

# HRS4R

## Human Resources Strategy for Researchers

Template 1:

# Gap Analysis

## TEMPLATE 1 – GAP ANALYSIS

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(Open University of Catalonia, UOC)

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### PROCESS (MAX. 300 WORDS)

The [HRS4R process](#) has been carried out using an inclusive and participatory approach, involving the whole research community, the Rector and Vice-Rectors, the governing bodies, all management departments and administrative and services staff. The following committees and working group were appointed for the process:

- Steering Committee (responsible for leading the process).
- HRS4R Implementation and Monitoring Committee (responsible for implementing and monitoring the process).
- HRS4R Advisory and Working Group (responsible for providing advice and support in the implementation of the process).

**(See members [here](#)).**

Above all, inclusion of the whole research community was a top priority from the start, regardless of position or seniority and including researchers ranging from R1 to R4, with the objective to perform a 360° analysis and to better identify areas for improvement.

The analysis has been based on:

- The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers(C&C).
- UOCs Strategy(specifically the UOCs Strategic Plan).
- Analysis of the internal regulations relating to the principles of the C&C.
- Analysis of external regulations relating to the principles of the C&C(legislation framework).

The community was involved through both meetings and electronic communications, being consulted at six workshops and via an online survey. With these actions, the research community became aware that HRS4R is a strategic commitment that involves all stakeholders that take part in the research activities of the university. The results of the workshops and survey made it possible to develop the Gap Analysis, as well as to propose the actions included in the Action Plan and prioritize these actions according to both the analysis and the consultation of the community. The process included three phases (Preliminary phase, Gap Analysis phase, and Action Plan phase). A summary of the actions developed under these phases is shown [here](#).

## GAP ANALYSIS

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

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>+ = <b>fully</b> implemented          +/- = +/- <b>Almost but not fully</b> implemented          -/+ = <b>partially</b> implemented          - = <b>insufficiently</b> implemented</p>	<p>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</p>	<p>Initiatives already undertaken and/or suggestions for improvement</p>
<p><b>Ethical and Professional Aspects</b></p>			
<p>1. Research freedom</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spanish Constitution Articles 20.1, 44.2, 149.1. 15.<sup>a</sup></li> <li>• Spanish Law (14/2011) of Science, Technology and Innovation</li> <li>• Organic Law 4/2007, of 12th April, modifying Organic law 6/2001, 21st December, on Universities. Title VII</li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation (CBPRI)</a></li> <li>• <a href="#">UOC's Code of Ethics</a></li> <li>• <a href="#">UOC's Conduct Code</a></li> <li>• <a href="#">UOC's Research Ethics Resources Kit</a></li> </ul>	<p>Research freedom is one of the human rights considered in the Spanish Constitution and in the UOC Statutes. Based on this right, UOC researchers are empowered to develop their research activity, acquire knowledge with the scientific method, and to spread off the results abiding by ethical standards.</p> <p>The <a href="#">UOC Research &amp; Innovation Committee</a> and the <a href="#">UOC Board of Ethics</a>, created by the University's Governing Council, work on behalf of the academic community and research staff in order to guarantee that research freedom is respected in the research projects developed at the University. To do so, the Board contributes to the development of quality scientific research that meets the code of ethics, international agreements and declarations, and legislation in force in this area.</p>

		<ul style="list-style-type: none"> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">Organisational and Operational Regulations</a></li> </ul>	<p>In the pursuit for external funding, university professors and researchers have no limitation to apply to any call or topic, and their involvement in any privately financed research is always voluntary.</p> <p>Additionally, the UOC has implemented actions to allow the research data generated in various projects to be managed and published with open access, in accordance with the guidelines of the Horizon 2020 programme and other calls for public funding that require this. The aim is not only to allow open access to the results of the projects, but also to the extensive documentation and data generated while the scientific research is being conducted. There is an interdisciplinary group responsible for the institutional policy of open access to research data, in addition to analysing current technology solutions that could be incorporated within its research groups and services themselves.</p>
<p>2. Ethical principles</p>	<p>+/-  Almost but not fully</p>	<p>Even though the UOC has a <a href="#">Code of Ethics</a>, a <a href="#">Code of Good Practices in Research &amp; Innovation</a>, an active <a href="#">UOC Board of Ethics</a> and a <a href="#">UOC's Research Ethics Resources Kit</a>, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and Monitoring Committee</i> noticed some lack of knowledge of the ethical and good professional practice principles listed in the C&amp;C by all the researchers and staff.</p> <p>At the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researcher's.</p>	<p>In addition to legislation and regulations, UOC gives to its research personnel instruments that ensure the quality of the research and avoid ethical problems in the behaviour of research personnel.</p> <p>UOC has a recently updated <a href="#">Code of Ethics</a>, a <a href="#">Code of Good Practices in Research &amp; Innovation</a> including ethical principles that govern research and innovation practices at the university, and a <a href="#">UOC's Research Ethics Resources Kit</a>.</p> <p>The <a href="#">UOC Board of Ethics</a>, created by the University's Governing Council, works on behalf of the academic community and research staff in order to guarantee that ethics principles are met in the research projects developed at the university. The Board contributes to the development of quality scientific research that meets the codes of ethics, international agreements and declarations, and legislation in force in this</p>

		<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● The European code of Conduct for Research Integrity (2011)</li> <li>● Spain's law 14/2011 of Science, Technology and Innovation (Articles 14 and 15).</li> <li>● Spain's law 15/1999 of Personal Data Protection</li> <li>● Spain's law 31/1995, of 8th of November, on Occupational Risks Prevention.</li> <li>● Spanish RD 664/1997, of 12th May, on protection of workers against biological risk</li> <li>● Spanish RD 1090/2015, of 4th December, regulating clinical trials with medicines, Ethical Committees for research with medicines and Spanish Register for Clinical Studies.</li> <li>● Helsinki's declaration on "Biomedical research on human beings" updated in Tokyo 1975, Venice 1983 and Hong Kong 1989</li> <li>● EC Directive 2001/20/CE</li> <li>● 86/609/CEE</li> <li>● Spain's law 9/2003 and RD 178/2004</li> <li>● Regional law DF 204/1998</li> <li>● The European code of Conduct for Research Integrity</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC's Code of Ethics</a></li> <li>● <a href="#">UOC's Research Ethics Resources Kit</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> <li>● <a href="#">UOC'S Procedure for the resolution of irregular behaviors in the research activity</a></li> </ul>	<p>area.</p> <p>The Board manages the administrative processes linked to the development of research projects and publication of results. It assesses the different procedures in place, determines whether the assessment is favourable or not, and issues its final resolution. This Board has a written procedure for the submission of research projects. Additionally, information about ethics is requested by the R&amp;I Funding Unit at the OSRT before the submission of any research proposal by means of a specific questionnaire that is filled out by the research team. This procedure guarantees that ethical approval is obtained for the development of the UOCs research projects.</p> <p>The Board of Ethics handles enquiries from the university community on ethic-related issues and produces and publicises information on specific subjects or particularly controversial questions. It is also the body for arbitration when doubts or conflicts arise in terms of the integrity of the research. Similarly, it proposes the minimum contents, methodology and design for training seminars and conferences in this area for the University's research staff.</p> <p>Despite the above regulations and initiatives, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and Monitoring Committee</i> noticed some lack of knowledge of the ethical and good professional practice principles listed in the C&amp;C by all the researchers and staff.</p> <p>For this reason the UOC Welcome Package currently in place will be implemented with further information on the existing regulations and information on ethical standards as documented in the national, sectoral and institutional Codes of Ethics. Special action will be taken with R1 (Pre-Doctoral).</p>
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		<ul style="list-style-type: none"> <li>• <a href="#">Organisational and Operational Regulations</a></li> </ul>	<p>Additionally, as further explained hereafter in the analysis of other principles, a R&amp;I Catalogue of Information and Services will be developed. The R&amp;I Catalogue will include information on ethical and good professional practice principles and information about the <a href="#">UOC's Research Ethics Resources Kit</a>.</p> <p>A Dissemination Plan of the Welcome Package and of the R&amp;I Catalogue of Information and Services targeted to R1-R2/R3-R4 will be developed.</p> <p>Additionally, an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researchers will be developed.</p>
<p>3. Professional responsibility</p>	<p>+/- Almost but not fully</p>	<p>Although the UOC <a href="#">Code of Ethics</a> and the <a href="#">Code of Good Practices in Research &amp; Innovation</a> include rules and information on responsible behaviour, as well as procedures to avoid bad scientific practices, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and Monitoring Committee</i> noticed some lack of knowledge of the existing rules and initiatives.</p> <p>To avoid duplication of research the UOC trusts in the knowledge, goodwill and scientific criteria of the researchers. However, at the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researcher's.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p>	<p>In addition to legislation and regulations UOC gives to research personnel instruments to ensure professional responsibility, avoid duplication of research previously carried out elsewhere, as well as plagiarism of any kind, and the means for joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers.</p> <p>UOC has a recently updated <a href="#">Code of Ethics</a>, a <a href="#">Code of Good Practices in Research &amp; Innovation</a> including principles that govern research and innovation practices at the university, and a <a href="#">UOC's Research Ethics Resources Kit</a>.</p> <p>Additionally, the <a href="#">UOC Research and Innovation Committee</a> is responsible for supervising the organisation and grouping of research activities and promoting transfer of knowledge and innovation to the local, national and international socioeconomic context, and fostering exploitation of the results of the research and the spirit of enterprise.</p> <p>Despite the above regulations and initiatives, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and</i></p>

		<ul style="list-style-type: none"> <li>● The European code of Conduct for Research Integrity (2011)</li> <li>● Spain's law 14/2011 of Science, Technology and Innovation</li> <li>● Spain's law on Intellectual Property (RD 1/1996)</li> <li>● Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights</li> <li>● The European code of Conduct for Research Integrity</li> <li>● <a href="#">UOC's Conduct Code</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC's Code of Ethics</a></li> <li>● <a href="#">UOC's Research Ethics Resources Kit</a></li> <li>● <a href="#">UOC'S Procedure for the resolution of irregular behaviors in the research activity</a></li> <li>● <a href="#">UOC'S Intellectual and industrial property regulations</a></li> <li>● <a href="#">Organisational and Operational Regulations</a></li> </ul>	<p><i>Monitoring Committee</i> noticed some lack of knowledge of the existing rules and initiatives by all the researchers and staff.</p> <p>For this reason the UOC Welcome Package will be implemented with further information on the existing regulations and information. A Dissemination Plan of the UOC Welcome Package targeted to R1-R2/R3-R4 will be developed.</p> <p>Additionally an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researchers will be developed. The UOC Research and Innovation Committee will further work to ensure compliance with the protocol and related elements of the C&amp;C.</p>
<p>4. Professional attitude</p>	<p>+/-  Almost but not fully</p>	<p>On top of the numerous actions and regulations already in place (please find a summary on the right column), during the HRS4R workshops and survey participants highlighted that information is scattered in several documents and intranet pages.</p> <p>The need for a specific R&amp;I Catalogue of Information and Services was highlighted. Additionally, the UOC Welcome Package can be implemented with further information on the existing regulations and information. A Dissemination Plan of both the R&amp;I Catalogue</p>	<p>The <a href="#">UOC Strategic Plan</a> is the road map that accompanies the University's strategy and helps prioritize decision making. To reinforce the operating stage of the plan, the Strategic Plan includes six action plans and one of them is specific for Research (06. UOC R&amp;I). The second phase of the UOCs Strategic Plan have just been initiated and the main challenges are presented <a href="#">here</a>. The pillars of the strategic are: Pillar 01. Cross-disciplinarity and flexibility; Pillar 02. Collaborative governance and common objectives; Pillar 03. Firm commitment to globalization; Pillar 04. Competitiveness and employability; Pillar 05. Excellence in research. All the UOC staff participates in the development of the actions set up in the Strategic Plan. Regular institutional presentations and meetings take place (ie. <a href="#">here</a> are posted the presentations of</p>

	<p>of Information and Services and of the UOC Welcome would be helpful.</p> <p>At the present time, no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researchers.</p> <p>During the HRS4 workshops and survey participants showed interest in having a specific Protocol for the dissemination of R&amp;I through social networks. The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives were also suggested.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spanish law 14/2011, 1st June, of Science, Technology and Innovation Article 15</li> <li>● Spanish State Plan on Scientific and Technical Research and Innovation 2013-2016.</li> <li>● Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations, etc.)</li> <li>● The European code of Conduct for Research Integrity</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC's Code of Ethics</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> </ul>	<p>the analysis of the first phase). The UOC intranet includes a specific page with updated information about the progress of the Strategic Plan.</p> <p>The <a href="#">UOC Research and Innovation Committee</a> is responsible for supervising the organization and grouping of research activities and promoting transfer of knowledge and innovation to the local, national and international socioeconomic context, and fostering exploitation of the results of the research and the spirit of enterprise.</p> <p>The <a href="#">UOC Knowledge Transfer and Research Support Office</a> (OSRT) provides response to the needs of the professionals taking part in the university's R&amp;I activity. More than 30 specialists cover all project management support activities, including Grant Agreements, Ethics, Gender, fellowship hosting, IPR and legal counsel, RRI, reporting and logistics, plus community outreach and support for innovation via its widely consulted Social Media communication channels, Virtual Platform, and Open Repository. The R&amp;I Funding Unit at the OSRT provides all the information needed on research calls, both external and internal, so that the researchers are continuously informed about funding opportunities. The OSRT also provides full support for the development of the research activities including support in the preparation of proposals for funding, project management services, specialized legal and IP advice, specialized research communication and dissemination services, etc. A monthly newsletter (R&amp;I Insights) is prepared and sent to all the UOC R&amp;I Community on a monthly basis. A specific page at the intranet (UOC Calls Portal) offers daily updated information on research funding opportunities and information is also sent by email on a weekly basis. The OSRT regularly organises courses and information days about funding mechanisms and opportunities.</p>
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		<ul style="list-style-type: none"> <li>• <a href="#">UOC's Research Ethics Resources Kit</a></li> <li>• <a href="#">UOC'S Procedure for the resolution of irregular behaviors in the research activity</a></li> <li>• <a href="#">UOCs Strategic Plan</a></li> </ul>	<p>The UOC organizes the <a href="#">UOC Research Showcase</a> aimed to raise awareness of the progress of the University's research, development and innovation activities among its community. In a university-wide call for proposals the Research and Innovation Scientific Committee selects research and innovation projects to be presented. Information and some of the presentations that took place during the last UOC Research Showcase can be found <a href="#">here</a>.</p> <p>Furthermore, the UOC organizes a series of activities to promote subjects of interest to those dedicated to R&amp;I. The aim of organizing these events, workshops and other activities is to bring the target audience into closer contact with the reality of research, development and innovation. Further information can be found <a href="#">here</a>.</p> <p>Additionally and as noted above UOC has a recently updated <a href="#">Code of Ethics</a>, a <a href="#">Code of Good Practices in Research &amp; Innovation</a> including principles that govern research and innovation practices at the university, and a <a href="#">UOC's Research Ethics Resources Kit</a>.</p> <p>Even though the above actions and regulations, during the HRS4R workshops and survey participants highlighted that information is scattered in several documents and intranet pages.</p> <p>For this reason an specific R&amp;I Catalogue of Information and Services will be developed. Also, the UOC Welcome Package will be implemented with further information on the existing regulations and information. A Dissemination Plan of the R&amp;I Catalogue of Information and Services and of the UOC Welcome Package targeted to R1-R2/R3-R4 will be developed.</p>
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			<p>Additionally, an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.</p> <p>During the HRS4R workshops and survey participants showed interest in having a specific Protocol for the dissemination of R&amp;I through social networks. The organization of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives is also possible. This will be specially considered in the context of the new UOC Communication Plan already being developed in the context of the UOC Strategic Plan.</p>
<p>5. Contractual and legal obligations</p>	<p>+  Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's legislation on Workers Regulations</li> <li>● Spain's law 14/2011 of Science, Technology and Innovation</li> <li>● Spain's law 6/2001 of Universities</li> <li>● Spain's law 11/1986 (and 24/2015) of Patents</li> <li>● Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights</li> <li>● Spain's law RD 898/1985 on the dedication of University Professors</li> <li>● Spain's law RD 63/2006 approving Statute for research staff in training</li> <li>● Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations, etc.)</li> <li>● <a href="#">UOC regulations on intellectual property of R &amp; D</a></li> </ul>	<p>Professors, permanent and temporary researchers are hired on the basis of a dedicated selection policy, followed by a dedicated appointment decree. There is also an specific <a href="#">job advert section and registration system</a> at the website. Their obligations are detailed in the national laws approved in this field and in the internal regulations. During the appointment and before the signature of the contract researchers are informed about the national, sectoral or institutional regulations governing training and/or working conditions. Information is also available on a permanent basis (<a href="#">here</a>) and all the UOC employees are assigned a Human Resources business partner that provides and supports each of the employees on a permanent basis. The rules are also mentioned inside the contract, where available, and appropriate indications are provided by the dedicated HR Partner before the contract signature.</p> <p>The UOC also provides specific <a href="#">information for foreign researchers</a> and personalized support for immigration issues, visa processing, accommodation and country information, etc.</p>

