documents:

- Code of Good Practice in Research (translated and published)
- Doctoral School Good practices (translated and published)
- UAB's Ethics & Experimentation Committee (website)
- UAB's Observatory for Equality (web updated and re-designed)
- Public Engagement (new website)
- Intellectual Property and Open Access (new website and services)
- UAB-Researcher Development Program (Internal document, is the conceptual framework for the Actions 6 and 7)
- UAB's Handbook for hiring temporary staff (updated, only available in the intranet, in Catalan and Spanish)
- New Employee Handbook (updated, but only available in Catalan and Spanish)

It must be stated that substantial effort has been devoted to improve

- a) the information available on the website, external and internal, and
- b) the accessibility to issues of interest for researchers.

As consequence, some sections from our website have been reviewed in depth:

- According to the UAB\_HRS4R strategy, a new website has been launched (05/10/2015) **on intellectual property and open access**, with the aim to support research activities at the university. <http://www.uab.cat/web/research/open-access-uab/scientific-output-in-open-access-1345695205706.html>

The Intellectual Property and Open Access website aims to resolve any doubts concerning writing and publishing teaching materials, publishing scientific production in the Digital Document Repository (DDD), open-access publication of final documents from funded projects, open-access publication of primary research data, registering and publishing doctoral theses, requirements for using digital resources (licences), open-access licences (Creative Commons), or publishing articles and books through the university's Publishing Service.

Addressed to members of the UAB community, mainly teaching and research staff and trainee researchers, the site offers support from different units of the university: the Area of Information Systems Planning, the School of Doctoral Studies, the Legal Office, the Area of Research Management, the Library Service and the Publishing Service. Through a set of frequently asked questions (FAQ), the new site provides guidelines on intellectual

property and open access matters, which in no way should be regarded as legal counsel on the part of the UAB.

There are three ways to search for information on aspects of intellectual property and open access: by directly writing the question in Catalan in the search box, by browsing through the topics on the home page, or by using the form at the bottom of the page. The first two search options require the use of Catalan, but queries can be submitted in Spanish or English when using the form.

In addition, the site's users can consult Spanish and EU legislation, international treaties and the UAB's own regulations.

- During 2015 and early 2016, two other web sections have been updated and re-designed, emphasizing the role of these sections as reference for **RRI (Responsible Research & Innovation)** issues:
  - UAB's Observatory for Equality <http://www.uab.cat/web/the-observatory-research-groups-institute-and-centers-at-uab-1345697880120.html>
  - Corporate Social Responsibility: <http://www.uab.cat/web/about-the-uab/university-social-responsibility/introduction-1345688821755.html>
- After the creation of the Doctoral School at the end of 2014, the website has been launched during the 2015 and new materials have been progressively included. <http://www.uab.cat/web/study-abroad/phds/all-phd-programmes-1345666995270.html>

During the implementation of this action, the coordinator of UAB-HRS4R project evidenced that **a thorough revision of Ethics procedures was required**. The webpage of the Ethic & Experimentation Committee is currently (end of 2016) being re-designed, including new e-forms and easier procedures in order contribute to the continuous improvement and to guarantee that all research projects are fulfilling the ethical requirements of the UAB research (dealing with animal experimentation, human beings and personal data). This is a new task expected to be fully operational during the **second semester of 2017**.

Affected C&C principles	Current weaknesses
All	Main weakness related with the availability of documents and web content in English.

**Updated Actions Planned (2017 -2019)**

**Development of a UAB policy** to systematically support the publication in the institutional website of all relevant information in Catalan, Spanish and English and, if possible, in open access.

Revision of institutional webpages/sites, to ensure they fulfil the quality requirements. In particular, the webpage of the Ethics & Experimentation Committee.

