UAB

Universitat Autònoma de Barcelona

UAB-HRS4R Improved Action Plan

The European Charter for Researchers and the Code of
Conduct for the Recruitment of Researchers
Report on the Interim Assessment (3 years)
Action Plan for the period 2020 – 2022

Universitat Autònoma de Barcelona, December 2019

Content

UAB-HRS4R Improved Action Plan

This document describes:

a) **the implementation of measures and the identified gaps since receiving the acknowledgement from Euraxess.**
b) **the integration of the C&C principles in the UAB strategy**
c) **the planned actions to improve policies and processes in the next three years (2020-2022)**

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

1 Introduction

The Universitat Autònoma de Barcelona (UAB) was founded in 1968, with four principles of autonomy: freedom to select teaching staff, admission available to all students, freedom to create its own study plans and freedom to administrate the University's capital. It is therefore a relatively young university, but in its short history it has moved forward at a rapid pace. The UAB is an institution that demonstrates its commitment to society by contributing in two main areas: knowledge and innovation. It is among the best education establishments in Spain in terms of quality of teaching and research, and it aims to prepare professionals with the profiles needed by society. The University also aims to contribute to society through its scientific research. To achieve these objectives, the institution offers a wide range of courses, with 78 undergraduate courses, 68 doctoral programmes, 123 postgraduate programmes and 335 specialisation courses. The University has over 37,800 students, almost 3,600 researchers and teaching staff, and it hosts more than 6,000 foreign students. The Universitat Autònoma de Barcelona (UAB) is one of the major public universities of Spain. It coordinates a potent scientific and technological campus (*Esfera UAB* - UAB Sphere), which comprises all the departments, science and technology services, research centres, institutes and university hospitals that are members of the UAB; promotes new business projects, directs and projects its productive activity towards its socio-economic surroundings, and disseminates newly acquired knowledge. The University is therefore a breeding ground for quality researchers and a centre for the dissemination of knowledge and technologies, and it plays a leading role in scientific research. Its main areas of investigation include

Biotechnology and Biomedicine (including the vital contribution made through the clinical research carried out at associate hospitals), Animal Health, Food Technology and Safety, Environmental Sciences and Technology, Nanotechnology, Microelectronics, Material Science and Engineering, Computer Vision, Artificial Intelligence, Experimental Sciences, Social Sciences, and research in Humanities. This wide range of disciplines integrated into a single area helps to promote multidisciplinarity in research.

Regarding UAB's research activity, the following data of 2018 stand out: 4,568 articles (Clarivate Analytics WoS), 606 research agreements; 256 research national projects; 44 international projects and 35 patents claimed.

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

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

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

2 Implementation of the 2ⁿᵈ Action Plan (2017-2019)

As result of the first Gap Analysis in 2014, several areas of improvement were identified and subsequently described in the **First Action Plan**, implemented during 2015 and 2016. After the assessment at December 2016, the **Second Action Plan** (Revised Action Plan) started being implemented in January 2017. This **Second Action Plan** has currently finished.

Three sectorial workings groups, 1) OTM-R Working Group, 2) R&I Processes Working Group and 3) Researchers Training Working Group- coordinated by the person appointed by the Supervisory Committee in charge of HRS4R- assessed the relevant

actions, revised plans and schedules to implement the Action Plan for three years (2017-2019). Most of the proposed actions have been either fully or partially implemented, or are currently being implemented, as they are medium and long-term measures affecting strategic aspects of the institution. In fact, the implementation of the C&C has generated an intense debate, especially in those aspects related with "selection and recruitment" (OTM-R).

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

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

During the implementation of the Action Plan (Revised Action Plan), and in collaboration with the researchers' community (focus groups, survey), the UAB-HRS4R team has identified some new points of improvement to deal with in the next years.

New issues:

- International Support Services (Euraxess Local Point). The objective is to provide a more personalized attention to the researcher:
    - Support to administrative and legal procedures
    - Institutional Welcoming
    - Support (settlement, dual career)
- Integration of Citizen Science in academy as a strategy of engagement with society and to increase the awareness of citizens towards science and research.
- Supervision of R1-R2. This is usually an overlooked issue, but it is crucial for the professional careers of early stage researchers and postdocs. A programme to support supervisors in this task: Train the trainers
- Doctoral Researchers Wellbeing & Mental Health. There are an increasing number of evidences that this is becoming a serious problem, as has been reflected in our focus groups and surveys (and also it has been stated by EURODOC as a PanEuropean problem). Consequently, the UAB will start a programme to evaluate the current situation and to propose solutions.