		<ul style="list-style-type: none"> <li>● <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>● <a href="#">UOC regulations on current R &amp; D collaboration and under contract</a></li> <li>● <a href="#">UOC regulations governing the structure and operation of the research groups.</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Collective Agreement</a></li> <li>● UOC selection policy and <a href="#">job advertisement section and registration system</a> on the website.</li> <li>● <a href="#">Organisational and Operational Regulations</a></li> </ul>	<p>The UOC specific internal regulations for research include <a href="#">academic regulations for doctoral studies</a>, <a href="#">regulations on intellectual property of R &amp; D</a>, <a href="#">regulations on current R &amp; D collaboration and under contract</a>, and <a href="#">regulations governing the structure and operation of the research groups at the UOC</a>.</p> <p>Moreover, principal investigators have full access to the contracts and grant agreements with the IPR terms and conditions of the sponsors and funders of their research.</p>
<p>6. Accountability</p>	<p>+/-</p> <p>Almost but not fully</p>	<p>Besides the actions and regulations already in place (please find a summary on the right column), during the HRS4R workshops and survey participants highlighted that information is scattered amongst several documents and intranet pages.</p> <p>The need for a specific R&amp;I Catalogue of Information and Services was highlighted. A Dissemination Plan of the R&amp;I Catalogue of Information and Services was also suggested.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law 14/2011 of Science, Technology and Innovation (Articles 14 and 15).</li> <li>● Spain's Law 38/2003, of 17th November, on General Subsidies Law 19/2013, of 9th</li> </ul>	<p>The UOC provides a public service with the legal structure of a private foundation under public control. It was created with the support of the Government of Catalonia and formed as a not-for-profit private foundation whose trustees include representatives from Catalan society. It forms part of the Catalan and Spanish public university systems and it is endorsed by the Catalan University Quality Assurance Agency (AQU Catalunya) and the Spanish Quality Assessment and Accreditation Agency (ANECA), guaranteeing rigour and compliance with the standards required by the European university system.</p> <p>As a university rendering a public service its leadership is subject to the checks and controls stipulated by the Government and Parliament of Catalonia (ratification of the president appointed, annual accounts, annual appearance before the Parliament, regulations governing staff recruitment, supervision by the Comptroller, supervision by the Public Audit Office, supervision by the Catalan Ministry of Economy and Knowledge and the Directorate-General for Universities, etc.). The University is</p>

		<p>December on Transparency, Access to public information and good governance.</p> <ul style="list-style-type: none"> <li>● ISSAI - International Standards of Supreme Audit Institutions</li> <li>● Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations, etc.)</li> <li>● <a href="#">Regulations governing the budget of the UOC</a></li> <li>● <a href="#">UOC Transparency regulations</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● UOC <a href="#">quality</a> services</li> <li>● UOC Travel, Expense, Procurement and Purchasing policies</li> <li>● <a href="#">Organisational and Operational Regulations</a></li> </ul>	<p>bound by the regulations covering public administration contracting.</p> <p>The UOC watches over the correct and efficient governing and management of the University and carries out inspection, evaluation and control work necessary to guarantee the best possible <a href="#">quality</a>. An <a href="#">annual report</a> is published every year with information about accountability, news, projects, etc. In addition, according to the Catalan Laws regarding transparency, information related to funding and expenditure is published in the <a href="#">institution web portal</a>. <a href="#">Regulations governing the budget of the UOC</a> are also publicly available.</p> <p>UOC has long established financial systems in place to assist the researcher with the financial management of the grants and controls that ensure that expenditure remains within budget.</p> <p>The <a href="#">UOC Knowledge Transfer and Research Support Office (OSRT)</a> provides response to the needs of the professionals taking part in the university's R&amp;I activity. The OSRT supports University R+D+I staff throughout the life of a project with both internal and external finance, from drawing up a proposal to justifying it. Along these lines, it works together with the project leader in the acceptance or waiver of external grants, the overall planning of the project, publicity and time management. It also provides support in expenditure and changing the budget, partners, schedules, research team members, etc. Specialized advice to researchers is provided with respect to project/funding agency audit requirements. Internal and external audits are done in order to guarantee project management good practices.</p> <p>The UOC appoints an external R&amp;I auditor to provide an independent opinion on its annual R&amp;I financial statements.</p>
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			<p>Additionally, during the HRS4R workshops and survey participants highlighted that information is scattered in several documents and intranet pages. For this reason a specific R&amp;I Catalogue of Information and Services will be developed. A Dissemination Plan of the R&amp;I Catalogue of Information and Services targeted to R1-R2/R3-R4 will be developed.</p>
<p>7. Good practice in research</p>	<p>+/-  Almost but not fully</p>	<p>Besides the actions and regulations already in place (please find a summary on the right column), during the HRS4R workshops and survey participants highlighted that information is scattered amongst several documents and intranet pages.</p> <p>The need for a specific R&amp;I Catalogue of Information and Services was highlighted. Also, the UOC Welcome Package will be implemented with further information on the existing actions and information. A Dissemination Plan of both the R&amp;I Catalogue of Information and Services and the UOC Welcome Package was also suggested.</p> <p>Dissemination of information about good practice in research and research integrity can also be enhanced through specific workshops in the context of the UOC R&amp;I Meeting Days for the research community.</p> <p>In present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researchers.</p> <p>During the HRS4R workshops and survey participants showed interest in having a specific</p>	<p>The internal Workplace and Safety Unit at the Human Resources and People Development Office watches over the compliance of the legislation and safe working practices. An specific course on health and safety in the form of a game is provided to all UOC Personnel at the beginning of the work contract. All the information, legislation and procedures is gathered and public in a <a href="#">dedicated website</a>.</p> <p>Together with the Mutual Insurance Company there are multiple services offered to UOC personnel including medical assistance. There are health, emergency and safety plans for each building in Campus, Information and training in risk prevention, procedure in case of emergencies, automated external defibrillators, psychosocial risks, etc.</p> <p>Since its beginnings, the UOC has been committed to the social inclusion of people with disabilities, and it therefore seeks to provide accessibility to the university for anyone that is part of the various groups in our community. In order to further its commitment with a guarantee of accessibility, the UOC has created the <a href="#">Accessibility Programme</a>, to coordinate the implementation of the principles and action plans on this area.</p> <p>The <a href="#">Equality Unit</a> at UOC ensures since 2008 compliance with current legislation for effective equality between women and men, adopting the principle of equal opportunity and non-discrimination on the grounds of gender or sexual orientation, at all levels of the University. The unit is in charge of producing the equality plans as well as a protocol to counter harassment</p>

		<p>Protocol for the dissemination of R&amp;I through social networks. The organization of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives was also suggested.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's Law 31/1995, of 8th of November, on Occupational Risks Prevention</li> <li>● Agreement of the Council of Universities reached on 22/09/2011 for the implementation of Labour Risk Prevention laws in Spanish Universities</li> <li>● Spain's Law 15/1999, of December 13, on the Protection of Personal Data.</li> <li>● Spain's Law 14/2011, 1st June, of Science, Technology and Innovation</li> <li>● Spain's Law RD 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers</li> <li>● Spain's law 14/2011 of Science, Technology and Innovation</li> <li>● Spain's law 6/2001 of Universities</li> <li>● Spain's law 11/1986 (and 24/2015) of Patents</li> <li>● Spain's law 15/1999 of Personal Data Protection</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC's Code of Ethics</a></li> </ul>	<p>relating to gender or sexual orientation. The purpose of these initiatives is to lay the groundwork for implementing gender equality policies at the UOC and to raise awareness within the UOC community of the importance of including a gender perspective in all regular activities.</p> <p>On the other hand, the <a href="#">Technology Area</a> of the University has data storage units available for researchers where several data recovery and backup measures are taken (in various decentralized and distributed servers).</p> <p>Besides the above actions, during the HRS4R workshops and survey participants highlighted that information is scattered amongst several documents and intranet pages.</p> <p>For this reason, a specific R&amp;I Catalogue of Information and Services will be developed. Also, the UOC Welcome Package will be implemented with further information on the existing actions and information. A Dissemination Plan of the R&amp;I Catalogue of Information and Services and of the UOC Welcome Package targeted to R1-R2/R3-R4 will be developed.</p> <p>Dissemination of information about good practice in research and research integrity can also be enhanced through specific workshops in the context of the UOC R&amp;I Meeting Days for the research community.</p> <p>Additionally, an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.</p> <p>During the HRS4R workshops and survey participants showed interest in having a specific Protocol for the dissemination of R&amp;I through social networks. The organization of more events and activities of science with and for society such as</p>
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<p>8. Dissemination, exploitation of results</p>	<p>+/-  Almost but not fully</p>	<p>Besides the actions and regulations already in place (please find a summary in the right column), the UOC HRS4R Implementation and Monitoring Committee noticed that some participants highlighted that information is scattered amongst several documents and intranet pages. In this sense, it was also noted that the new UOC R&amp;I Catalogue of Information and Services should include specific information on dissemination and exploitation of results services and regulations.</p> <p>As noted above, at the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researcher's.</p> <p>During the HRS4R workshops and survey participants showed interest in having an specific Protocol for the dissemination of R&amp;I through social networks. The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives were also suggested.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p>	<p>Different actions are being carried out at the UOC to promote and encourage dissemination, exploitation of results and technology transfer. These actions range from the creation of the Knowledge Transfer &amp; Entrepreneurship Unit at the <a href="#">UOC Knowledge Transfer and Research Support Office (OSRT)</a> to several dissemination activities and actions carried out for companies associated with the UOC with the aim of promoting the transfer of the university's R&amp;I.</p> <p>In this context, the OSRT has been set up as the point of contact between the university and its environment, with the main aim of transferring the results obtained and being able to apply them for possible exploitation. These activities include:</p> <ul style="list-style-type: none"> <li>● Management of agreements and contracts related to R&amp;I activity.</li> <li>● Management of the supply and demand of technology and knowledge.</li> <li>● Technology and knowledge investigation and surveillance.</li> <li>● Evaluation, protection and exploitation of the University's R&amp;I results.</li> <li>● Specific R&amp;I Dissemination plan.</li> <li>● Coordination of the Research Communication Committee.</li> </ul> <p>Over the last few years, several cases of successful collaboration between the UOC and other bodies have been achieved. From collaboration in competitive projects with important companies to participation in R+&amp; activities contracted with public bodies.</p>

		<ul style="list-style-type: none"> <li>● Spanish Law 14/2011, 1st June, of Science, Technology and Innovation</li> <li>● Guidelines on the Implementation of Open Access to Scientific Publications and Research Data in Projects supported by the European Research Council under Horizon 2020</li> <li>● Royal Decree 55/2002, of 18th January, on exploitation and transfer of inventions made in public research entities, in accordance with article 20 of Law 11/1986, of March 20 on Patents.</li> <li>● Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>● Spain's law 2/2011 on Sustainable Economy.</li> <li>● Spain's law 11/1986 (and 24/2015) of Patents</li> <li>● <a href="#">UOC Access Institutional Policy</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC regulations on intellectual property of R &amp; D</a></li> </ul>	<p>UOC showcases the results of its research, development and innovation-results that can create value and be transferred to society and the economy. Full information can be accessed at the <a href="#">UOC Transfers website</a> and the <a href="#">UOC Knowledge map website</a>.</p> <p>UOC also runs <a href="#">HUBBIK</a>, a project specifically designed to promote entrepreneurship, open innovation, support for knowledge transfer of results, and cooperation between the entire UOC community (researchers, students, alumni, teaching staff, collaborators and management staff of the UOC and associated companies).</p> <p>Special mention should be given to the <a href="#">SpinUOC</a> (the UOCs annual <a href="#">event</a> and <a href="#">call</a> on innovation and entrepreneurship) and the <a href="#">UOC Research Showcase</a> (aimed to raise awareness of the progress of the University's research, development and innovation activities among its community).</p> <p>With regard to publication and dissemination of results on October 2010 the UOCs Governing Council, approved the <a href="#">Open Access Institutional Policy</a>. The Open Access mandate requires the staff of the University to deposit in open access in order to collect all the scientific and educational output produced within the University. Open access means online, free, immediate and permanent access to the full text of a scientific or academic article, presentation, paper.... The distinctive features of the UOC policy are the integration of all the communities of the University, taking into account research, teaching and management staff as well as bearing in mind all the document types generated within the university. In this context the <a href="#">UOC Open Access Repository</a> includes the publications derived from the research activity of the UOC.</p>
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			<p>Specialized support on research dissemination and communication is also provided to the UOC R&amp;I Community by the OSRT and the UOC's Communication Area. An specific R&amp;I Communication Plan is in place and a transversal committee (ResearchCom) on Research Communication is active and works to guarantee the dissemination and communication of the UOCs R&amp;I projects and activities.</p> <p>The UOC ResearchCom (Research Communication Committee) is formed by a transversal team to effectively address and coordinate the internal and external communication actions linked to UOC's research. Its main objectives are: to implement the R&amp; I Dissemination Subplan; to contribute to a homogeneous identity associated with the UOC R&amp;I activities; to ensure the development of coordinated and cohesive R&amp;I communication policies and strategies; to promote dissemination agents of R&amp;I between the UOC community and take advantage of institutional reach (networking); to follow the roadmap for internal and external communication of the R&amp;I activity; to be the axis for sharing content dissemination strategies; to be a focal point of cohesion and maintenance of the UOC R&amp;I brand; to intensify the R&amp;I communication activities; and to assess the R&amp;I communication needs .</p> <p>At last but not least the OSRT regularly organizes meetings and workshops with researchers (<a href="#">R&amp;I Meeting days</a>) to explain the importance of the dissemination activities, the need for protection and the way to combine the protection procedures with the publication of results.</p> <p>Besides the above actions and regulations, during the HRS4R workshops and survey participants noted that the information and regulations are scattered amongst several documents and</p>
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			<p>intranet web spaces. To solve this, the new UOC R&amp;I Catalogue of Information and Services will also include specific information on dissemination and exploitation of results services and regulations.</p> <p>Additionally, an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.</p> <p>During the HRS4R workshops and survey participants showed interest in having an specific Protocol for the dissemination of R&amp;I through social networks. The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives is also possible. This will be specially considered in the context of the new UOC Communication Plan already being developed in the context of the UOC Strategic Plan.</p>
<p>9. Public engagement</p>	<p>+/-  Almost but not fully</p>	<p>Besides the actions already in place (please find a summary in the right column), during the HRS4R workshops and survey participants showed interest in having an specific Protocol for the dissemination of R&amp;I through social networks.</p> <p>The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives were also suggested.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p>	<p>Civic Engagement is a key component of UOC's broader mission of engagement which includes enterprise and public engagement. The UOC is committed to performing open, responsible research and innovation, precisely with the intention of addressing these challenges while taking into account the needs and expectations of the different stakeholders. UOC is a networked university that fosters the individual and collective creation of knowledge and advocate open access to knowledge. Further information can be obtained <a href="#">here</a>.</p> <p>The UOC promotes university development cooperation to contribute, as a university, towards the human development of societies through teaching and research. The University fosters the activities that provide a response to the needs of the third sector and that are aimed at involving the whole of the university community in providing a solution to the major global</p>