Timeline	Responsible						
<p>Action 2.1: Review and translation of relevant documents. It is an activity for all the period</p> <table border="1" data-bbox="397 669 778 772"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td style="background-color: #004a7c;"></td> <td style="background-color: #004a7c;"></td> <td style="background-color: #004a7c;"></td> </tr> </tbody> </table>	2017	2018	2019				<p>Coordinator of UAB-HRS4R project</p>
2017	2018	2019					
<p>Action 2.2: Update and re-design “Ethics Website”</p> <table border="1" data-bbox="397 907 778 1010"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td style="background-color: #004a7c;"></td> <td></td> <td></td> </tr> </tbody> </table>	2017	2018	2019				<p>Director of Ethics and Experimentation Committee</p>
2017	2018	2019					

**Indicators**

Number of documents reviewed/translated: **9**

New web sections modified/created: **4**



### Area 3. Digital Document Repository

#### Description of the progress

This action is addressed to facilitate to researchers and research managers, the access to relevant institutional documents and websites concerning C&C principles.

The UAB-HRS4R website is in Catalan (<http://www.uab.cat/ca/euraxess>) and in English (<http://www.uab.cat/en/euraxess>) and is being continuously updated. It holds documents and links to other UAB webpages (some of them are links to the intranet, containing templates and documents or access to restricted data) or external links. In addition, there are some relevant information and news (e.g., Art.32 of Horizon2020 Grant Agreements).

Initially it was strictly conceived as a repository, but it is **becoming the institutional reference for the issues concerning the implementation of the C&C principles and a useful tool for disseminating the UAB-HRS4R project and the Euraxess initiative.**

This action is perfectly aligned with institutional policies to create an excellent environment for researchers, boosting mobility and talent attraction, and to promote Responsible Research and Innovation (RRI) and University Social Responsibility (<http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility/introduction-1345688821755.html> ).

During the last year, the number of unique visitors to UAB-HRS4R website has increased notably (especially of the English version), which indicates that is becoming a reference

C&C principles	Current weaknesses
All	Improve usability (user-centred approach) and the quality of some contents

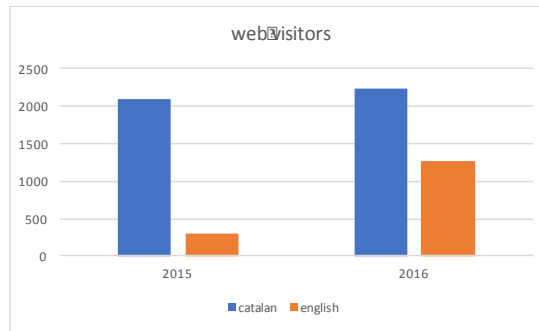
#### Updated Actions Planned (2017 -2019)

Updating and maintenance of the UAB-HRS4R website.

Timeline	Responsible						
Action 3. Updating the website/repository is an activity for all the period <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #004a7c;"></td> <td style="background-color: #004a7c;"></td> <td style="background-color: #004a7c;"></td> </tr> </tbody> </table>	17	18	19				Coordinator of UAB-HRS4R project
17	18	19					

**Indicators**

Number of unique web visitors:



## Area 4. Dissemination & Consultation

### Description of the progress

The main goal of this action is to involve the UAB community into the UAB-HRS4R, and increase the number of researchers and research managers, who are aware of the C&C principles and the consequences of their implementation in the UAB. Consequently, dissemination and consultation has been considered in three ways:

#### **Type 1: Understanding the C&C**

There are a few groups that require to be targeted directly, because they are affected from the project implementation. Their opinion and contribution are crucial in the process, and several meetings and groups of discussion have been carried out to deal with specific issues.

There are two main levels:

- a) senior researchers: Department Directors and project's Principal Investigators (PI), they are relevant actors in spreading the C&C
- b) pre-doc and junior post-doc.

#### **Type 2: Awareness of C&C**

General sessions of dissemination: the UAB community as a whole should be aware of the project. This non-specific strategy is useful to provide a general knowledge of the project.

#### **Type 3: Action**

In this case, the concept of "action" refers to a change of practice or processes resulting from the implementation of this project. Some collectives (project managers, administrators) need to be equipped with the right information and the understanding of the project, as they have to apply new processes in their work in order to achieve real change.