Updated Gap Analysis - 2019

C&C principle	Implementation	Existing national/regional legislation or institutional regulation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	**fully** implemented	Implementation of this principle is supported by: • Spanish Law (14/2011) of Science, Technology and Innovation • Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	In addition to the national legislation, the UAB has the *Code of Good Practice in Research* and the *Code of Good Practice of the Doctoral School*, which guarantee freedom with the obvious limitations due to the ethical principles and practices related to the UAB statutes, the current legislation and international agreements.
2. Ethical principles	**fully** implemented	• Spanish Law (14/2011) of Science, Technology and Innovation • Spanish Law 14/2007, research on Biomedicine • Spanish Law 15/1999 on personal data protection • Regulation (EU) 2016/679 of the European Parliament • Spanish Royal Decree 1201/2005, Animal protection in experimentation • Code of Good Practice in Research (Governing Council, 30/01/2013 • *UAB* Ethics Committee on Animal and Human Experimentation (CEEAH), established in 1994. • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	**2015-2016** In addition to the national legislation, the UAB has the *Code of Good Practice in Research* and the *Code of Good Practice of the Doctoral School*, which guarantee that researchers follow the legislation and rules on ethical principles. The procedures of the *UAB Ethics Committee* on *Animal and Human Experimentation* (CEEAH) needed to be revised to facilitate their access online. **2017-2019** A new website including necessary documents and links in English was launched in September 2017: https://www.uab.cat/web/ethics-committee-on-animal-and-human-experimentation-1345735628829.html At the same time, seminars on ethics in research have been organized yearly:

			Postdocs: 15/02/2018 and 20/09/2018 Predocs: 28/01/2016, 01/02/2018 and 31/01/2019 **Future Actions** Science communication is becoming more and more important. In this sense, a new training session is expected to be organized in 2020 with the title "The ethics of scientific communication".
3. Professional responsibility	**fully** implemented	• Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	**2015-2016** Guidelines for good practices in research are available online to all the academic staff of the UAB. **2017-2019** As a UAB policy, from the academic year 2016/2017 these documents (including the C&C) are provided to pre-doctoral researchers. An institutional effort has been made during this period to embed the RRI framework within the research community by training researchers (mainly R1+R2) in RRI and open science, highlighting the impact of research in the society. **Future Actions** A new online training course for all PhD researchers will be launched at the begining of 2020 including information on C&C, Euraxess platform, etc.
4. Professional attitude	**fully** implemented	• Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	**2015-2016** Guidelines for good practices in research are available online to all the academic staff of the UAB. **2017-2019** As a UAB policy, from the academic year 2016/2017 these documents (including the C&C) are supplied to pre-doctoral researchers.

5. Contractual and legal obligations	**fully** implemented	• Spanish Law 4/2007 • Specific requirements for EC funded projects (as Marie S.Curie) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are some guidelines and a specific space on the intranet where laws and regulations are compiled. **2017-2019** As an improvement (2018-19), key documents related to the procedures for contracting researchers are on the extranet and available in English. For international researchers, the "International Support Service of the UAB" provides information and support regarding immigration issues and visa processing. There is also a "welcome pack" with practical information so that newcomers can integrate smoothly at UAB community.
6. Accountability	**fully** implemented	• Code of Good Practice in Research (Governing Council, 30/01/2013)	**2015-2016** There are some guidelines and a specific space on the intranet where laws and regulations are compiled. Furthermore, specific support and advice is given, mainly for ethical and administrative accountability. **2017-2019** The UAB has launched a new webpage with information on Transparency & Accountability (https://www.uab.cat/web/coneix-la-uab/itineraris/portal-de-transparencia-1345677840683.html, only available in Catalan and Spanish) and a webpage on Social Responsibility (http://www.uab.cat/web/about-the-uab/itineraries/university-social-responsibility-1345688805397.html)

| 7. Good practice in research | **fully** implemented | • Code of Good Practice in Research (Governing Council, 30/01/2013)
• Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013 | **2015-2016**
Guidelines for good practices in research are available online to all the academic staff of the UAB. In 2015, a website with the information for data protection and confidentiality protection requirements was launched: https://www.uab.cat/web/research/open-access-uab/about/what-is-it-1345692532376.html