		<ul style="list-style-type: none"> <li>● Spain's Law 14/2011, 1st June, of Science, Technology and Innovation.</li> <li>● Spanish Foundation for Science and Technology (FECYT), established on 5th June 2001.</li> <li>● Specific rules of funding agencies and sponsors H2020, MINECO, etc. on improving public's understanding of science (SwafS, MSCA fellows involvement, etc.)</li> <li>● <a href="#">UOC Access Institutional Policy</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC regulations on intellectual property of R &amp; D</a></li> </ul>	<p>and collective challenges facing society. The <a href="#">UOC's globalization and cooperation strategy</a> focuses its efforts on pursuing actions and projects that reduce the educational and social divide. The institutional stance follows the lines of cooperation, which ensure that these values are conveyed to the university community and to society, offering a critical and transformational vision.</p> <p>Significant developments have been put in place for PhD students and researchers to be encouraged to communicate their work in non-specialist language. UOC researchers are encouraged to participate in public engagement and an specific <a href="#">UOC experts guide</a> is published on paper and online to let members of the media and the society get to know the UOCs faculty and researchers, and departments and knowledge areas. It helps them when they need to find an authoritative voice on a specific subject. The directory presents a graphical summary of the most important information on the profiles of well over two hundred UOC faculty and researchers.</p> <p>There is an active participation in dissemination activities, such as conferences, workshops, or publications, targeted to multidisciplinary audiences (such as industry, researchers, academics, students, non-specialists, citizenry or municipalities).</p> <p>The Communications Area, the UOC Research Communication Committee and the OSRT provide specialized support to UOCs researchers on dissemination and communication activities targeted to different audiences.</p> <p>In 2015 the Spanish Foundation for Science and Technology (FECYT) approved the UOC's adhesion to the Network of Scientific Culture and Innovation Units. Within this adhesion the UOC became part of an initiative made up of universities,</p>
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			<p>foundations and other organizations that share the common goal of improving and increasing training, culture and knowledge related to science in society.</p> <p>The European University Association (EUA), one of the strategic international networks in which the UOC participates, is organizing a focus group on Universities and Public Engagement and invites university practitioners from around Europe to participate. The focus group wants to contribute to an European-wide debate on public engagement and it offers an opportunity for sharing practices and experiences among university leadership. The UOC participates in this initiative and hosted the <a href="#">2018 meeting</a> (further information <a href="#">here</a>).</p> <p>Several initiatives take place through the year specifically addressed to public engagement such as the recent <a href="#">Science under debate and cinema</a>.</p> <p>Besides the above actions, during the HRS4R workshops and survey participants showed interest in having an specific Protocol for the dissemination of R&amp;I through social networks. The organisation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, and open doors initiatives is also possible. This will be specially considered in the context of the new UOC Communication Plan already being developed in the context of the UOC Strategic Plan.</p>
10. Non discrimination	+ Fully implemented	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spanish Constitution Articles 9.2 / 14 / 16.1</li> <li>• Spain´s Law 3/2007, of 22 March, on effective equality between women and men</li> </ul>	<p>The UOC is committed to non discrimination and integrate it in its values. The <a href="#">UOC Statutes</a>, the <a href="#">UOC's Code of Good Practice in Research and Innovation</a>, and the <a href="#">UOC's Conduct Code</a> clearly state the principles of non-discrimination against researchers, professors, employees or students in any way, especially on the basis of gender, age, ethnic, national or social</p>

		<ul style="list-style-type: none"> <li>● Spain’s Law 4/2007, of April 12, modifies the Organic Law 6/2001, of December 21, of Universities. Disp. Adic Twelfth</li> <li>● Royal Decree Law 5/2015, of October 30, approving the revised text of the Law on the Statute of Workers' Rights. Art 14</li> <li>● Spain’s Law RD 2/2015, of October 23, which approves the revised text of the Law on the Statute of workers' rights. Articles 4 and 17</li> <li>● Spain's law 14/2011 of Science, Technology and Innovation</li> <li>● Spain’s law 6/2001 of Universities</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> <li>● <a href="#">UOC accessibility improvement plan</a></li> <li>● <a href="#">UOC equality plan</a></li> <li>● <a href="#">Regulations for the functions and responsibilities of the Síndic de Greuges (Ombudsman)</a></li> </ul>	<p>origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p> <p>Since its beginnings, the UOC has been committed to the social inclusion of people with disabilities, and it therefore seeks to provide accessibility to the university for anyone that is part of the various groups in our community. In order to further its commitment with a guarantee of accessibility, the UOC has created the <a href="#">Accessibility Programme</a>, to coordinate the implementation of the principles and action plans on this area.</p> <p>The <a href="#">Equality Unit</a> at UOC ensures since 2008 compliance with current legislation for effective equality between women and men, adopting the principle of equal opportunity and non-discrimination on the grounds of gender or sexual orientation, at all levels of the University. The unit is in charge of producing the equality plans as well as a protocol to counter harassment relating to gender or sexual orientation. The purpose of these initiatives is to lay the groundwork for implementing gender equality policies at the UOC and to raise awareness within the UOC community of the importance of including a gender perspective in all regular activities. The Gender <a href="#">Equality Unit</a> works in sensitization and training activities and makes regular diagnosis that ensure the compliance with all the equality principles.</p> <p>The <a href="#">Síndic de Greuges (ombudsman)</a> is the figure appointed by the Board of Trustees of the UOC to uphold the rights and duties of the members of the University. The Síndic acts with full independence and autonomy from all of the University’s other authorities and bodies (Article 24 of the University’s Organizational and Operational Regulations). The Síndic de Greuges defends the rights and liberties of the members of the UOC university community when infringed by any act or situation of discrimination, defencelessness or arbitrariness,</p>
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			and ensures compliance with all that set out in the UOCs Organisational and Operational Regulations and any other University regulation. The Síndic also protects and defends in those issues submitted to it or in which they decide to act.
11. Evaluation/ appraisal systems	-/+  Partially implemented	<p>UOC evaluations and appraisal systems are based on annual objectives, national and regional systems for the evaluation of researchers, and internal indicators monitoring.</p> <p>The University is planning to review and update the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers. An analysis of UOC research profiles descriptors will be done to better align them with the European profiles and to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's Law 14/2011, 1st June, of Science, Technology and Innovation Articles 5, 14, 15, 25. Parts 4 and 5</li> <li>• Spain's Law RD 1086/1989, of 28th August, on university teaching staff remunerations, modified by Royal Decrees 1949/1995, of 1st December, 74/2000 of 21st January and 1325/2002, of 13th December</li> <li>• Spain's Law Order of 2nd December 1994 establishing the proceeding to assess the research activity in development of Royal Decree 1086/1989, of 28th / August, on university teaching staff remunerations,</li> </ul>	<p>UOC follows national and regional systems for the evaluation of research activities of researchers (for R3 and R4). For predoctoral researchers (R1) UOC has implemented evaluation procedures set by national laws and University's Doctoral School, including an assessment committee of each doctoral program and also external reviewers of the projects. UOC has an internal indicators based system to monitor and evaluate research performance of Research Groups annually.</p> <p>An agreement with the Catalan University Quality Assurance Agency (the main instrument for the promotion and assurance of quality in the Catalan higher education system) is in place for the assessment of research work by faculty staff. Assessment is carried out in accordance with the criteria and procedures used by the Agency in the assessment of merits in research in all Catalan universities.</p> <p>The <a href="#">UOC's Scientific Commission for Research</a> is an independent academic international body that is appointed by the Rector of the University to assess the overall University's research performance, to oversee the progress of the doctoral programmes and to advise the Rector on research strategies. The Commission meets every two years in Barcelona to review, assess and advise on the University's research performance and particularly to evaluate the work of the research groups and the doctoral program.</p> <p>Additionally, <a href="#">UOCs Research and Innovation Committee</a> provides support and advice to the Office of the Vice President for Strategic Planning and Research. It is responsible for establishing the strategies and actions deriving from the UOC's</p>

		<p>updated by Order of 16th November 2000 and modified by Order CIN / 3040/2008, of 20th October.</p> <ul style="list-style-type: none"> <li>Spain's Law RD 63/2006 on the Statute of Doctoral Researchers</li> <li>Spain's Law Orden CIN/2657/2008 the evaluation of Doctoral Researchers</li> <li>Spain's Law RD 1052/2002 on the Accreditation for the hiring of University Professors.</li> <li><a href="#">UOC Academic regulations for doctoral studies</a></li> <li><a href="#">Rules governing the structure and functioning of research groups in the UOC</a></li> <li><a href="#">Organisational and Operational Regulations</a></li> <li><a href="#">UOCs Strategic Plan</a></li> </ul>	<p>research and innovation policy. The committee's objectives and functions include promoting growth and consolidation of the most important lines of research and drafting the annual report on research.</p> <p>Currently, UOCs research, innovation and transfer activity is organised into 43 R&amp;I groups linked to a department or to one of the University's three research centres: the Internet Interdisciplinary Institute (IN3), the eLearn Centre (eLC) and the eHealth Center. The UOC Centres have an external Scientific Advisory Board (SAB). Among their objectives the work to be carried out by the members of the SAB includes the drafting an assessment report on the activity of the centre.</p> <p>UOC is fully committed to the professional development of its staff. To underpin this ambition it has significantly advanced the process of reviewing and updating the research career path competencies as an integral part of adopting the EU Charter and Code for Researchers. An integral element of this initiative is a Performance Management and Personal Development scheme intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</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	+/-  Almost but not fully	Besides the actions already in place (please find a summary in the right column), the above mentioned review and update of the research career path competencies and skills defining roles and responsibilities for research levels will be developed. The UOC recruitment and selection procedures should be further reviewed according to C&C Principles. Special	Professors, permanent and temporary researchers are hired on the basis of a dedicated selection policy, followed by a dedicated appointment decree. There is also an specific <a href="#">job advertisement section and registration system</a> at the website. Their obligations are detailed in the national laws approved in this field and in the internal regulations. During the appointment and before the signature of the contract researchers are

		<p>attention should be given to facilitate access for researchers returning to a research career, including teachers (of any level) returning to a research career.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spanish Constitution, December 27, 1978. Articles. 10, 13, 14, 20, 27, 44, 49, 103.</li> <li>• Spain's law 6/2001, of December 21, of Universities. Title VII. On University Research and Knowledge Transfer, Articles 39 - 41. Title IX, Articles 47, 48; 67 Spanish</li> <li>• Spain's law 14/2011, of June 1, on Science, Technology and Innovation Articles 2, 4, 13, 16, 17, 18, 20 to 23, 31; disp add 13th.</li> <li>• Spain's law RD 5/2015, of October 30, approving the revised text of the Law on the Statute of workers' rights. Title IV. Chapter I. Articles 55 - 61. Royal Legislative Decree 2/2015, of October 23, approving the revised text of the Law on the Statute of Workers' Rights. Articles 4, 17 and 28</li> <li>• Spain's law RD 1/2013, of November 29, approving the revised text of the General Law on the rights of persons with disabilities and their social inclusion</li> <li>• Spain's law LO 3/2007, of 22 March, on effective equality between women and men</li> <li>• <a href="#">European Framework for Research Career</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">Remuneration tables in the collective agreement of the UOC</a></li> </ul>	<p>informed about the national, sectoral or institutional regulations. Information is also available on a permanent basis (<a href="#">here</a>) and all the UOC employees are assigned a Human Resources business partner that provides and supports each of the employees on a permanent basis.</p> <p>The UOC also provides specific <a href="#">information for foreign researchers</a> and personalized support to foreign researchers for immigration issues, visa processing, accommodation and country information, etc.</p> <p>In the area of Disability, since its beginnings, the UOC has been committed to the social inclusion of people with disabilities, and it therefore seeks to provide accessibility to the university for anyone that is part of the various groups in our community. In order to further its commitment with a guarantee of accessibility, the UOC has created the <a href="#">Accessibility Programme</a>, to coordinate the implementation of the principles and action plans on this area.</p> <p>The UOC selection policy and <a href="#">job advertisement section and registration system</a> at the website provide information on the recruitment and selection of all staff in order to ensure the most suitable person is appointed to every vacancy within the university. The selection process ensures equity, fairness, flexibility and equal opportunity principles.</p> <p>The <a href="#">UOC Academic Staff Policy</a> approved by the Governing Council on 21 December 2015 is aimed at achieving the following objectives: academic excellence, the recognition of merits, skills development, focus on innovation, respect for the diversity of profiles and talent promotion. The competencies of the research staff included in the Academic Staff Policy consider the <a href="#">European Framework for Research Career</a> published by the European Commission in July 2011.</p>
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		<ul style="list-style-type: none"> <li>• UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> <li>• <a href="#">UOC Academic Staff Policy</a></li> </ul>	<p>The above-mentioned review and update of the research career path competencies and skills will be developed. UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the recruitment and selection policy will be reviewed and updated with better descriptions of the researcher functions, evaluation criteria, professional development and wage level. The UOC procedures will also be further reviewed according to C&amp;C Principles on an adequate recognition on based merit international mobility.</p>
<p>13. Recruitment (Code)</p>	<p>-/+ Partially implemented</p>	<p>Current UOC Recruitment Policy establish recruitment procedures which are open, efficient, transparent, merit-based, supportive and internationally comparable. UOC publishes the offers on its <a href="#">website</a> and for research also on Euraxess (in English). However, not all the offers are published in English on the UOC website and this would be important to facilitate access of as many candidates as possible, including from foreign countries.</p> <p>As mentioned above the UOC recruitment and selection procedures and policy should be further reviewed according to C&amp;C Principles. It should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. Specific information should be given on how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The mechanisms to announce the position, the criteria and the results of the selection process providing</p>	<p>As above indicated the UOC selection policy and specific <a href="#">job advertisement section and registration system</a> at the website provide information on the recruitment and selection of all staff in order to ensure the most suitable person is appointed to every vacancy within the university. The selection process ensures equity, fairness, flexibility and equal opportunity principles.</p> <p>UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the UOC recruitment and selection procedure will be reviewed and updated with better descriptions of the researcher functions, evaluation criteria, professional development and wage level.</p> <p>The <a href="#">UOC Academic Staff Policy</a> approved by the Governing Council on 21 December 2015 is aimed at achieving the following objectives: academic excellence, the recognition of merits, skills development, focus on innovation, respect for the diversity of profiles and talent promotion. The competencies of the research staff included in the Academic Staff Policy consider the <a href="#">European Framework for Research Career</a> published by the European Commission in July 2011.</p>