The specific website of UAB-HRS4R which was initially created as a repository of information, has become a powerful dissemination tool (see Action 3). The website collects and promotes the activities carried out as well as links to other initiatives and training materials.

There have also been UAB-HRS4R project presentations at meetings, events, and orienteering days organized by Doctoral School and the International Projects Office. After a pilot experience in 2016, from the 2017 on, the Doctoral School will incorporate in the yearly welcome session (for new R1) the dissemination of the C&C and the Euraxess initiative. In 2016 this activity had an audience of approximately 400 people (mostly pre-doctoral researchers in their first year and some supervisors too).

It is foreseen a general survey for all UAB researchers in 2018, to gather information about the degree of knowledge of the C&C and the implementation of its principles in our institution.

C&C principles	Current weaknesses
All	One the main difficulties is to reach and engage in the process UAB dispersed researchers and staff (working in other facilities as hospitals or UAB linked centres). A special effort to get this group will be the next objective of this action.

Updated Actions Planned (2017 -2019)
<p>The dissemination campaign will follow for the next period (2017-2019) with special attention to the UAB researchers working in facilities or centres not located at our campus.</p> <p>To gather information about the level of knowledge of C&amp;C and receive suggestions about the implementation of new measures, a general survey to the research community is planned for the first semester of 2018.</p>

Timeline	Responsible						
<p>Action 4.1: Dissemination and Consultation: is an activity for all the period</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> </tr> </tbody> </table>	2017	2018	2019				Coordinator of UAB-HRS4R project
2017	2018	2019					
<p>Action 4.2: General Survey to UAB researchers</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td></td> <td style="background-color: #003366;"></td> <td></td> </tr> </tbody> </table>	2017	2018	2019				Supervisory Board and Coordinator of UAB-HRS4R project
2017	2018	2019					

Indicators																																
<p>Number of activities of dissemination and consultation</p> <p>2015: 5 2016: 6</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Date</th> <th>Type</th> <th>Attendants Profile</th> <th>Number attendants</th> </tr> </thead> <tbody> <tr> <td>4/3/2015</td> <td>2</td> <td>R1,R2, R3, R4</td> <td>20</td> </tr> <tr> <td>21/4/2015</td> <td>2</td> <td>R1,R2, R3, R4</td> <td>67</td> </tr> <tr> <td>29/5/2015</td> <td>1</td> <td>R4</td> <td>11</td> </tr> <tr> <td>2/06/2015</td> <td>1</td> <td>R4</td> <td>20</td> </tr> <tr> <td>14/07/2015</td> <td>3</td> <td>managers/administrators</td> <td>60</td> </tr> <tr> <td>14/03/2016</td> <td>3</td> <td>managers/R4</td> <td>5</td> </tr> <tr> <td>24/05/2016</td> <td>2</td> <td>R1,R2, R3, R4</td> <td>78</td> </tr> </tbody> </table>	Date	Type	Attendants Profile	Number attendants	4/3/2015	2	R1,R2, R3, R4	20	21/4/2015	2	R1,R2, R3, R4	67	29/5/2015	1	R4	11	2/06/2015	1	R4	20	14/07/2015	3	managers/administrators	60	14/03/2016	3	managers/R4	5	24/05/2016	2	R1,R2, R3, R4	78
Date	Type	Attendants Profile	Number attendants																													
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2/06/2016	2	R1	120
8/06/2016	2	R1, R2, R3, R4, managers	80
15/06/2016	1	managers/R2,R3,R4	15
13/10/2016	1,3	Managers, R1,R2, R3, R4	35

Web: Publication of news and documents related to the C&C implementation:

<http://www.uab.cat/en/euraxess> (see Action 3)

## Area 5. Recruitment & Selection

### Description of the progress

Effective recruitment and selection procedures are key in attracting and retaining high quality staff. For recruitment and selection procedures to be effective it is essential that they are fair, rigorous and transparent, and it is the Policy of UAB to ensure that the best candidate for the job is selected.