2017-2019
As a UAB policy, from the academic year 2016/2017 these documents (including the C&C) are supplied to pre-doctoral researchers.
The UAB has a new Health and Safety Plan (http://www.uab.cat/web/about-the-uab/itineraries/campus-sis/health-plan-1345668880624.html). When hired, all researchers have an introductory course about health and safety in the workplace. For those working in labs, there is a mandatory course on safety. All the procedures to be followed can be found on the following link: https://www.uab.cat/web/coneix-la-uab/itineraris/prevencio/normes-als-laboratoris-1345685348074.html
Also, from 2018, the Doctoral School is offering a course to manage risks in the laboratory.

Future Actions
Translation into English of safety regulations and related documents. |
| 8. Dissemination, exploitation of results | **fully** implemented | • Spanish Law (14/2011) of Science, Technology and Innovation
• Code of Good Practice in Research (Governing Council, 30/01/2013)
• Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013) | **2015-2016**
The principles concerning dissemination and valorisation of research results are described in the *Codes of Good Practice in Research* and others specific documents. There is a Publishing Service (for scientific books and magazines) and the Research Valorisation and Patent Office for results exploitation and commercialisation. In addition, there is an Institutional Strategy for the use of Open Data, according to the EC recommendations, and a free accessible Digital Documents Repository (http://ddd.uab.es/?ln=en).

In 2015, promoted by the UAB_HRS4R strategy, the Intellectual Property and Open Access Website was launched |

			(https://www.uab.cat/web/research/open-access-uab/about/what-is-it-1345692532376.html) to provide information and procedures on intellectual property and open access, with the aim to support research activities at the university. **2017-2019** Training in technology-based intellectual property as well as in dissemination of science tools is yearly offered to researchers.
9. Public engagement	**fully** implemented	• Spanish Law (14/2011) of Science, Technology and Innovation • Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	**2015-2016** As a public university, the UAB is especially concerned about the public engagement of research. The website UABdivulga (https://www.uab.cat/web/uabdivulga-1345468981740.html) is focused on spreading science to the society, and there are other initiatives described in https://www.uab.cat/web/research/popular-science-and-news-1345688534241.html **2017-2019** Apart from the initiatives mentioned in the previous period, specific courses on dissemination of science, RRI and Public Engagement are offered to researchers as part of their training. Also, the UAB is currently participating in several Horizon2020 projects (PERFORM, HEIRRI, ORION, SeeRRI), where RRI and public engagement are crucial. The UAB has also participated in the Bibliolab ISC2 initiative, which links the university with the public libraries of the municipalities surrounding the Campus. It aims to promote scientific vocations and digital education amongst youngsters by turning libraries into spaces to foster learning, science, innovation and technology. https://www.uab.cat/web/research/itineraries/uab-research/bibliolab/the-isc2-bibliolab-project-1345790340795.html

10. Non discrimination	**fully** implemented	• Spanish Law 4/2007 • UAB fourth Action Plan for the Equality (quadrennial 2019-20123) UAB Observatory for Equality	**2015-2016** The UAB is strongly committed against any form of discrimination. In this regard, the UAB Observatory for Equality was created in 2005. The Observatory has elaborated quadrennial plans on gender equality and aimed at people with disabilities. All these plans have been introduced to and assessed by the Executive Governing Body, the Observatory's Advisory Council and social partners, and eventually, passed by the Governing Council. A new website was launched in 2015. The website (https://www.uab.cat/web/observatory-for-equality-uab-1345697907214.html) provides information about gender and non-discrimination issues, including a tool for "Gender Sensitive Research" in research projects. The main items of the Gender Sensitive Research are: • Gender equality in the composition of research teams. • Gender as a relevant dimension in all the stages of research: design, theoretical framework, methodology and techniques, data analysis, and dissemination of results • Take into account the interest and impact of the research on the individuals conceived as research subjects. • Give voice to the experiences of women and minoritized social sectors, to facilitate social empowerment. **2017-2019** The fourth Action Plan for the Equality has been launched. Since 2017, the Observatory is organizing courses specially addressed to researchers with the title "Gender perspective and dimension in our research" and "How to include gender perspective in teaching".
11. Evaluation/ appraisal systems	**fully** implemented	• Spanish Law 63/2006	**2015-2016**