		<p>arguments on the candidates about the results on the process should also be included.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spanish Constitution December 27, 1978. Articles. 13.14, 20, 27.10, 103.3.</li> <li>● Spain's law OL 6/2001, of December 21, of Universities. Articles 48.3, 56.2, 62, 63, 64, 65, 66, 68, 70, 89.</li> <li>● Spain's law 14/2011, of June 1, of the articles of Science, Technology and Innovation .16, 20 to 26, 31 and 32; disp.adic. 13th</li> <li>● Spain's law RD 5/2015, of October 30, approving RD 5/2015, of October 30, approving the revised text of the Law on the Statute of Workers' Rights. Title IV, Chapter I. Articles 55 to 61.</li> <li>● Spain's law RD 2/2015, of October 23, which approves the revised text of the Law on the Statute of workers' rights. Articles 17 and 28</li> <li>● Spain's law RD 1/2013, of November 29, approving the text of the General Law on the Rights of Persons with Disabilities and their social inclusion.</li> <li>● Spain's law OL 3/2007, of March 22, on effective equality between women and men.</li> <li>● <a href="#">European Framework for Research Career</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">Remuneration tables in the collective agreement of the UOC.</a></li> </ul>	<p>The selection and hiring policy will be further implemented according to the OTM-R policy. UOC publishes its offers on its website and on Euraxess (in English). However, on its web page offers are not always published in English as it should be in order to facilitate access to as many candidates as possible, including from foreign countries.</p>
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14. Selection (Code)	-/+  Partially implemented	<p>Although the UOC has an open policy and procedure for the selection and hiring of the research staff, it will be further implemented according to the OTM-R policy and published on its website (it is currently published on the Intranet).</p> <p>Current UOC Recruitment Policy establishes recruitment procedures which are open, efficient, transparent, merit-based, supportive and internationally comparable.</p> <p>UOC has currently a Strategic Plan with specific actions to attract talent and international mobility. As above-mentioned UOC publishes the offers on its <a href="#">website</a> and for research also on Euraxess (in English). However, not all the offers are published in English on UOCs website and this would be important to facilitate access of as many candidates as possible, including from foreign countries.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles 48.3, 56.2, 57 to 62, 89. Spanish Law 14/2011, 1st June, of Science, Technology and Innovation Articles 5.2, 16, 26 and 31.</li> </ul>	<p>As above indicated the UOC Recruitment and Selection procedures provide information on the recruitment and selection of all staff in order to ensure the most suitable person is appointed to every vacancy within the university. The selection process ensures equity, fairness, flexibility and equal opportunity principles.</p> <p>UOC recognises the need for Research Entities to be in a position to recruit research staff in as expeditious a manner as possible while adhering to best practice methods of recruitment and selection and in compliance with legislation.</p> <p>The Human Resources and People Development Office (HRPD) is responsible for the recruitment and selection practices and assists and advises those involved in recruitment in managing the recruitment of research staff in accordance with the regulations.</p> <p>UOC current practice requires selection decisions to be made objectively. It is mandatory that not less than one other individual who has knowledge of the research position and area is involved in making decisions at shortlisting and interview.</p> <p>It is UOC policy that candidates are shortlisted for interview based on the criteria identified in the advertisement for the post. A record must be maintained of how selection decisions were made for candidates requesting feedback on their application. Written applications and CVs form the basis of the selection process.</p>

		<ul style="list-style-type: none"> <li>Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of rights of workers. Title IV. Chapter I. Articles 60 &amp; 61.</li> <li><a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li><a href="#">Remuneration tables in the collective agreement of the UOC.</a></li> <li>UOC selection policy and <a href="#">job advertisement section and registration system</a> on the website.</li> </ul>	<p>As above-mentioned UOC publishes the offers on its <a href="#">website</a> and for research also on Euraxess (in English). However, not all the offers are published in English on UOCs website and this would be important to facilitate access of as many candidates as possible, including from foreign countries.</p> <p>UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the UOC recruitment and selection policy and procedure will be reviewed and updated with the inclusion of better regulated selection committees and regulations to establish the members and their training in OTM-R. The policy will also be published on UOCs website (it is currently published on the Intranet).</p> <p>Also, the above-mentioned review and update of the research career path competencies will be developed to more precisely define roles and responsibilities.</p>
15. Transparency (Code)	+/-  Almost but not fully	<p>As mentioned above, the current UOC Recruitment Policy establish recruitment procedures which are open, efficient, transparent, merit-based, supportive and internationally comparable. UOC publishes the offers on its <a href="#">website</a> and for research also on Euraxess (in English). However, not all the offers are published in English on UOCs website and this would be important to facilitate access of as many candidates as possible, including from foreign countries.</p> <p>As mentioned above the UOC recruitment and selection procedures and policy should be further reviewed according to C&amp;C Principles.</p>	<p>As anticipated in previous principles all research personnel is hired on the basis of a dedicated selection procedure, followed by a dedicated appointment decree. All candidates are informed about the recruitment process and the selection criteria, the number of available positions and the career development prospects. Research open positions are normally also published on Euraxess in English. However, not all the offers are published in English on UOCs website and this would be important to facilitate access of as many candidates as possible, also from foreign countries.</p> <p>Selection procedures are always open and transparent and the announcements remain available for a satisfactory period of time (usually 15 days). For each selection procedure there is always a specialist at the Human Resources and People Development Office (HRPD) that is responsible for the procedure and for providing any necessary information or</p>

		<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles 48.3, 56.2, 57 to 62, 89. Spanish Law 14/2011, 1st June, of Science, Technology and Innovation Articles 5.2, 16, 26 and 31.</li> <li>• Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of rights of workers. Title IV. Chapter I. Articles 60 &amp; 61.</li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Collective Agreement</a></li> <li>• <a href="#">Remuneration tables in the collective agreement of the UOC</a></li> <li>• <a href="#">UOC Transparency regulations</a></li> <li>• UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	<p>assistance. The outcomes of each selection are always communicated to the candidates in order to inform about the strengths and weaknesses of their applications with a view to more successful future applications. Any candidate who wish further information on the evaluation can ask for further information.</p> <p>Besides the above procedures UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the UOC recruitment and selection policy and procedure will be reviewed and updated and will be published on UOCs website (it is currently published on the Intranet).</p>
<p>16. Judging merit (Code)</p>	<p>-/+  Partially implemented</p>	<p>UOC's selection policy takes into account qualifications and research experience, including all kind of merits at quanti- and qualitative level. Applications are short listed against the selection criteria / competencies as defined in the job descriptions, and candidates are objectively assessed. It is mandatory that not less than one other individual who has knowledge of the research position and area is involved in making decisions at shortlisting and interview.</p> <p>However and as above mentioned, the UOC recruitment and selection policy and</p>	<p>A wide range of evaluation criteria are considered in the selection procedure. Key competencies, roles and responsibilities and job descriptions are available for candidates at each level. Applications are short listed against the selection criteria / competencies as defined in the job descriptions. The interview process is conducted following UOC's recruitment process. Ranking and selection of candidates is based on all aspects of the role criteria, the competencies and any other part of the selection process. This includes written application, interview, presentation (if appropriate to the competition), research experience, publication and grant, record, referees' reports, and any other aspect of the selection criteria. The UOC policy is designed to be fair and transparent. Decisions are always taken by a minimum of two individuals including HR specialists and the scientific departments.</p>

		<p>procedures will be further reviewed according to C&amp;C Principles.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spanish Constitution 27th December 1978. Articles 20, 27.10, 103.3.</li> <li>● Spain's law OL 6/2001, of 21st December, of Universities. Articles. 48.3, 56.2, 62, 63, 64, 65, 66, 68, 70, 89.</li> <li>● Spain's law 14/2011, 1st June, of Science, Technology and Innovation Articles 16, 20 to 26, 31 and 32; disp.adic. 13th</li> <li>● Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of rights of workers. Title IV, Chapter I. Articles 55 - 61. Royal Legislative Decree 2/2015, of October 23, approving the revised text of the Law of the Workers' Statute. Articles. 17 and 28 Royal Decree Legislative 1/2013, of 29th November approving the text of General Law on rights for disabled people and their social inclusion.</li> <li>● Spain's law LO 3/2007, of March 22, for the effective equality of women and men</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	<p>During the selection process merit is judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. The evaluation criteria always considers publications, teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. Attention is also paid to contributions to patents, development or inventions when needed.</p> <p>Besides the above procedures, the UOC recruitment and selection procedure and policy will be reviewed and updated considering the C&amp;C principles and recommendations. They will also be published on UOCs web page (they are currently available on the Intranet).</p>
<p>17. Variations in the chronological order of CVs (Code)</p>	<p>-/+</p>	<p>As indicated above, the current procedure considers a fair evaluation of candidates.</p> <p>Ranking and selection of candidates is based on all aspects of the role criteria, the</p>	<p>As shown above, the ranking and selection of candidates is based on all aspects of the role criteria, the competencies and any other part of the selection process. This includes written application, interview, presentation (if appropriate to the</p>

	<p>Partially implemented</p>	<p>competencies and any other part of the selection process. This includes written application, interview, research experience, publication and grant record, referees' reports, and any other aspect of the selection criteria.</p> <p>Nevertheless, there are no specific indications requesting not to judge unfairly candidates with unusual CVs or having experienced career interruptions. Therefore, there are no specific guidelines that guarantee the application of this criterion in all cases.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>Spain's law OL 6/2001, of 21st December, of Universities. Articles. 48.3, 56.2, 62, 63, 64, 65, 66, 68, 70, 89. Spanish Law 14/2011, 1st June, of Science, Technology and Innovation Articles 16, 20 to 26, 31 and 32; disp.adic. 13th.</li> <li>UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	<p>competition), research experience, publication and grant record, referees' reports, and any other aspect of the selection criteria. The UOC policy is designed to be fair and transparent. Decisions are always taken by a minimum of two individuals including HR specialists and the scientific departments.</p> <p>However, there are no specific indications requesting not to judge unfairly candidates with unusual CVs or having experienced career interruptions. Therefore, there are no specific guidelines that guarantee the application of this criterion in all cases. The UOC recruitment and selection policy and procedure will be reviewed and updated with the inclusion of better indications to consider this principle.</p>
<p>18. Recognition of mobility experience (Code)</p>	<p>-/+ Partially implemented</p>	<p>As detailed in the right column, with its strong focus on internationalisation, UOC encourages the mobility and its <a href="#">Strategic Plan</a> includes specific actions to attract talent and international mobility. Selection procedures duly take into account the added value of mobility performed abroad and the fruitful cooperation developed or to be developed with foreign entities and research centres.</p> <p>However, there are no guidelines that guarantee the application of this criterion in all</p>	<p>UOC encourages the mobility of its students and staff. As shown in the current <a href="#">Strategic Plan</a> the internationalisation principle is one of UOCs main interests and the Strategic Plan includes specific actions to attract talent and international mobility.</p> <p>In selection procedures it has increasing importance if candidates have previously performed mobility periods, considered as an added value to their global profile of mature researchers. Selection procedures duly take into account the added value of mobility performed abroad and the fruitful</p>

		<p>cases, and actions can be done to make sure scoring on a high scale the mobility as part of the assessment of the research career. Special attention should be given to intersectorial, inter- and trans--disciplinary. Virtual mobility and mobility between the public and private sector should also be considered taking into consideration UOCs nature (virtual university). Additionally, even though mobility is well accepted and promoted the university does not has an specific policy for sabbatical stays abroad in place.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles. 41, 63, 89. Spanish Law 14/2011, 1st June, of Science, Technology and Innovation. Articles.17, 18, 19.</li> <li>• <a href="#">UOCs Strategic Plan</a></li> <li>• <a href="#">Internal grants to promote mobility</a></li> <li>• UOC selection policy and <a href="#">job advertisement section and registration system</a> at the website.</li> </ul>	<p>cooperation developed or to be developed with foreign entities and research centres.</p> <p>Mobility experience is also being increasingly deemed to be one of the criteria necessary for the UOC posts and it is being considered in the same manner as the other criteria and scored accordingly in line with the recruitment procedure based on experience for the competency.</p> <p>As shown <a href="#">here</a> on the website Internationalization is one of the strategic pillars for the UOC, and it has multiple agreements with universities, educational institutions and companies worldwide. These alliances are built on a foundation of respect for and acceptance of cultural and linguistic differences. International mobility of researchers is encouraged and promoted though these strategic linkages with other Higher Education Institutions and research organizations.</p> <p>Research funding schemes such as the Marie Sklodowska Curie and other actions that promote mobility are actively promoted by the UOC Knowledge Transfer and Research Support Office (OSRT) and supported by the Human Resources and People Development Office and the Internship and Mobility Service.</p> <p>Mobility at postgraduate level is considered as an added-value when there is a clear scientific justification. UOC yearly opens <a href="#">internal grants to promote mobility</a>.</p> <p>UOC will continue to support the mobility of researchers through provision of up to-date relevant information and resources. An internal commission to better assess and promote mobility is being appointed in the context of the current UOC Strategic Action Plan.</p>
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			<p>The above-mentioned review and update of the research career path competencies and skills will be developed. UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the recruitment and selection policy will be reviewed and updated with better descriptions of the researcher functions, evaluation criteria, professional development and wage level. The UOC procedures will also be further reviewed according to C&amp;C Principles on an adequate recognition based on merit for international mobility.</p> <p>Additional actions to stimulate international mobility for UOCs Staff are to be implemented including the adoption of a policy for sabbatical stays abroad.</p>
<p>19. Recognition of qualifications (Code)</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of rights of workers. Articles 55 - 61, 76 - 79</li> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles. 33 to 38, 48 to 62, 89. Spanish Law 14/2011, 1st June, of Science, Technology and Innovation Articles 13, 21 to 23, 26, 31</li> <li>• Spain's law RD 1393/2007, 29th October, establishing the organization of the official University Studies.</li> <li>• Spain's law RD 99/2011, 28th January, regulating official Doctorate Studies.</li> <li>• Spain's law RD 967/2014, 21st November, establishing the requirements and procedure for recognition and declaration of</li> </ul>	<p>UOCs Human Resources and People Development Office request the original qualifications of applicants at offer stage of post for all positions.</p> <p>While qualifications are required for all posts, equivalencies may be considered. Non-EU applicant qualifications are also assessed.</p> <p>The appointment process at UOC includes assessment and evaluation of the academic and professional qualifications, including non-formal qualifications. The staff participating in the appointment process is aware of existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</p> <p>The People Review process in place at UOC is used to identify effectiveness and potential for movement to higher level positions and to create development plans. The process includes a professional development assessment considering current qualifications and needs.</p>

		<p>Equivalence of titles at official university level and for the recognition of foreign high education studies, and the procedure to determine the correspondence Spanish framework standards of qualifications for high education qualifications of official titles of Architect, Engineering, Graduate, Technician Architect and Diploma (BOE nº 283, of 11/22/2014)</p> <ul style="list-style-type: none"> <li>• UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	
<p>20. Seniority (Code)</p>	<p>+</p> <p>Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers. Articles 55 - 61, 76-79</li> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles. 33 to 38, 48 to 62, 89.</li> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation. Articles 13, 21 to 23, 26, 31 Royal Decree 1393/2007, of October 29, establishing the organization of the official University Studies.</li> <li>• Spain's law RD 99/2011, of 28th January, regulating of official Doctorate Studies. Royal Decree 967/2014, of 21st November, which establishes the requirements and procedure for recognition and declaration of Equivalence of titles in official university academic level and for the recognition of foreign higher education studies, and the procedure to determine the correspondence</li> </ul>	<p>As explained in the previous principles all announcements of available positions contain a clear indication of the entry requirements, i.e. of the qualifications requested from candidates.</p> <p>Such qualifications are always to be defined according to the position offered needs, both in terms of formal qualification (the request for candidates to hold a degree or a Phd, ...) and informal qualifications (having acquired experience in a certain field, having performed mobility periods, ...).</p> <p>As above mentioned, the UOC selection policy and specific <a href="#">job advertisement section and registration system</a> on the website include clear guidelines on the recruitment and selection of all staff in order to ensure that the most suitable person is appointed to every vacancy within UOC.</p> <p>The selection process ensures equity, fairness, flexibility and equal opportunity principles. Qualifications required are in line with the needs of the positions and are outlined clearly in Job Descriptions and Advertisements.</p>