As the selection process for permanent staff is strictly regulated by law, the working group revised the recruitment and selection procedures for non-permanent researchers and technicians, mainly in the framework of funded research projects. In this context, the discussion of the OTM-R guidelines and templates has been very useful to better understand the current position (level of implementation), and to draw the roadmap for the coming years.

During 2016, several processes concerning recruitment and selection have been modified. It is expected that they will be fully implemented during the 2017. There are three main issues which have been included:

- a) **Jobs adverts:** there is an automatic process to advertise employment offers. Jobs vacancies in research and research management are internationally advertised, in Euraxess Jobs and in other specialized portals.
- b) **Use of a digital platform (NEXUS)** for job applications (e-forms) and selection. This will reduce the administrative burden for applying and for selection.
- c) **Report on the selection process:** explaining process & decision

It has been published an online “**UAB Handbook for contracting temporal staff for projects and research agreements**”. Currently it is only available in the intranet and in catalan-spanish.

In September of 2015, started the UAB P-SPHERE project (Cofund Program, Marie S. Curie Actions, H2020), an initiative to attract experienced researchers (R2) with same transnational mobility requirement of the Marie Skłodowska-Curie programme, who are hired for three years. This is being a proper test to implement improvements in selection/recruitment processes (<http://www.uab.cat/psphere/>) and a real experience to put into practice several procedures of using e-forms to collect candidates’ applications and documents, and to test an **on-line evaluation and selection platform, with an external evaluation committee**. The result is being absolutely positive, although it takes a lot of time and resources.

This policy is being put into practise, and it is expected that we will have results and conclusions from 2017 on. At the moment of this report, one evident result is an increase on the number of job positions internationally advertised.

C&C principles	Current weaknesses
12,13,14,15,16	In the case of some temporary positions, there are no clear rules about selection committee's composition and regulation. It is required a global revision of the process, integrating OTM-R in the UAB policy.

Updated Actions Planned (2017 -2019)
Implement a new procedure for selection and recruitment of researchers, technicians and research managers.

Timeline	Responsible						
Action 5.1: e-tool for recruitment and selection <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;">■</td> <td></td> <td></td> </tr> </tbody> </table>	17	18	19	■			Working group OTM-R
17	18	19					
■							
Action 5.2: New recruitment and selection procedure <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;">■</td> <td style="background-color: #003366;">■</td> <td></td> </tr> </tbody> </table>	17	18	19	■	■		Working group OTM-R
17	18	19					
■	■						
Action 5.3: Implementation of OTM-R policies <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;">■</td> <td style="background-color: #003366;">■</td> <td></td> </tr> </tbody> </table>	17	18	19	■	■		Supervisory Board and Coordinator of UAB-HRS4R project Working group OTM-R
17	18	19					
■	■						

Indicators
Number of Jobs vacancies in Euraxess Jobs Portal: 2015: <b>28</b> 2016: <b>67</b>

## Area 6. Career Development

### Description of the progress

It is evident that for researchers, career paths have changed dramatically in the last years, becoming much more complex. By providing tools and counselling, UAB can support talent to be ready for seeking opportunities either in the UAB, in Catalonia, or elsewhere. But it is also a serious challenge for our institution. In fact, at Spanish universities there is not tradition (or there are just some recent initiatives) of such type of support services.

In the new scenarios, the traditional career path at the university (wherein the researcher progresses vertically upward in the institution) is changing. Career paths are now often about moving sideways, not always up.

The UAB is aware of the importance of this issue. Currently, especial attention is paid to two main areas:

- a) Revision of the researcher’s career model at the UAB
- b) Provision of tools to increase the employability and entrepreneurship

Concerning the second point, during the second semester of 2016 has been created the **Office for Employability**. One of the main programs which will be implemented by this office is entitled “Euroacció Mentoring”. The first group of activities have started at the beginning of the academic course 16/17 and is addressed to pre-doctoral researchers (R1), and mainly to those (but not only) of Humanities and Social Sciences.