		• Spanish Order CIN/2657/2008 • Spanish Royal Decree 1052/2002 • Guidelines for the evaluation of the academic activity of the Universitat Autònoma de Barcelona. (Approved by the Government Council (23/03/2017) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	There are national and regional systems of evaluation for permanent and contracted researchers (R2,R3,R4), and a guide to evaluate the academic activity. Also, there is an indicator-based system to monitor research performance at the UAB, from faculties to individual researchers. R1 researchers are yearly evaluated by a Doctoral Programme's Academic Committee, in which a committee of three senior researchers evaluates the progress of their research plan.

• **Recruitment and Selection** – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.			
12. Recruitment	**Fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional recruitment systems (for permanent researchers and tenure-track positions) with strict rules and procedures established by law. For temporary researchers, there are UAB guidelines describing all the procedures to be followed. **2017-2019** The guidelines for contracting temporary researchers have been updated and improved to ensure that practices are carried out according to the C&C. The UAB is implementing the use of *e-tools* to facilitate the application and the selection process. After a previous e-tool checked during 2017-2018 (Nexus), a new trilingual e-tool has been implemented in 2019 (*Convocatòries UPAC*) **Future Actions** The e-tool and the new recruitment procedure will be monitored in order to make sure that they fulfil the C&C requirements.

13. Recruitment (Code)	**Fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional recruitment systems (for permanent researchers and tenure-track positions) with strict rules and procedures established by law. For temporary researchers, there are UAB guidelines describing all the procedures to be followed. **2017-2019** The guidelines for contracting temporary researchers have been updated and improved to ensure that practices are carried out according to the C&C. The UAB is implementing the use of *e-tools* to facilitate the application and the selection process. After a previous e-tool checked during 2017-2018 (Nexus), a new trilingual e-tool has been implemented in 2019 (*Convocatòries UPAC*) **Future Actions** The e-tool and the new recruitment procedure will be monitored in order to make sure that they fulfil the C&C requirements.

| 14. Selection (Code) | **partially** implemented | • Spanish Royal Decree (1312/2007)
• Spanish Royal Decree (1313/2007)
• Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)
• UAB guidelines for contracting temporary researchers and technical staff | **2015-2016**
There are national and regional recruitment systems (for permanent researchers and tenure-track positions) with strict rules and procedures established by law

For temporary researchers, there are UAB guidelines describing all the procedures to be followed.

2017-2019
To ensure that selection practices are carried out according the Charter&Code, some procedures have been modified. **The new policy on selection includes specific rules to define functions and composition of selection committees** (they are to be composed of three members: a researcher from the hosting group, a member of RRHH office and a representative of the Work Council – Trade Union

A "commitment letter" must be signed by the person responsible for the job offer, ensuring the process will fulfil the requirements of C&C.
The UAB is implementing the use of *e-tools* to facilitate the application and the selection process. After a previous e-tool checked during 2017-2018 (Nexus), a new trilingual e-tool has been implemented in 2019 (*Convocatòries UPAC*)

Future Actions
The e-tool and the new recruitment procedure will be monitored in order to make sure that they fulfil the C&C requirements. |

15. Transparency (Code)	**Fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional recruitment systems (for permanent researchers and tenure-track positions) with strict rules and procedures established by law For temporary researchers there are UAB guidelines describing all the procedures to be followed. **2017-2019** To ensure that selection practices are carried out according the Charter&Code, some procedures have been modified. **The new policy on selection includes specific rules to define functions and composition of selection committees** (they are to be composed of three members: a researcher from the hosting group, a member of RRHH office and a representative of the Work Council- Trade Union. A "commitment document" must be signed by the person responsible for the job offer, ensuring the process will fulfil the requirements of C&C. The UAB is implementing the use of *e-tools* to facilitate the application and the selection process. After a previous e-tool checked during 2017-2018 (Nexus), a new trilingual e-tool has been implemented in 2019 (*Convocatòries UPAC*)
16. Judging merit (Code)	**Fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	**2015-2016** There are national and regional selection and recruitment systems (for permanent researchers and tenure-track positions), clearly describing and establishing the criteria for academic positions. **2017-2019** For temporary researchers, there are UAB guidelines describing all the procedures to be followed including regulations and recommendations to