		<p>Standards framework of qualifications for Spanish high education qualifications of official titles of Architect, Engineering, Graduate, Technical Architect and Bachelor (BOE nº 283 of 11/22/2014)</p> <ul style="list-style-type: none"> <li>• UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	<p>Ranking and selection of candidates is based on all aspects of the role criteria, the competencies and any other part of the selection process.</p>
<p>21. Postdoctoral appointments (Code)</p>	<p>+/- Almost but not fully</p>	<p>Besides the actions already in place (please find a summary in the right column), the above mentioned review and update of the research career path competencies and skills defining roles and responsibilities for research levels will be developed. Special attention should be given to postdoctoral appointments. An integral element of the review and update of the UOC Research Career Path is a Performance Management and Personal Development scheme. This scheme is intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement. Special attention will be paid to postdoctoral appointments.</p> <p>Additionally, and as mentioned above the UOC recruitment and selection procedures and policy should be further reviewed according to C&amp;C Principles.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles. 48.3, 89 Spanish Law 14/2011, 1st June, of Science,</li> </ul>	<p>UOC has defined levels within the researcher career path which includes, Research Assistant, Postdoctoral/Senior Researcher, Research Fellow, Senior Research Fellow.</p> <p>Specific open <a href="#">postdoctoral calls</a> are published every year. The positions are open to postdoctoral teaching and research staff in any of the fields of study at the University and its research centres. Researchers awarded a doctoral degree – whether at the UOC or elsewhere – before publication of the call for applications may apply. This program of postdoctoral research fellowships has as its objective the recognition of new researchers within existing UOC research groups. The new personnel make it possible to expand the research teams of UOC research groups, as well as improve the quality and competitiveness of the R&amp;I being carried at UOC .The program complements UOC grant programs for doctoral thesis as well as other programs offering predoctoral and postdoctoral research fellowships and contracts, such as those of the Spanish Ministry of Education and Science and of the Generalitat de Catalunya.</p> <p>While significant progress has been made UOC is fully committed to the professional development of its staff. To underpin this ambition the UOC research career path competencies and skills will be updated and reviewed as an integral part of adopting the EU Charter and Code for Researchers. An integral element of this initiative is a Performance Management and Personal Development scheme.</p>

		<p>Technology and Innovation. Articles.16, 20, 22-26, 31, disp. adic 16th.</p> <ul style="list-style-type: none"> <li>• Royal Decree Law 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers. Title IV. Chapter I. Articles 55 - 61. Title V. Chapter III. Articles 78 – 84</li> <li>• Law of Science, Technology and Innovation 14/2011, of 1st. of June</li> <li>• <a href="#">Remuneration tables in the collective agreement of the UOC</a></li> <li>• <a href="#">UOC Transparency regulations</a></li> <li>• <a href="#">UOC postdoctoral calls</a></li> </ul>	<p>This scheme is intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement. Special attention will be paid to postdoctoral appointments.</p> <p>Additionally, besides the above procedures UOC endorses the EU Code of Conduct for Recruitment of Researchers. In this context, the UOC recruitment and selection policy and procedure will be reviewed and updated. Special attention will be paid to provide more training to enable Postdoctoral researchers to acquire the skills and experience necessary to move through the research career pathway to become independent researchers or to pursue careers outside of the UOC in private enterprise or other areas of the public sector.</p>
<p><b>Working Conditions and Social Security</b></p>			
<p>22. Recognition of the profession</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law 6/2001, of 21st December, of Universities. Articles 39 to 41, 48, 83.</li> <li>• Spain's Law 14/2011, 1st June, of Science, Technology and Innovation Articles. 12 - 15, 17 - 23, 24 - 27, 31, 33, 34, 37, disp. adic 16th, 22nd, 28th.</li> <li>• <a href="#">Rules governing the structure and functioning of research groups in the UOC</a></li> <li>• <a href="#">Organisational and Operational Regulations</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC's Conduct Code</a></li> <li>• <a href="#">UOC accessibility improvement plan</a></li> <li>• <a href="#">UOC equality plan</a></li> </ul>	<p>At UOC all research staff are recognised as professionals and treated accordingly at all stages of their careers.</p> <p>Personal Development support and advice for all researchers at postdoctoral level or above is provided.</p> <p>As part of their professional development, research staff (particularly at the post-doctoral stage) are encouraged and supported in applying for research funding and an equivalent level of proposal preparation support is available for all the members of staff.</p> <p>National Law draws the general context for the regulation of the researchers positions at whatever level of the career. Additionally, according to UOCs regulations, it's expected from each university member to perform his/her tasks professionally.</p>

		<ul style="list-style-type: none"> <li>• <a href="#">Regulations for the functions and responsibilities of the Síndic de Greuges (Ombudsman)</a></li> </ul>	<p>All the staff has an specific contact person at the Human Resources and People Development Office available for any issues that may arise. The rights of all the researchers are the same regardless of the duration of the contract. R1 are included within the group of Academic Staff and Researcher.</p> <p>Each member of the university is therefore expected to recognize all colleagues at whatever career level as professionals and to treat them accordingly.</p>
<p>23. Research environment</p>	<p>+/- Almost but not fully</p>	<p>All the staff has access to a web calendar for booking spaces. In general temps in the workshops and survey participants noted that the scientific facilities are adequate, although an area for improvement is detected in the facilities and material of communal areas.</p> <p>Although the general opinion was of satisfaction, during the HRS4R workshops and survey participants noted the need of specific physical spaces and initiatives to facilitate alliances with different agents and specifically to facilitate the interaction between the academic professors and the researchers working at the UOC research centres. Additionally some participants noted that there is a need for more spaces because of the continuous growth in the number of researchers.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law OL 6/2001, of 21st December, of Universities. Articles. 39 a 41, 83, disp. adit 10th.</li> </ul>	<p>Stimulating research or research training environment is one of UOCs priorities. Attention is given to provide appropriate equipment, facilities and opportunities, including for remote collaboration over research networks. Regulations concerning health and safety in research are observed.</p> <p>Health &amp; Safety at UOC is a crucial strand of its policies ensuring that UOC operates systems and procedures which are at the leading edge in the field. UOC has specific research infrastructures and spaces and all the research personnel have the appropriate environment and equipment. The Workplace Safety Unit provides information and a regulatory framework on how to keep safe on the working environment.</p> <p>A key commitment of the UOC is to offer its employees teleworking so that they can balance their work and personal life. This allows them to manage the time they spend at work and to choose their work location, provided this has been previously agreed with their manager. Last year, more than 400 employees were able to telework, a measure which allows them to work virtually, without having to travel to the workplace. This commitment towards flexibility is set out in the <a href="#">social responsibility reports</a>.</p> <p>A work environment survey is done every year to gather</p>

		<ul style="list-style-type: none"> <li>Spain's law 14/2011, 1st June, of Science Technology and Innovation. Articles 2 - 4, 6, 11, 14, 17 -19, 33-35, 37-40.</li> <li><a href="#">Law on prevention of occupational risk (PRL)</a>.</li> <li><a href="#">Rules governing the structure and functioning of research groups in the UOC</a></li> <li><a href="#">Organizational and Operational Regulations</a></li> <li><a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li><a href="#">UOC Statutes</a></li> <li><a href="#">UOC's Conduct Code</a></li> <li><a href="#">UOC accessibility improvement plan</a></li> <li><a href="#">UOC equality plan</a></li> <li><a href="#">UOC Social responsibility reports</a></li> </ul>	<p>information about the work environment, on issues employees identify as important and areas needing improvement with the goal of understanding and improving employee engagement. Specific actions are developed every year as a result of the survey results.</p> <p>Besides the above actions and procedures during the HRS4R workshops and survey participants noted the need of specific physical spaces and initiatives to facilitate alliances with different agents and specifically to facilitate the interaction between the academic professors and the researchers working at the UOC research centres. Additionally some participants noted that there is a need for more spaces because of the continuous growth in the number of researchers.</p>
<p>24. Working conditions</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>Spain's law OL 6/2001, of 21st December, of Universities. Articles. 48, 55, 56.2, 68, 69, 89, dis. adic.23ª.</li> <li>Spain's law 14/2011, 1st June, of Science, Technology and Innovation . Articles 13, 14, 20, 26, 33, dis. adic.13ª, 23ª</li> <li>Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers. Articles 27 - 51, 55 - 61, 78 - 84. Royal Decree Law 2/2015, of October 23, approving the restated Text of the Law of rights workers.</li> <li>Spain's law RD 1/2013, of 29th November approving the restated text of General Law on rights for disabled people and their social inclusion.</li> <li>Spain's law LO 3/2007, of March 22, for the effective equality of women and men.</li> </ul>	<p>Besides full adherence to the to the legislative framework, UOC pays special attention to ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance. Several initiatives are in place to provide working conditions which allow both women and men researchers to combine family and work, children and career.</p> <p>These own policies and procedures are set to ensure that all staff and students are treated fairly and equitably and with dignity &amp; respect.</p> <p>A key commitment of the UOC is to offer its employees flexibility, so that they can balance their work and personal life. This allows them to manage the time they spend at work and to choose their work location, provided this has been previously agreed with their manager. Last year, more than 400 employees were able to telework, a measure which allows them to work virtually, without having to travel to the workplace. This commitment towards flexibility is shown in the <a href="#">social</a></p>

		<ul style="list-style-type: none"> <li>● <a href="#">Law on prevention of occupational risk (PRL).</a></li> <li>● <a href="#">Rules governing the structure and functioning of research groups in the UOC</a></li> <li>● <a href="#">Organisational and Operational Regulations</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> <li>● <a href="#">UOC accessibility improvement plan</a></li> <li>● <a href="#">UOC equality plan</a></li> <li>● <a href="#">UOC Social responsibility reports</a></li> </ul>	<p><a href="#">responsibility reports.</a></p> <p>Apart from teleworking and the measures provided by the national legislation, and in order to promote an optimal balance between work and personal life, the UOC offers its employees the following:</p> <ul style="list-style-type: none"> <li>● A 10% reduction in the working day to care for a child under twelve or a person with disabilities, with entitlement to receive 100% remuneration for the first three years</li> <li>● A 20% reduction in the working day to care for a child or a person with disabilities, with entitlement to receive 90% remuneration</li> <li>● 15 days' unpaid leave for formal or recognized training, whether face-to-face or otherwise, or to care for a family member</li> <li>● Special training leave: whenever the training is related to the professional role, a leave period between six months and one year may be requested</li> <li>● Family-work balancing leave: nine free days for balancing personal, work and family life</li> <li>● Flexibility of working time</li> <li>● Fiscal benefits for nursery school</li> <li>● Training within the working time</li> <li>● Subsidized restaurant</li> <li>● Relocation policy (monetary assistance for relocation)</li> <li>● Salary guarantee for cases of temporary disability</li> <li>● Life and Accident Insurance</li> <li>● Reimbursable Advances</li> <li>● Civil Liability Insurance</li> <li>● Flexible remuneration plan</li> <li>● Elimination of architectural barriers</li> <li>● Safe and health workplace</li> <li>● Periodic health recognition</li> <li>● Occupational health and safety course</li> </ul>
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			<p>principles.</p> <p>Throughout its history, the UOC has received several awards and accolades in recognition of its achievements in working condition principles. Further information is available <a href="#">here</a>.</p>
25. Stability and permanence of employment	-/+  Partially implemented	<p>It is UOCs policy to offer as much security of tenure as possible and to ensure the optimum duration of contract is determined at the outset.</p> <p>There is a strict legal framework. Working conditions are regulated by different labour laws and collective labour agreements, applied to all employees regardless of their nationality.</p> <p>Due to the public funds received, UOC is subordinated to some specific regulations of the public sector with major restrictive policies related to contracting. For this reason, it is difficult to guarantee a permanent position to all researchers. However, as far as possible, the organisation has the commitment to avoid uncertainty on contracts to improve the working conditions.</p> <p>The UOC provides for structured training to enable researchers to move through the research career path to become independent researchers.</p> <p>For temporary positions the university applies the duration limits established at national level. Each contract always specifies its duration and in so doing guarantees to the researcher a period of stability to complete the foreseen research program.</p>	<p>The UOC is a university that provides a public service but is organized in accordance with the principles of private management. It is subject to checks and controls stipulated but the Government including regulations governing staff recruitment. The UOCs sustainability is dependent on the government subsidy (30% of the total budget) and fulfilment of the goals defined in the Programme Contract. The University is bound by the regulations covering public administration contracting. However, the University's faculty and staff are not public sector employees.</p> <p>It is UOCs policy to offer as much security of tenure as possible and to ensure the optimum duration of contract is determined at the outset. The Principal Investigator (PI) and/or directors are required to issue the contract for the longest duration possible subject to the actual need and/or term of the project subject to funding availability.</p> <p>The UOC provides for training to enable researchers to move through the research career path to become independent researchers.</p> <p>However, there is a strict legal framework and due to the public funds received, UOC is subordinated to some specific regulations of the public sector with major restrictive policies related to contracting. For this reason, it is difficult to guarantee a permanent position to all researchers. Additionally, national prescriptions and available funds strongly limit the number of permanent positions that may be offered. For temporary positions the university applies the duration limits established at</p>

		<p>National prescriptions and available funds strongly limit the number of permanent positions that may be offered.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of a working group that will work to define a global talent retention plan.</p> <p>On top of that and as mentioned in previous principles UOC will review and update its Research Career Path as an integral part of adopting the EU Charter and Code for Researchers to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law 14/2011, 1st June, of Science, Technology and Innovation. Articles.25, 26, 31, dis. add.16th</li> <li>● Spain's law 48/2015, 29th October, on General State Budget for 2016. Articles 20.2, J).</li> <li>● Catalan Law DOGC 4821</li> <li>● Catalan Law (1/2003)</li> <li>● <a href="#">Rules governing the structure and functioning of research groups in the UOC</a></li> <li>● <a href="#">Organisational and Operational Regulations</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> </ul>	<p>national level. Each contract always specifies its duration and in so doing guarantees to the researcher a period of stability to complete the foreseen research program.</p> <p>Nevertheless, as far as possible, the organisation has the commitment to avoid uncertainty on contracts to improve the working conditions. UOC promotes the creation and maintenance of stable research groups with members of the university.</p> <p>As a result, permanent researchers staff has been increased during the last years.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of a working group that will work to define a global talent acquisition and development plan.</p> <p>UOC is fully committed to the professional development of its staff. To underpin this ambition it has significantly advanced the process of reviewing and updating the research career path competencies as an integral part of adopting the EU Charter and Code for Researchers. An integral element of this initiative is a Performance Management and Personal Development scheme intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</p> <p>As already identified in the UOC 17-20 Strategic plan two specific working groups are being appointed: one on talent acquisition and recruitment and one on talent development. A subplan specific for research will be implemented in order to create a work environment characterized by trust, distributed leadership, institutional commitment and recognition of professional expectations and achievements, enabling the University to attract and retain talent.</p>
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26. Funding and salaries	-/+  Partially implemented	<p>The regulatory framework is strict. All university researchers, especially R1, have included the social security protection and are paid progressively according to the professional level in which they are. Salaries are managed taking into consideration the salary scales.</p> <p>Social security provisions are regulated at national level. National regulations establish the minimum and maximum level of remuneration. Teachers and permanent researchers enjoy, according to national legislation, full social security assistance (including sickness, unemployment, maternity, parental leaves, retirement and so on). As indicated in previous principles, UOC notably complements these with additional internal measures.</p> <p>During the HRS4R workshops and survey participants communicated the perception of significant differences among researchers from different professional categories and research groups. Some of them also showed dissatisfaction regarding the structure of retributions within the organisation, and the perception of lack of clear correlation between levels of responsibility and levels of payment.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of a working group that will work to define a global talent retention plan.</p>	<p>As mentioned in previous principles, UOC has salary scales as the basis for remuneration estimation.</p> <p>Contracts of employment issued to research staff include provisions on employment entitlements such as annual leave, sick leave, etc. Salaries are periodically reviewed according to professional development, responsibilities and budget availability. Social security provisions are regulated at national level. National regulations establish the minimum and maximum level of remuneration.</p> <p>As far as social security is concerned teachers and permanent researchers enjoy, according to national legislation, full social security assistance (including sickness, unemployment, maternity, parental leaves, retirement and so on). As indicated in principle 24 UOC complements these with additional internal measures. The UOC implements the National legislation guaranteeing to all its researchers wages and salaries in line with existing rules.</p> <p>During the HRS4R workshops and survey participants noted the perception of significant differences among researchers from different professional categories and research groups. Some participants showed dissatisfaction regarding the structure of retributions within the organisation, and the perception of lack of clear correlation between levels of responsibility and levels of payment.</p> <p>UOC is fully committed to the satisfaction and professional development of its staff. To underpin this ambition it has significantly advanced the process of reviewing and updating the research career path competencies as an integral part of adopting the EU Charter and Code for Researchers. An integral</p>