C&C principles	Current weaknesses
28,30	The UAB is currently organizing a program to support R1 and R2 researchers in their professional development (see also Action 7). The researcher’s career model at the UAB has to be revised. It is expected that it will be resumed in next year, so we put this action as a “to do” for the next period.

### Updated Actions Planned (2017 -2019)

Revision of the researcher’s career model at the UAB.

Proposal of a tools or service to provide advice and counselling to researchers, in connection to their career path.

To get information about the level of knowledge of C&C and opinion about the implementation of new measures, a general survey to the research community is planned to be carried out during the first semester of 2018.



Timeline	Responsible						
<p>Action 6.1: Revision of the researcher's career model at the UAB.</p> <table border="1"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> </tr> </tbody> </table>	17	18	19				<p>ViceRector for Research and Transfer ViceRector for Strategic Projects and Innovation Vice Rector for Academic Staff</p>
17	18	19					
<p>Action 6.2: tools or service to provide advice and counselling to researchers</p> <table border="1"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> <td></td> </tr> </tbody> </table>	17	18	19				<p>ViceRector for Research and Transfer Doctoral School Coordinator of UAB-HRS4R project</p>
17	18	19					
<p>Action 6.3: Provision of tools to increase employability</p> <table border="1"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td></td> <td></td> </tr> </tbody> </table>	17	18	19				<p>Office for Employability</p>
17	18	19					

Indicators	
Training/Coaching Sessions (2016): 7	
Friday, November 18:	The 'what and how" of the curriculum vitae: key to achieve an efficient cv
Tuesday, November 22:	Cases of digital entrepreneurship
Wednesday, November 23	International internships and work: challenges and opportunities
Wednesday, November 23	Internships and work in European institutions: presentation of the programme EUROACCIO mentoring
Thursday, November 24:	Seeking professional skills: do you have them?
Friday, November 25:	The job interview
Tuesday, November 29:	International internships and work: challenges and opportunities

## Area 7. Training

### Description of the progress

During the academic year 2015/16, a **conceptual framework** for researchers training has been developed, inspired by the VITAE Researcher Development Framework. It analysed the generic transferable competences that a UAB PhD holder should have. To carry out this analysis several meetings were organised with experts in education, researchers, and CEOs and HR managers from companies and other organisations (“employers”). This was the theoretical basis for **the UAB -Researcher Development Program (RDP)**. The next question that arises is *which are the best tools to get these competences?* A list of practical seminars, workshops and courses is being structured. The Researcher Development Program has started focussed on researchers of R1 and R2 level, and subsequently will be extended to the R3 and R4 levels (mainly training R3-R4 to develop and refine supervisory and leadership skills).

As a pilot experience, some preliminary courses and seminars were given in Spring of 2016 (May-June). They were focussed in information tools and databases.

- Information Resources for PhD
- Mendeley Institutional
- Web of Science/SCOPUS
- Information Sources in Science and Technology
- Publishing in Open Access
- Intellectual Property Rights

During the autumn trimester of 2016/17, some activities have been already programmed as part of the RDP. The most relevant are:

- Workshop for young researchers to maximise the local impact of their work (starting at 14/12/2016)
- Ideas Generation Program (starting at 4/10/2016)
- How to design and defend your PhD with the Idea Puzzle® software (15/12/2016)
- How to write the Impact of a Horizon 2020 proposal (23/11/2016)

Others courses are dealing with language and communication, and there are several editions of the courses every year:

- English for Teaching Purposes
- English Pronunciation for Teachers
- Research Papers (Humanities and Social Sciences)
- Research Papers (Health Sciences, Experimental Sciences, Experimental Sciences, Engineering)
- Presenting Research

Teaching is a basic function of the academic staff at the university. Consequently, there are a set of specific courses for training teaching competences

<http://www.uab.cat/web/estudiar/calidad-docente/programa-fdes/competencias-1345703628467.html>

And there are also activities closely related to the career development (see Action 6)

C&C principles	Current weaknesses
37,38,39,40	The Researcher Development Program (RDP) is mainly focussed in R1 and R2, and should be extended to R3-R4.