		• UAB guidelines for contracting temporary researchers and technical staff	judge the whole range of achievements, competences and experience of the candidates.
17. Variations in the chronological order of CVs (Code)	**fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional selection and recruitment systems (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there are UAB guidelines. In this context, career breaks are not penalised.
18. Recognition of mobility experience (Code)	**fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional selection and recruitment systems (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there are UAB guidelines. In the UAB's offers of employment for researchers, mobility is not only recognized, **but it is mandatory** (for postdoctoral positions a minimum of two years of international mobility is required).
19. Recognition of qualifications (Code)	**fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) • UAB guidelines for contracting temporary researchers and technical staff	**2015-2016** There are national and regional selection and recruitment systems (for permanent researchers and tenure track positions), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there are UAB guidelines. Members of the selection committee are appointed according to their capacity to assess the qualifications of the applicants. If there is any doubt about the recognition of qualifications, the "Office of Academic Affairs" and the "Secretary of the Doctoral School" are responsible for examining these qualifications through all the available channels.
20. Seniority (Code)	**fully** implemented	• Spanish Royal Decree (1312/2007) • Spanish Royal Decree (1313/2007)	**2015-2016**

		• [Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona](#) (last modification approved by the Government Council - 13/03/2019) • [UAB guidelines for contracting temporary researchers and technical staff](#)	There are national and regional selection and recruitment systems (for permanent researchers), clearly describing and establishing the criteria of selection for academic positions. For temporary researchers, there is are UAB guidelines. In no case seniority per se is taken into account, nor for or against. Which is judged is the lifelong professional development.
21.Postdoctoral appointments (Code)	**fully** implemented	• [Spanish Royal Decree (1312/2007)](#) • [Spanish Royal Decree (1313/2007)](#) • [Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona](#) (last modification approved by the Government Council - 13/03/2019) • [UAB guidelines for contracting temporary researchers and technical staff](#)	**2015-2016** There are national and regional selection and recruitment systems for postdoctoral positions clearly describing and establishing the criteria of selection.

Working Conditions and Social Security			
22. Recognition of the profession	**fully** implemented	• [Spanish Law (14/2011) of Science, Technology and Innovation](#) • [UAB statutes](#) • [Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona](#) (last modification approved by the Government Council - 13/03/2019)	**2015-2016** All research staff have equal terms and conditions regardless of the level and length of their contract. In the UAB, the concept of "research staff" is used in a global sense, and there are different working/contracting schemes. - Permanent positions: held both by civil servants and hired researchers, - Tenure-track equivalent: hired researchers - Postdoctoral and predoctoral positions: hired researchers

| 23. Research environment | **fully** implemented | • Code of Good Practice in Research (Governing Council, 30/01/2013)
 • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019) | **2015-2016**
 Departments and Research Institutes ensure that researchers have the appropriate environment and equipment. The office of Health and Safety, in cooperation with the Environmental Office, provides information and a regulatory framework on how to keep a safe working environment (there is a mandatory seminar for the UAB newcomers). In addition, there is a Biosecurity Committee (established in 2003) as a response to the need to regulate and improve the management of biological risk at the UAB.

 2017-2019
 The UAB has a new Health and Safety Plan (http://www.uab.cat/web/about-the-uab/itineraries/campus-sis/health-plan-1345668880624.html). When hired, all researchers have an introductory course about health and safety in the workplace. For those working in labs, there is a mandatory course on safety. All the specific regulation to work at UAB labs is compiled on the following webpage: https://www.uab.cat/web/coneix-la-uab/itineraris/prevencio/normes-als-laboratoris-1345685348074.html

 Future Actions
 Implementation of a CRIS tool (Current Research Information System). As a one-stop-shop for storing all the information related to the institutional research activity, CRIS systems play a key role in the area of research administration. Among many others, this involves aspects such as:

 • Research impact and its analysis
 • Research collaborations across institutions and with Industry
 • Preparation of project proposals and subsequent management of awarded grants
 • Knowledge Exchange |
| 24. Working conditions | **fully** implemented | • Spanish Royal Decree (70/2000)
 • Spanish Law (14/2011) of Science, Technology and Innovation | **2015-2016**
 There is a strict legal framework. Working conditions are regulated by different labour laws and collective labour agreements, applied to all |