		<p>As mentioned above, the implementation of the Researcher Career Path for research levels will be developed. This scheme is intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement also in terms of salary and remuneration policy.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law RD 2/2015, of October 23, approving the restated text of the Law of rights workers. Articles 17, 28</li> <li>● Spain's law RD 8/2015, October 0, approving the restated text on the General Law of Social Security (several provisions).</li> <li>● Spain's law OL of Universities 6/2001, 21st. December</li> <li>● Spain's Law of Science, Technology and Innovation 14/2011, of 1st. of June</li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC 17-20 Strategic plan</a></li> <li>● <a href="#">Remuneration tables in the collective agreement of the UOC</a></li> </ul>	<p>element of this initiative is a Performance Management and Personal Development. This scheme is intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement also in terms of salary and remuneration policy.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of a working group that will work to define a global talent retention plan.</p>
<p>27. Gender balance</p>	<p><b>+</b> Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law OL 3/2007, of March 22, for the effective equality of women and men.</li> <li>● Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers. Articles 1, 52 and disp. adit 7th).</li> </ul>	<p>As already mentioned non-discrimination is one of the most important principles for UOC.</p> <p>There is a strong commitment of the UOC against any form of discrimination. Please find a summary on the right column of the actions in place (<a href="#">Equality Unit</a>, <a href="#">UOCs Equality Plan for Women and Men 2015-2019</a>).</p> <p>There is a representative gender balance at all levels of staff, including at supervisory and managerial level. This</p>

		<ul style="list-style-type: none"> <li>• Spain's law RD 2/2015, of October 23, approving the restated text of the Law of rights workers. Article 17.</li> <li>• Spain's law OL Organic Law of Universities 6/2001, 21st. December.</li> <li>• <a href="#">UOCs Equality Plan for Women and Men 2015-2019</a></li> <li>• <a href="#">Equality Unit objectives</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC's Code of Ethics</a></li> <li>• <a href="#">UOC's Conduct Code</a></li> </ul>	<p>is achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. Please refer to <a href="#">UOC's reports</a> for further information about the staff distribution by gender. UOC has a female staff ratio above 50%.</p> <p>The <a href="#">Gender Equality Unit</a> at UOC ensures since 2008 compliance with current legislation for effective equality between women and men, adopting the principle of equal opportunity and non-discrimination on the grounds of gender or sexual orientation, at all levels of the University. The unit is in charge of producing the equality plans as well as a protocol to counter harassment relating to gender or sexual orientation. The purpose of these initiatives is to lay the groundwork for implementing gender equality policies at the UOC and to raise awareness within the UOC community of the importance of including a gender perspective in all regular activities. The Gender Equality Unit works in sensitization and training activities and makes regular diagnosis that ensure the compliance with all the equality principles.</p> <p><a href="#">UOCs Equality Plan for Women and Men 2015-2019</a> is the University's third plan since the Equality Unit was brought into being. This is the document (drafted by the members of the Equality Unit) the UOC uses to bolster and engage in the policy to fight against inequality between women and men in the university domain, both within Catalonia and at a national level.</p> <p>The Equality Plan has eight key areas: Area 1 - Consolidate gender equality policies in the institution; Area 2 - Make gender inequalities visible, and raise awareness on this issue; Area 3 - Use a non-sexist, non-androcentric perspective in the UOC's communications and publications; Area 4 - Promote the</p>
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			<p>introduction of the gender perspective across all fields in the contents of research and teaching; Area 5 - Endeavour to ensure balanced representation of men and women in bodies and areas in which decisions are made; Area 6 - Promote parity in academic activities; Area 7 - Promote access to work and professional careers. Area 8 - Manage working conditions from a gender perspective (please refer to the plan to see specific actions).</p> <p>In addition to the proactive measures taken and described in the above plan the <a href="#">Equality Unit</a> also provides services to all the staff in:</p> <ol style="list-style-type: none"> <li>1. Advice: The Unit offers advice and support on how to incorporate the gender perspective in UOC procedures and activities, in the spheres of teaching, research, decision-making, marketing actions and internal and external communication.</li> <li>2. Complaints and requests service: If any employee has a complaint, request or query related to a situation of gender discrimination, such as sexual harassment, homophobia, lesbophobia or transphobia, occurring within the context of her/his activity at the UOC, staff can contact the Equality Unit in absolute confidentiality.</li> </ol> <p>It is worth noting that UOC is also a main actor in European Research on gender issues. The <a href="#">GENTIC research group</a> analyses the gender relations involved in the design, development and use of scientific and technological innovations, with particular emphasis on the information and communication technologies (ICT) and the STEM domains (science, technology, engineering and mathematics). The group is coordinating various European funded projects to promote gender equality in science.</p>
28. Career development	-/+	UOC is fully committed to the career development of its employees to facilitate	UOC works to provide guidance in supporting career progression and development, giving researchers the tools and

	<p>Partially implemented</p>	<p>personal and professional development enabling individuals, departments, committees and any other work groups to achieve their full potential regardless of their contractual situation, including for researchers on fixed-term contracts. This commitment is included in the <a href="#">UOC Strategic Plan</a> which includes an specific Action Plan (Be UOC) with actions in place addressed to further implement the career development provisions (please see additional details in the right column). The People Review process in place for permanent staff (an annual process with a dynamic, objective overview of the performance of the individuals in the organization) includes a continuous professional development assessment considering current qualifications and needs.</p> <p>However, the UOC is planning to review and update the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers. An analysis of UOC research profiles descriptors will be done to better align them with the European profiles and to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of a working group that will work to define a global talent retention plan.</p>	<p>confidence to develop the proper career. This support service is done through personal advice as well as seminars and specific sessions oriented to increase competitiveness, add value to the experience and knowledge gained through the doctorate, develop new skills and competences.</p> <p>This commitment is included in the <a href="#">UOC Strategic Plan</a> - the road map that accompanies the University's strategy and helps prioritize decision making - which includes an specific Action Plan (Be UOC) designed to define and continuously improve on how the UOC organizes the work, how it manages resources efficiently to contribute to the sustainability of the organization, how it commits to the development of professionals and their career and how it fosters accountability, recognition of success and the social awareness of the institution. Among the specific actions included in the plan are the implementation of career plans, the UOC Profiles Map (current and future), the establishment of a training and coaching plan, and the creation of an specific action plan to foster leadership and responsibility.</p> <p>The People Review process in place at UOC for permanent staff is used to identify effectiveness and potential for movement to higher level positions and to create development plans. The process includes a professional development assessment considering current qualifications and needs. Competence and career development is a natural topic discussed in researchers' annual People Review and performance appraisal with their superiors.</p> <p>All the staff have mentors and a specific contact person at the Human Resources and People Development Office assisting and following the advancements in their career.</p> <p>Additionally, UOC provides specific courses and training activities in transversal skills such as: project management,</p>
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<p>29. Value of mobility</p>	<p>-/+ Partially implemented</p>	<p>Mobility is recognized at UOC as one of the main aspects in the research career. UOC encourages and promotes the mobility of its researchers as a commitment to their learning and university knowledge itself. There are specific calls to promote mobility, supporting the incorporation of postdoctoral staff, promoting MSCA and ITN programs, etc. Please see further details on the right column.</p>	<p>As mentioned in previous principles UOC embraces and supports mobility experience. The university recognizes that experience gained through mobility is an integral part of career development and should be recognised as such, and furthermore should be encouraged on an ongoing basis.</p> <p>As shown in the current <a href="#">Strategic Plan</a> the internationalisation principle is one of UOCs main interests and the Strategic Plan includes specific actions to attract talent and international mobility.</p>



		<p>Besides these actions and procedures, there are no specific fixed guidelines that guarantee the application of this criterion in all cases, and actions can be done to make sure scoring on a high scale the mobility as part of the assessment of the research career. Special attention should be given to intersectorial, inter- and transdisciplinary. Virtual mobility and mobility between the public and private sector should also be considered taking into consideration UOCs nature (virtual university). Additionally, even though mobility is well accepted and promoted the university does not have a specific policy for sabbatical stays abroad in place.</p> <p>As mentioned above, the University is planning to update an review the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers in order to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement. Special attention will be given to an adequate recognition of mobility.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation Articles 14, 17, 20 and 39</li> <li>• Spain's law of Universities 6/2001, 21st. December</li> </ul>	<p>As shown <a href="#">here</a> UOC participates in a large number of international research collaborations, memorandum of understanding and other formal collaborative agreements which facilitate multi-institutional graduate research programmes and the interinstitutional mobility of postgraduate research students. These alliances are built on a foundation of respect for and acceptance of cultural and linguistic differences. This activity is also reflected in the number of international organisations with which UOC publishes annually.</p> <p>UOC is an active participant in the Erasmus+ Program encouraging student and staff mobility and European co-operation involving higher education institutions and other key players in the knowledge-based economy (see further information <a href="#">here</a>).</p> <p>The experience of students undertaking postgraduate research is increasingly mobile and internationalised.</p> <p>Research funding schemes such as the Marie Sklodowska Curie and other actions that promote mobility are actively promoted by the UOC Knowledge Transfer and Research Support Office (OSRT) and supported by the Human Resources and People Development Office and the Internship and Mobility Service.</p> <p>UOC yearly opens <a href="#">internal grants to promote mobility</a> of R1.</p> <p>In selection procedures it has as well acquired growing importance if candidates have previously performed mobility periods, considered as an added value to their global profile of mature researchers. Mobility experience is also being increasingly deemed to be one of the criteria necessary for the UOC posts and it is being considered in the same manner as the other criteria and scored accordingly in line with the</p>
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		<ul style="list-style-type: none"> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC 17-20 Strategic plan</a></li> <li>• <a href="#">UOCs Strategic Plan</a></li> <li>• <a href="#">Internal grants to promote mobility</a></li> <li>• UOC selection policy and <a href="#">job advert section and registration system</a> at the website.</li> </ul>	<p>recruitment procedure based on experience for the competency.</p> <p>UOC will continue to support the mobility of researchers through provision of up to-date relevant information and resources. An internal commission to better assess and promote mobility is being appointed in the context of the current UOC Strategic Action Plan.</p> <p>The above mentioned review and update of the UOC research career path competencies and skills will include a more detailed definition of the roles and responsibilities for research levels. UOC endorses the EU Code of Conduct for Recruitment of Researchers. In the context of the review of the research career path competencies and skills the UOC recruitment and selection procedure will be reviewed and refreshed with better descriptions of the researcher functions, evaluation criteria, professional development and wage level. Special attention will be given to mobility. The UOC procedures will also be further reviewed according to C&amp;C Principles on an adequate recognition on based merit international mobility.</p> <p>Additional actions to stimulate international mobility for UOCs Staff are to be implemented including the adoption of a policy for sabbatical stays abroad.</p>
<p>30. Access to career advice</p>	<p>-/+ Partially implemented</p>	<p>UOC is fully committed to providing career advice and facilitating career development of its employees to promote personal and professional development enabling individuals, departments, committees and any other work groups to achieve their full potential regardless of their contractual situation, including for researchers on fixed-term contracts (please see details in the right column). However, the university needs to review the research career path competencies and skills to align them with</p>	<p>UOC offers career advice and assistance to its personnel at all stages of their careers regardless of their contractual situation.</p> <p>UOC works to provide guidance in supporting career progression and development, giving researchers the tools and confidence to develop the proper career. This support service is done through personal advice as well as seminars and specific sessions oriented to increase competitiveness, add value to the experience and knowledge gained through the doctorate, develop new skills and competences.</p>

		<p>the European research profiles descriptors. This review will be done as an integral part of adopting the EU Charter and Code for Researchers in order to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement. Specific attention will be given to career advice services.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of two working groups: one on talent acquisition and recruitment and one on talent development.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law 14/2011, 1st June, of Science, Technology and Innovation Articles 2, 4, 21 and 22</li> <li>● Spain's law of Universities 6/2001, 21st. December</li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC 17-20 Strategic plan</a></li> </ul>	<p>This commitment is included in the <a href="#">UOC Strategic Plan</a> - the road map that accompanies the University's strategy and helps prioritize decision making - which includes an specific Action Plan (Be UOC) designed to define and continuously improve on how the UOC organizes the work, how it manages resources efficiently to contribute to the sustainability of the organization, how it commits to the development of professionals and their career and how it fosters accountability, recognition of success and the social awareness of the institution. Among the specific actions included in the plan are the implementation of career plans, the UOC Profiles Map (current and future), the establishment of a training and coaching plan, and the creation of a specific action plan to foster leadership and responsibility.</p> <p>The People Review process in place at UOC is used to identify effectiveness and potential for movement to higher level positions and to create development plans. The process includes a professional development assessment considering current qualifications and needs. Competence and career development is a natural topic discussed in researchers' annual People Review and performance appraisal with their superiors. Both the immediate superior and the Human Resources and People Development Office participate in the process. A calibration is done with other staff that is in touch with the person assessed. Career advice is considered in the process.</p> <p>All the staff have mentors and a specific contact person at the Human Resources and People Development Office assisting and following the advancements in their career.</p> <p>Additionally, UOC provides specific courses and training activities in transversal skills such as: project management, IPR, entrepreneurship, leadership and communication skills for all its researchers. Further information can be found <a href="#">here</a>.</p>
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<p>31. Intellectual Property Rights</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>Spain's law 11/1986, 20th March, on Patents. Consolidated Text of the Law on Intellectual Property, regularizing, clarifying and harmonizing the Applicable Statutory Provisions (approved by Royal Legislative Decree No. 1/1996 of April 12, 1996,</li> <li>Spain's law 3/2000, 7th January, on Plant variety legislation Law 20/2003, of 7th July, on the Legal protection of Industrial Designs.</li> <li>Spain's law OL 6/2001, 21st September, on Universities. (Article 80)</li> <li>Spain's law 14/2011, 1st June, of Science, Technology and Innovation Articles. 14, 15</li> </ul>	<p>This basic goal of the research, development and innovation (RDI) activity carried out by the UOC is to create, publish and disseminate the knowledge generated and to transfer technologies and knowledge to third parties, so that they are reverted to society.</p> <p>UOC has an <a href="#">explicit policy on Intellectual Property</a> which outlines what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.</p> <p>The fundamental principles underlying these regulations are the recognition of the authorship and rights of the UOC's staff and research groups, the protection and efficient management of</p>