Updated Actions Planned (2017 -2019)
<p>Implementation of the Researcher Development Program (RDP) to all the researchers, from R1 to R4.</p> <p>Development of a training program for supervisors (train the trainers) of early stage researchers (either pre-doc and post-docs)</p>

Timeline	Responsible						
<p>Action 7.1: Implementation of the Researcher Development Program (RDP)</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td></td> <td></td> </tr> </tbody> </table>	17	18	19				<p>ViceRector for Research and Transfer                      Doctoral School                      Coordinator of UAB-HRS4R project</p>
17	18	19					
<p>Action 7.2: Program to train supervisors</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>17</th> <th>18</th> <th>19</th> </tr> </thead> <tbody> <tr> <td style="background-color: #003366;"></td> <td style="background-color: #003366;"></td> <td></td> </tr> </tbody> </table>	17	18	19				<p>ViceRector for Research and Transfer                      Doctoral School                      Coordinator of UAB-HRS4R project</p>
17	18	19					

Indicators															
<p>Number of Programmed Training activities as part of the Research Development Program</p> <p>2016: <b>33</b></p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tbody> <tr> <td>May-June 2016</td> <td>Information Resources</td> <td>27 activities</td> </tr> <tr> <td>September 2016</td> <td>Language and communication</td> <td>2 activities</td> </tr> <tr> <td>October-November 2016</td> <td>Entrepreneurship</td> <td>1 course</td> </tr> <tr> <td>November-December 2016</td> <td>Responsible Research &amp; Innovation (RRI)</td> <td>2 activities</td> </tr> <tr> <td>December 2016</td> <td>Career Development</td> <td>1 activity</td> </tr> </tbody> </table>	May-June 2016	Information Resources	27 activities	September 2016	Language and communication	2 activities	October-November 2016	Entrepreneurship	1 course	November-December 2016	Responsible Research & Innovation (RRI)	2 activities	December 2016	Career Development	1 activity
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October-November 2016	Entrepreneurship	1 course													
November-December 2016	Responsible Research & Innovation (RRI)	2 activities													
December 2016	Career Development	1 activity													

**4 Summary of the Updated Action Plan 2017-2019**

Area of improvement	Action	Description	Deadline
Monitoring	Action 1	Governance and working groups	All the period
Quality Review of Key Documents	Action 2.1	Review and translation of relevant documents	All the period
	Action 2.2	Update and re-design “Ethics Website”	3 <sup>rd</sup> quarter 2017
Web- Document Repository	Action 3.	Updating the website/repository	All the period
C&C Dissemination	Action 4.1	Dissemination and Consultation	All the period
	Action 4.2	General Survey to UAB researchers	2 <sup>nd</sup> quarter 2018
Recruitment and Selection	Action 5.1	e-tool for recruitment and selection	2 <sup>nd</sup> quarter 2017
	Action 5.2	New recruitment and selection procedure	4 <sup>th</sup> quarter 2018
	Action 5.3	Implementation of OTM-R policies	4 <sup>th</sup> quarter 2018
Career Development	Action 6.1	Revision of the researcher’s career model at the UAB	2 <sup>nd</sup> quarter 2019
	Action 6.2	Tools or service to provide advice and counselling to researchers	2 <sup>nd</sup> quarter 2018
	Action 6.3	Provision of tools to increase employability	4 <sup>th</sup> quarter 2017
Training	Action 7.1	Implementation of the “Researcher Development Program” (RDP)	2 <sup>nd</sup> quarter 2017
	Action 7.2	Program to train supervisors	4 <sup>th</sup> quarter 2018

This self-assessment report to update the HRS4R Action Plan has been approved by the Supervisory Committee in December 2016