		• Spanish Law (7/2007) • Catalonian Law DOGC 4821 • Catalonian Law (1/2003) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	employees regardless of their nationality. This legislation is for employee protection and guarantees equal treatment. In addition, Unions are very strict following up these issues. Maternity, paternity and sick leave are fully paid by legislation.
25. Stability and permanence of employment	**fully** implemented	• Spanish Royal Decree (70/2000) • Spanish Law (14/2011) of Science, Technology and Innovation • Spanish Law (7/2007) • Catalonian Law DOGC 4821 • Catalonian Law (1/2003) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	**2015-2016** 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. This legislation is for employee protection and guarantees equal treatment. In addition, Unions are very strict following up these aspects.
26. Funding and salaries	**fully** implemented	• Spanish Royal Decree (70/2000) • Spanish Law (14/2011) of Science, Technology and Innovation • Spanish Law (7/2007) • Catalonian Law DOGC 4821 • Catalonian Law (1/2003) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	**2015-2016** 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. This legislation is for employee protection and guarantees equal treatment. In addition, Unions are very strict following up these aspects.

| 27. Gender balance | **fully** implemented | • UAB Fourth Action Plan for the Equality (quadrennial 2019-2023)
• UAB Observatory for Equality
• UAB Social Responsibility | **2015-2016**
The UAB is strongly committed against any form of discrimination. In this regard, the UAB Observatory for Equality was created in 2005. The Observatory has elaborated quadrennial plans on gender equality and aimed at people with disabilities. All these plans have been introduced to and assessed by the Executive Governing Body, the Observatory's Advisory Council and social partners, and eventually, passed by the Governing Council.

A new website was launched in 2015. The website (https://www.uab.cat/web/observatory-for-equality-uab-1345697907214.html) provides information about gender and non-discrimination issues, including a tool for "Gender Sensitive Research" in research projects.

The main items of the Gender Sensitive Research are:
• Gender equality in the composition of research teams.
• Gender as a relevant dimension in all the stages of research: design, theoretical framework, methodology and techniques, data analysis, and dissemination of results
• Take into account the interest and impact of the research on the individuals conceived as research subjects.
• Give voice to the experiences of women and minoritized social sectors, to facilitate social empowerment.

2017-2019
The Fourth Gender Equality Action Plan has been launched.
Since 2017, the Observatory is organizing courses specially addressed to researchers with the title "Gender perspective and dimension in our research" and "How to include gender perspective in teaching". |

28. Career development	**Fully** implemented	• Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013)	**2015-2016** Career development is well addressed in PhD programmes. All of them include transferable skills training (optional) and specific training related to each field (compulsory) chosen under the recommendation of their supervisors. During this period, different focus groups were called in order to better understand the need of researchers. These focus groups included PhD researchers, companies, start-ups and other stakeholders. **2017-2019** During the academic year 2017/2018, the programme on Researchers Professional Development (RPD) was launched, involving researchers from all stages, from R1 to R4. The programme includes courses, seminars and conferences. The website of the RPD (**https://www.uab.cat/web/research/itineraries/uab-research/professional-development-1345756616379.html**) has a section called "online tools" where different documents and software to plan the career plan are offered.
29. Value of mobility	**fully** implemented	Code of Good Practice in Research (Governing Council, 30/01/2013)	**2015-2016** UAB researchers are encouraged to participate in mobility, facilitating all the academic (teaching obligations) and administrative burden, and providing travel grants and funds. There is an office to promote mobility of researchers (International Support Service).
30. Access to career advice	**partially** implemented	• Code of Good Practice in Research (Governing Council, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council, 30/01/2013) • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council	**2015-2016** As permanent positions are very limited in the UAB academic community, it is recognized that not all the researchers will obtain such positions. In this sense, the UAB should be supportive and assist those researchers, by running a programme to analyse the career progression and development, and facilitating career advice. **2017-2019**