		<ul style="list-style-type: none"> <li>• Spain's law 2/2011 sustainable economy</li> <li>• Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights.</li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Policy on Intellectual Property</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC Collective Agreement</a></li> <li>• <a href="#">UOC's Code of Ethics</a></li> <li>• <a href="#">UOC's Conduct Code</a></li> </ul>	<p>the UOC's industrial and intellectual property rights, the open access publishing of the results and the release under a free licence of the works (literary, artistic and scientific, including software) and inventions owned by the UOC, without prejudice to the agreements and covenants that the UOC may have concluded with third parties and the UOC's entitlement to reserve rights if it considers this to be advisable.</p> <p>Through the <a href="#">UOC Knowledge Transfer and Research Support Office (OSRT)</a>, the UOC provides the necessary services for managing the creation and dissemination of results and the transfer of knowledge and technologies, and, in particular, the selection of dissemination media for these purposes and/or the creation of business entities controlled by the UOC (technology based company, spin-offs), for academic, commercial and industrial exploitation of the results.</p> <p>In accordance with the above and taking into account the regulatory background, the UOC has established specific regulations and actions as a way to contribute to the development of its intellectual and industrial property portfolio and its transfer to society.</p>
32. Co-authorship	<p>+/-</p> <p>Almost but not fully</p>	<p><a href="#">UOC's Code of Ethics</a> and <a href="#">UOC's Code of Good Practice in Research and Innovation</a> specifically identify the importance of appropriate recognition of intellectual input on co-authored papers. Additionally UOC has specific regulations on <a href="#">Recommendations for author signatures on scientific output</a>. Despite the above regulations, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and Monitoring Committee</i> noticed some lack of knowledge of the regulations. Participants also noted that information is scattered amongst several</p>	<p>UOC encourages co-authorship among its members, as well as the staff from other institutions. Researchers, including those at the beginning of their research careers, are provided with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).</p> <p><a href="#">UOC's Code of Ethics</a> and <a href="#">UOC's Code of Good Practice in Research and Innovation</a> specifically identify the importance of appropriate recognition of intellectual input on co-authored</p>

	<p>documents and intranet pages and highlighted the need for quantifiable and evaluable indicators for co-authorship.</p> <p>Information will be included at the UOC Welcome Package and at the R&amp;I Catalogue of Information and Services that will be implemented.</p> <p>A Dissemination Plan of both the Welcome Package and the R&amp;I Catalogue of Information and Services targeted to R1-R2/R3-R4 will also be developed.</p> <p>The above-mentioned recommendations will be reviewed according to the need for quantifiable and evaluable indicators for co-authorship.</p> <p>Additionally, at the present time no anti-plagiarism software is systematically used to verify the originality of the publications and research proposals made by UOC researchers.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's Law 14/2011, 1st June, of Science, Technology and Innovation Article. 14.</li> <li>● Spain's law on Intellectual Property (RD 1/1996).</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Policy on Intellectual Property</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC Collective Agreement</a></li> <li>● <a href="#">UOC's Code of Ethics</a></li> <li>● <a href="#">UOC's Conduct Code</a></li> </ul>	<p>papers. Additionally UOC has specific regulations on <a href="#">Recommendations for author signatures on scientific output</a>.</p> <p>Despite the above regulations, during the HRS4R workshops and survey the <i>UOC HRS4R Implementation and Monitoring Committee</i> noticed some lack of knowledge of the regulations.</p> <p>Information will be included at the UOC Welcome Package that will be implemented. Special action will be taken with R1 (Pre-Doctoral). Additionally, a dissemination Plan of the Welcome Package targeted to R1-R2/R3-R4 will be developed.</p> <p>Furthermore, during the HRS4R workshops and survey participants highlighted that information is scattered in several documents and intranet pages. For this reason a specific R&amp;I Catalogue of Information and Services will be developed. A Dissemination Plan of the R&amp;I Catalogue of Information and Services targeted to R1-R2/R3-R4 will also be developed. Participants also highlighted the need for quantifiable and evaluable indicators for coauthorship and the above mentioned recommendations will be reviewed according to this need.</p> <p>Additionally, an internal protocol in order to systematically verify the originality of the publications and research proposals made by UOC researcher's will be developed.</p>
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<p>33. Teaching</p>	<p>-/+ Partially implemented</p>	<p>Research and Innovation are a core activity within the university. The UOC's research, innovation and transfer activity is organised into 45 R&amp;I groups linked to a department or to one of the University's three research centres. Research staff are welcome to undertake teaching activities and professors are expected to carry out research activities. The university has full time researchers and professors devoting time to research. Teaching and learning are considered to be an important component of professional development for researchers although special attention is provided to protect researcher's ability to carry out their research duties. Teaching staff who wish to focus on research can apply for a reduction of the teaching load, while those who wish to develop their teaching career are provided with access to appropriate training.</p> <p>During the HRS4R workshops and survey the UOC HRS4R Implementation and Monitoring Committee participants showed interest in the development of an established system aimed at determining an optimal proportion between teaching and research duties, taking into account individual/specific predispositions, competences and expectations of each employee. The university policy on merit-based adjustments to teaching load will be revised taking into account this need.</p>	<p>UOC began its activities in the academic year 1995/1996. Over these years, the University has continuously increased and diversified its course offering, adding studies in Spanish and English. It has improved its educational methodology, creating a student-centred learning model. It has progressively expanded with a wide network of centres and information points and has made a leap into the international market. It has also opened three research centres specializing in the information and knowledge society, in e-learning and in e-health.</p> <p>Research and Innovation are a core activity within the university. The UOC's research, innovation and transfer activity is organised into 45 R&amp;I groups linked to a department or to one of the University's three research centres.</p> <p>As the UOCs research institute, IN3 focuses its activity on the interdisciplinary area of the information and knowledge society. The eLC is a e-learning research, innovation and training centre essentially concerned with higher education and lifelong learning. The eHealth Centre is an academic centre open to the world whose goal is to educate and empower professionals and ordinary citizens, through the use of technologies, to lead the paradigm shift in health. It focuses on people, through research, education and guidance, to contribute to the progress and wellbeing of society.</p> <p>Research groups linked to UOC departments are specialised in the areas of arts and humanities, social sciences, health sciences and technology and communication.</p>

		<p>Participants also showed interest in building greater awareness of the opportunities for teaching available in the university and the importance of teaching as part of a researcher's career development.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's Law 14/2011, 1st June, of Science, Technology and Innovation Article. 14.</li> <li>● Spain's Law of Universities OL 6/2001, 21st. December.</li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC Collective Agreement</a></li> <li>● <a href="#">UOC Academic Staff Policy</a></li> </ul>	<p>The university has full time researchers and professors devoting time to research. Teaching and learning are considered to be an important component of professional development for researchers although special attention is provided to protect researcher's ability to carry out their research duties. Teaching staff who wish to focus on research can apply for a reduction of the teaching load, while those who wish to develop their teaching career are provided with access to appropriate training.</p> <p>The <a href="#">UOC Academic Staff Policy</a> approved by the Governing Council on 21 December 2015 is aimed at achieving the following objectives: academic excellence, the recognition of merits, skills development, focus on innovation, respect for the diversity of profiles and talent promotion. The competencies of the research staff included in the Academic Staff Policy consider the <a href="#">European Framework for Research Career</a> published by the European Commission in July 2011.</p> <p>Besides the above, during the HRS4R workshops and survey the UOC HRS4R Implementation and Monitoring Committee participants showed interest in the development of an established system aimed at determining an optimal proportion between teaching and research duties, taking into account individual/specific predispositions, competences and expectations of each employee. The university assessment on merit-based adjustments to teaching load will be revised taking into account this need.</p> <p>Participants also showed interest in building greater awareness of the opportunities for teaching available in the university and the importance of teaching as part of a researcher's career development.</p>
34. Complains/ appeals	+	Legal framework and links to existing institutional rules and/or practices:	UOC has appropriate mechanisms and procedures in compliance with national and internal rules and regulations to



	<p>Fully implemented</p>	<ul style="list-style-type: none"> <li>• Spain's law OL 6/2011, of 21st December, of Universities. Dis. adic.14<sup>a</sup>.</li> <li>• <a href="#">Organizational and Operational Regulations</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">Regulations for the functions and responsibilities of the Síndic de Greuges (Ombudsman)</a></li> </ul>	<p>deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers.</p> <p>The UOC's grievance procedure can be used to resolve any issues or difficulties and to ensure that grievances are handled in accordance with the principles of natural justice and fairness and that a good working environment is maintained in the workplace.</p> <p>The <a href="#">Síndic de Greuges (ombudsman)</a> is the figure appointed by the Board of Trustees of the UOC to uphold the rights and duties of the members of the University. The Síndic acts with full independence and autonomy from all of the University's other authorities and bodies (Article 24 of the University's Organisational and Operational Regulations). The Síndic de Greuges defends the rights and liberties of the members of the UOC university community when infringed by any act or situation of discrimination, defencelessness or arbitrariness, and ensures compliance with all that set out in the UOC's Organisational and Operational Regulations and any other University regulation. The Síndic also protects and defends members on those issues submitted to it or in which they decide to act.</p> <p>All the staff have an specific contact person at the Human Resources and People Development Office that can be contacted with any complains and/or appeals.</p> <p>Additionally, The People Review process in place at UOC for permanent staff is used to identify effectiveness and potential for movement to higher level positions and to create development plans. The process includes a professional development assessment considering current qualifications and</p>
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<p>35. Participation in decision-making bodies</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law RD 2/2015, of October 23, approving the restated text of the Law of rights workers. Articles 4, 62-76</li> <li>• Spain's law RD 5/2015, of 30th October approving the restated text of Law on the Statute of Rights of Workers. Articles 15, 39-44.</li> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation Articles 8, 9, 10, 14 and 15).</li> <li>• Spain's Law of Universities OL 6/2001, 21st. December.</li> </ul>	<p>Researchers are encouraged to share their opinions through several channels, both individual and collective, personal and anonymous</p> <p>Research staff within the university are encouraged to and often do participate in the decision making process at different levels. For example, researchers are present on the <a href="#">Academic Committee</a>, the <a href="#">Research and Innovation Committee</a>, the <a href="#">Board of Ethics</a>, Departmental R&amp;I Boards of Study, etc.</p> <p>Additionally, all staff is encouraged to participate in the <a href="#">Strategic Plan</a> development, which is the road map that accompanies the University's strategy and helps prioritize decision making. To reinforce the operating stage of the plan, each of the six action plans is led by a member of the Executive</p>

		<ul style="list-style-type: none"> <li>• <a href="#">Organisational and Operational Regulations</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC Strategic Plan</a></li> </ul>	<p>Board, who monitors it and act as enabler. Similarly, the coordination managers of the nineteen sub-action plans each have a liaison who provides them with technical support.</p> <p>Furthermore, during 2017, the figure of the Deputy Director of Research, who represents the researchers and their interests in the direction of each study, has been implemented, as well as ensuring the promotion of research.</p>
<p>Training and Development</p>			
<p>36. Relation with supervisors</p>	<p>+</p> <p>Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation. Pending the development of the regulation.</li> <li>• Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>• <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>• <a href="#">UOC Collective Agreement</a></li> </ul>	<p>All the staff has regular meeting with their supervisors and group leaders as well as specific objectives that are periodically reviewed. Meetings with all the members of the research group are also carried on a regular basis. Work in progress is monitored and traceable and specific reports are prepared on a regular basis.</p> <p>In order to make sure that these tasks are performed to the highest professional standards support is provided by the Human Resources and People Development Office. A programme for professional development is in place. Apart from the supervision done by the senior researchers and group leaders, all the staff have a specific contact person at the Human Resources and People Development Office that follows the development of each employee.</p> <p>Additionally, the People Review process in place at UOC for permanent staff (an annual process with a dynamic, objective overview of the performance of the individuals in the organization) includes a continuous professional development assessment considering supervision and managerial when needed.</p> <p>For doctorate students, upon admission to the doctoral programme, the programme's academic committee assigns</p>

			<p>a thesis tutor to the doctoral student, who is responsible for aligning the tuition and research activity with the principles of the programme and of the Doctoral School and must comply with the requirements and functions set forth in the UOC Doctoral School's internal bylaws (<a href="#">Academic regulations for the UOC's doctoral studies</a>).</p> <p>The UOCs <a href="#">Research and Innovation Committee</a> is also in charge of continuously guaranteeing the quality of the training programmes for early-stage researchers and proposing continuing education for faculty and researchers. The Committee meets every month.</p> <p>Furthermore, an anonymous employee survey about the employee experience to check on its progress toward the desired outcomes is carried on a yearly basis. The survey helps to measure the experience of all the UOC's employees and to assess overall employee satisfaction and engagement regarding UOCs leadership, culture, communication, opportunities to learn and grow, etc. The survey includes specific questions addressed to assess the researcher's relationship with their supervisor's and colleagues.</p>
<p>37. Supervision and managerial duties</p>	<p>+ Fully implemented</p>	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>● Spain's law 14/2011, 1st June, of Science, Technology and Innovation. Pending the development of the regulation .</li> <li>● Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>● <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> </ul>	<p>Senior researchers are requested to devote attention to their role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators to the highest standards.</p> <p>A constructive positive relationship between all the research staff and their supervisors is a key criterion in promotion. In order to make sure that these tasks are performed to the highest professional standards support is provided by the Human Resources and People Development Office. A training program for research supervisors is in place. Apart from the supervision done by the senior researchers and group leaders, all the staff have a specific contact person at the Human</p>

		<ul style="list-style-type: none"> <li>• <a href="#">UOC Collective Agreement</a></li> </ul>	<p>Resources and People Development Office that follows the development of each employee.</p> <p>Additionally, the People Review process (an annual process with a dynamic, objective overview of the performance of the individuals in the organisation) in place at UOC includes a continuous professional development assessment of supervision and managerial duties. The process includes a guided discussion on key aspects and feedback mechanisms.</p> <p>All researchers must complete a six months probationary period and all of them are assigned a supervisor. Group leaders, supervisors and researchers are required to meet periodically for the specific purpose of managing performance and also to review specific annual objectives. In the case of the staff in training, activity projects and activity monitoring reports are developed and sent to the funder.</p> <p>For doctorate students, upon admission to the doctoral programme, the programme's academic committee assigns a thesis tutor (see details in previous principle) who must propose a study plan to the academic committee that is personalized for each doctoral student he or she is tutoring, taking into account the criteria established in each doctoral programme and the doctoral student's prior training and research experience.</p> <p>Furthermore, an anonymous employee survey about the employee experience to check on its progress toward the desired outcomes is carried on a yearly basis. The survey helps to measure the experience of all the UOC's employees and to assess overall employee satisfaction and engagement regarding UOCs leadership, culture, communication, opportunities to learn and grow, etc. The survey includes</p>
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			specific questions addressed to assess the researcher's satisfaction with their supervisor or mentors of researchers.
38. Continuing Professional Development	-/+ Partially implemented	<p>UOC is fully committed to continuing professional development to facilitate personal and professional development enabling individuals, departments, committees and any other work groups to achieve their full potential regardless of their contractual situation, including for researchers on fixed-term contracts. This commitment is included in the <a href="#">UOC Strategic Plan</a>. Additionally, the People Review process in place at UOC for permanent staff includes a continuous professional development assessment considering current qualifications and needs. However, the research career path competencies and skills might be reviewed taking into consideration the European research profiles descriptors. This is why UOC is planning to review the research career path competencies and skills as an integral part of adopting the EU Charter and Code for Researchers to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</p> <p><a href="#">UOC 17-20 Strategic plan</a> includes the creation of two working groups: one on talent acquisition and recruitment and one on talent development.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p>	<p>UOC works to provide guidance in supporting career progression and development, giving researchers the tools and confidence to develop the proper career. This support service is done through personal advice as well as seminars and specific sessions oriented to increase competitiveness, add value to the experience and knowledge gained through the doctorate, develop new skills and competences.</p> <p>UOC provides training opportunities for all its research staff including UOC training programs and external training programs. Research staff can avail of these opportunities. Online materials from Vitae are also available to staff.</p> <p>Training and support is also provided on a regular basis on academic writing, responsible research and innovation, grant writing, etc. Internal grants are also provided to cover research stays and congress participation expenses for R1 (see <a href="#">here</a>).</p> <p>UOCs PhD programmes also provide professional skills modules including specific courses on entrepreneurship, academic writing, academic Presentations, patents and intellectual property protection, responsible research &amp; innovation (RRI) for researchers, and strategy and RDI Projects planning (see <a href="#">here</a>).</p> <p>This commitment to continuous professional development is included in the <a href="#">UOC Strategic Plan</a> - the road map that accompanies the University's strategy and helps prioritize decision making which includes an specific Action Plan (Be UOC). Among the specific actions included in the plan are the</p>

		<ul style="list-style-type: none"> <li>● Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>● <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">UOC Strategic Plan</a></li> </ul>	<p>implementation of career plans, the UOC Profiles Map (current and future), the establishment of a training and coaching plan, and the creation of an specific action plan to foster leadership and responsibility.</p> <p>The People Review process already mentioned in previous principles and in place at UOC for permanent staff also includes a professional development assessment considering current qualifications and needs. Competence and career development is a natural topic discussed in researchers' annual People Review and performance appraisal with their superiors.</p> <p>As shown, UOC is fully committed to the professional development of its staff. The university provides for defined levels within the research career path with continuous professional development at each level. However, the UOC researcher career path competencies and skills will be updated and reviewed as an integral part of adopting the EU Charter and Code for Researchers. This initiative is in line with the UOCs Strategic Plan and is intended to meet the development needs of research staff across the university, improve performance, enhance quality and promote a culture of continuous improvement.</p> <p>Additionally the university is planning to further work in the design of a training plan for researchers.</p>
<p>39. Access to research training and continuous development</p>	<p>-/+ Partially implemented</p>	<p>UOC works to provide guidance and support in access to research training and continuous development. Every member of staff at any stage of their career has access to internal and external training. This support service is done through personal advice and access to internal and external training including specific sessions oriented to increase competitiveness, add value to the experience and knowledge</p>	<p>As mentioned previously, at UOC every member of staff at any stage of their career has access to internal and external training, international and domestic conferences (with an accepted paper) and support of the UOC Knowledge Transfer and Research Support Office in the search for funding opportunities and grants. A training plan is developed based on the needs detected and budgetary availability. The role of the Main Researcher/supervisor is essential in the guidance of inexperienced researchers.</p>

		<p>gained, develop new skills and competences (please see details above and in the right column). The <a href="#">UOC Strategic Plan</a> includes specific actions addressed to implement the current access to training and career development offered to the staff in the form of the implementation of career plans, the UOC Profiles Map (current and future), the establishment of a training and coaching plan, and the creation of an specific action plan to foster leadership and responsibility. However, there is no specific training plan personalized for researchers R1, R2 R3, R4 and it will be developed in the context of the review of the research career path competencies and skills.</p> <p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation Article 14.1.k</li> <li>• Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>• <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>• <a href="#">UOC Statutes</a></li> <li>• <a href="#">UOC Strategic Plan</a></li> </ul>	<p>Training sessions for the academic staff are conducted on a regular basis (please see above) and the People Review process in place at UOC for permanent staff also includes a professional development assessment considering current qualifications and training needs.</p> <p>UOCs PhD programmes also provide professional skills modules including specific courses on entrepreneurship, academic writing, academic Presentations, patents and intellectual property protection, responsible research &amp; innovation (RRI) for researchers, and strategy and RDI Projects planning (see <a href="#">here</a>).</p> <p>Besides the above actions, the university is planning to further work in the design of a training plan for researchers coordinated with the review and update of the research career path competencies and skills and personalized for researchers R1, R2, R3, R4.</p> <p>Additionally, the commitment to continuous professional development is included in the <a href="#">UOC Strategic Plan</a> and among the specific actions included in the plan are the implementation of career plans, the UOC Profiles Map (current and future), the establishment of a training and coaching plan, and the creation of a specific action plan to foster leadership and responsibility.</p>
40. Supervision	+ Fully implemented	<p>Legal framework and links to existing institutional rules and/or practices:</p> <ul style="list-style-type: none"> <li>• Spain's law 14/2011, 1st June, of Science, Technology and Innovation. Pending the development of the regulation .</li> </ul>	<p>All UOCs staff have a clearly identified superior to whom refer for the performance of their professional duties For researchers the supervisor is specialist in their field of research or a group leader. Additionally all the staff are assigned a Human Resources business partner. Feedback mechanisms are also in place in order to check that and appropriate supervision takes place for each of UOCs employees.</p>



		<ul style="list-style-type: none"> <li>● Royal Decree 99/2011, of 28th January, regulating Doctorate Official Teaching. Article 14.5.</li> <li>● <a href="#">UOC Academic regulations for doctoral studies</a></li> <li>● <a href="#">UOC Statutes</a></li> <li>● <a href="#">The UOC's Code of Good Practice in Research and Innovation</a></li> <li>● <a href="#">UOC Collective Agreement</a></li> </ul>	<p>All trainee researchers have a supervisor who is a specialist in their field of R&amp;D&amp;I.</p> <p>Additionally for professional matters, as indicated above all the UOC employees are assigned a Human Resources business partner that provides and supports each of the employees on a permanent basis.</p> <p>A constructive positive relationship between all the research staff and their supervisors is a key criterion in promotion. In order to make sure that these tasks are performed to the highest professional standards support is provided by the Human Resources and People Development Office. A training program for research supervisors is in place.</p> <p>For doctorate students, upon admission to the doctoral programme, the programme's academic committee assigns a thesis tutor (see details in previous principle) who must propose a study plan to the academic committee that is personalized for each doctoral student he or she is tutoring, taking into account the criteria established in each doctoral programme and the doctoral student's prior training and research experience.</p> <p>Additionally, the People Review process (an annual process with a dynamic, objective overview of the performance of the individuals in the organization) in place at UOC includes a continuous professional development assessment of supervision and managerial duties. The process includes a guided discussion on key aspects and feedback mechanisms.</p> <p>Furthermore, an anonymous employee survey about the employee experience to check on its progress toward the desired outcomes is carried on a yearly basis. The survey helps to measure the experience of all the UOC's employees and to</p>
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			<p>assess overall employee satisfaction and engagement regarding UOCs leadership, culture, communication, opportunities to learn and grow, etc. The survey includes specific questions addressed to assess the researcher's satisfaction with their supervisor's or mentors of researchers.</p>
<p>Any additional issues</p>			

## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list

### 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	+/-	Published at UOCs Intranet. The policy is addressed to all UOCs staff and includes research. However, the research career path competencies and skills will be reviewed and updated as an integral part of adopting the EU Charter and Code for Researchers.  Indicator(s): Publication of OTM-R rules in force at UOC.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Yes, an OTM- R procedure (recruitment policy) and internal guide are in place. The guide sets out rules and procedures for the recruitment of all researcher positions following the principles of openness, transparency, and merit. However, the research career path competencies and skills will be reviewed and updated as an integral part of adopting the EU Charter and Code for Researchers. An analysis of UOC research profiles descriptors will be done to better align them with the European profiles.  Indicator(s): Date of latest update; ensure that it is sent to all staff.

<p>3. Is everyone involved in the process sufficiently trained in the area of OTM-R?</p>	x	x	x	+/-	<p>Yes, training is provided to all those who are involved in the recruitment process. Specifically, the Vice-rector for Strategic Planning and Research, the Vice-rector for Globalization and Cooperation, the Vice-rector for Teaching and Learning, the UOC HRS4R Implementation and Monitoring Committee, the Human Resources and People Development Office staff and the Knowledge Transfer and Research Support Office staff are trained in the area of OTM-R.</p> <p>The use of the OTM-R guide will be further promoted throughout the institution.</p> <p>Indicator(s): Existence of training programmes for OTM-R. Number of staff following training in OTM-R. Working Group about OTM-R procedures.</p>
<p>4. Do we make (sufficient) use of e-recruitment tools?</p>	x	x		++	<p>Yes, all our recruitment processes use a Web-based tool to avoid discriminating against candidates based on their geographical location and/or financial means.</p> <p>Indicator(s): Web-based tool for (all) the stages in the recruitment process.</p>
<p>5. Do we have a quality control system for OTM-R in place?</p>	x	x	x	+/-	<p>There is not a unique specific control system (e.g. OTM-R Commission) but a set of complementary ones, including: regular audit of administrative procedures, periodic assessment of the university, specific procedures of recruitment protocols. Additionally, in all the selection processes, Personnel and Social Responsibility issues a report with a brief</p>

					<p>assessment of all the applicants who have been interviewed and the reasons for the chosen finalist.</p> <p>However, a specific quality control mechanisms for OTM-R could be established.</p> <p>Indicator(s): Specific quality control mechanisms for OTM-R. Date of the latest internal audit performed.</p>
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	<p>Yes, completely. Job offers are open and transparent to internal and external candidates.</p> <p>Indicator(s): 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	-/+	<p>UOC publishes its job offers on its website and for research also on Euraxess (in English).</p> <p>However, on the UOC's website not all the offers are published in English and this would be important to facilitate access of as many candidates as possible, also from foreign countries. It should be noted that comparatively low salaries in Spain often discourage high level candidates from abroad.</p> <p>Indicator(s): 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	++	<p>Advertising for all positions does not restrict in any way the access of underrepresented groups. No information related with age, gender or race or any other aspect that may directly or indirectly discriminative is taken into</p>

					<p>consideration in the recruitment process. Recommendations for achieving gender balance are included in the Equality Plan and in the recruitment procedure</p> <p>Indicator(s): Trend in the share of applicants among underrepresented groups (frequently women)</p>
<p>9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?</p>	x	x	x	++	<p>A key commitment of the UOC is to offer its employees flexibility, so that they can balance their work and personal life. This allows them to manage the time they spend at work and to choose their work location, provided this has been previously agreed with their manager. Last year, more than 400 employees were able to telework, a measure which allows them to work virtually, without having to travel to the workplace.</p> <p>Apart from teleworking and the measures provided by the national legislation, and in order to promote an optimal balance between work and personal life, the UOC offers its employees reduction in the working day to care for children or persons with disabilities, leaves for formal or recognized training, special training leaves, nine free days for balancing personal, work and family life, flexibility of working time, fiscal benefits for the nursery school, training within the working time, subsidized restaurant, monetary assistance for relocation, salary guarantee for cases of temporary disability, life and accident insurance, reimbursable advances, civil Liability Insurance and flexible remuneration plan, among other.</p>

					Indicator(s): Trend in the share of applicants from outside the organisation.
10. Do we have means to monitor whether the most suitable researchers apply?				++	<p>To start a selection process there must be a recruitment request and an specific vacancy profile. The person who joins the institution is always selected because his or her skill profile matches the profile required to perform the vacancy's tasks or responsibilities. No professional is recruited whose skills do not match those defined in the vacancy profile. Personnel and Social Responsibility ensures that the selection processes are completely objective and professionalized. If no suitable researchers apply the vacancy is republished in order to make sure that the most suitable professionals apply. In all the selection processes, Personnel and Social Responsibility issues a report with a brief assessment of all the applicants who have been interviewed and the reasons for the chosen finalist.</p> <p>Indicator(s): Trend in the share of eligible applicants. Trend in the internal scores assigned by the Evaluation Committee to applicants. Trend in the number of applicants who reach the expected threshold.</p>
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	Yes, completely. Templates for recruitment request and vacancy profiles are available and regularly updated. Job

					<p>adverts are regularly posted at UOCs webpage and at the EURAXESS webpage.</p> <p>Indicator(s): Selection policy / procedure Templates availability</p>
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see <i>Chapter 4.4.1 a) of the OTM-R expert report</i> ]	x	x		+/-	<p>UOC includes in its job advertisement references/links to most of the elements foreseen in the relevant section of the toolkit. However, not all the elements are always included and improvements will be done in order to review the appropriate inclusion of the elements mentioned in the toolkit.</p> <p>Indicator(s): Number of elements referenced/linked</p>
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	<p>UOC publishes its job offers on its website and on Euraxess (in English).</p> <p>Indicator(s): - The share of job advertisements posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad</p>
14. Do we make use of other job advertising tools?	x	x		++	<p>UOC's webpage has a specific job advertisement section. Offers are often also published in other channels including social media and depending on the specific outreach plans of each call.</p> <p>Indicator(s): Number of job positions published in other webs or using other advertising tools.</p>



<p>15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)<sup>45</sup>]</p>	<p>x</p>			<p>++</p>	<p>Yes. UOC admits transmission of supporting documents by electronic means, via e-mail. The request for supporting documents is limited to those which are really needed in order to make a fair, transparent and merit-based selection of the applicants.</p> <p>Indicator(s): Number of documents required.</p>
<p><b>Selection and evaluation phase</b></p>					
<p>16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)<sup>45</sup>]</p>		<p>x</p>	<p>x</p>	<p>-/+</p>	<p>General rules have been included in specific protocols. Internal regulation fixes the criteria for the composition of commissions. However, not all the elements mentioned in Chapter 4.4.2.a are followed and improvements will be done in order to implement the rules.</p> <p>Indicator(s): Statistics on the composition of panels.</p>
<p>17. Do we have clear rules concerning the composition of selection committees?</p>		<p>x</p>	<p>x</p>	<p>-/+</p>	<p>General rules have been included in specific protocols. Internal regulation fixes the criteria for the composition of commissions. However, improvements will be done in order to implement the rules.</p> <p>Indicator(s): Written guidelines.</p>
<p>18. Are the committees sufficiently gender-balanced?</p>		<p>x</p>	<p>x</p>	<p>+/-</p>	<p>According to internal regulations and the equality plan, selection committees should always include personnel with adequate competences to perform the requested evaluations, be gender balanced and perform their tasks impartially and in an open manner.</p>

					Indicator(s): Including gender-balance requirements in the regulation on the appointment of members of selection committees. Share of women in our Evaluation Committee.
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	-/+	General rules have been included in specific protocols. Internal regulation fixes the criteria for the composition of commissions. However, improvements will be done in order to implement the rules.  Indicator(s): Written guidelines.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		++	Yes. Candidates are always informed at the end of the selection process.  Indicator(s): Applicants informed (%)
21. Do we provide adequate feedback to interviewees?		x		++	Yes. All candidates receive feedback. Any candidate who wish further information on the evaluation received by himself may ask formal access to data.  Indicator(s): Applicants informed about the results (%). Feedback to final stages applicants (%).
22. Do we have an appropriate complaints mechanism in place?		x		-/+	Yes, all candidates can address their complaints.  Indicator(s): Statistics on complaints.

**Overall assessment**

<p>23. Do we have a system in place to assess whether OTM-R delivers on its objectives?</p>					<p>Not yet. A system for assessing attainment of OTM-R objectives at UOC will be developed.</p> <p>Indicator(s): Developing and introducing a system for assessing the attainment of OTM-R objectives at UOC.</p>
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