		- 13/03/2019)	Yearly sessions have been offered to pre-doctoral researchers to advise them on the employment options once their PhD has finished. Postdoctoral researchers have also been informed on how to apply for a Marie Curie IF. However, this aspect is still partially implemented. **Future Actions** A pilot programme is scheduled for R1. Under the title "Research Yourself", some sessions will be offered to help researchers to improve their work-life balance.
31. Intellectual Property Rights	**fully** implemented	• Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013) • UAB Open Access • Research Valorisation & Patents	**2015-2016** As part of the UAB_HRS4R strategy, a website was launched (05/10/2015) on intellectual property and open access, with the aim to support research activities at the university. In the same vein, the Office for Research Valorisation and Patents provides personalised guidance and counselling on IPR, know-how protection and research valorisation. **2017-2019** The following courses on intellectual property rights and patents are yearly offered to researchers: -"Technology-Based Intellectual property: A practical approach to the use of patents, know-how and utility models" -"Intellectual Property in the Thesis"
32. Co-authorship	**fully** implemented	Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013)	**2015-2016** This information is available to all the academic staff of the UAB. As a UAB policy, from the academic year 2016/2017 these documents (including the C&C) are supplied to pre-doctoral researchers during the "welcome sessions"
33. Teaching	**fully** implemented	• Spanish Law (14/2011) of Science, Technology and Innovation • Spanish Law (6/2001) • Regulatory Framework for the Academic Staff of	**2015-2016** Teaching activities are strictly regulated by law and there is an Individual Teaching Plan for the academic staff. Early stage researchers (R1) and post-docs (R2) are encouraged to have teaching experience as *Teaching Assistants*.

		the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	**2017-2019** There is a specific programme of training for teaching in Higher Education https://www.uab.cat/web/personal-uab/personal-uab/personal-academic-i-investigador/formacio-i-innovacio-docent/programa-fdes/estructura-1345703511726.html
34. Complains/ appeals	**fully** implemented	Regulatory framework of the Ombudsman (approved by the General Assembly of the UAB on 20 December 2011)	**2015-2016** The Ombuds Officer of the UAB is in charge of receiving the complaints and observations made on the functioning of the university, guaranteeing the abidance of all that which is laid down in the UAB Statutes, and presenting non-binding resolution proposals to the competent bodies on issues submitted by the members of the university community. Personal data and all other information will be treated with strict confidentiality. The activity of the Ombudsman is yearly reported to the UAB community. (http://www.uab.cat/web/about-the-uab/governing-and-representative-bodies/ombuds-officer-1345667138422.html)
35. Participation in decision-making bodies	**fully** implemented	• UAB Statutes • Regulatory Framework for the Academic Staff of the Universitat Autònoma de Barcelona (last modification approved by the Government Council - 13/03/2019)	**2015-2016** Researchers are represented in the relevant bodies (information, consultation and decision-making bodies) of the institution • Senate • Governing Council • Departmental Bodies (Faculty/School Board, Department Board) • Social Council.

Training and Development			
36. Relation with supervisors	**fully** implemented	Code of Good Practice of the UAB Doctoral School (approved by the Governing Council of the UAB, 30/01/2013)	**2015-2016** Early Stage Researchers' supervisors have the obligation to plan regular meetings and to be able to accredit the frequency of the meetings (written reports, messages, minutes, handwritten papers, etc.). They must advise the trainees on research in general and on the performance of their project in particular, and facilitate participation in the specific and transferrable training activities.

			In the case of PhD, each academic year the doctoral programme's academic committee organises a review, in which a committee of three PhD holders evaluates the progress of their research plan and activities document, and a report from their thesis supervisor (including a report on whether they have, at least, kept to the agreed number of meetings with their supervisor and whether they have carried out the study activities scheduled for that academic year).
37. Supervision and managerial duties	**Partially** implemented	• Spanish Royal Decree 99/2011 • Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)	**2015-2016** Assuming the multifaceted role of senior researchers in the university, the UAB is implementing a "Researchers Development Programme" to provide the skills and competencies required for these activities. **Future Actions** A specific pilot program "Train the Trainers" is being implemented during the course 2019/2020.
38. Continuing Professional Development	**Fully** implemented	• Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)	**2015-2016** Researchers must be equipped and supported to be adaptable and flexible in an increasingly diverse, mobile and global research environment. Professional development involves not only research activities but also other skills beyond the research itself such as teaching experience, management skills, communication skills, leadership, etc. In 2016, a training sessions focused on the different career options of researchers was launched. The session included experiences of researchers in different fields. **2017-2019** During the academic year 2017/2018, the programme on Researchers Professional Development (RPD) was launched, involving researchers from all stages, from R1 to R4. The programme includes courses, seminars and conferences. The website of the RPD (https://www.uab.cat/web/research/itineraries/uab-research/professional-development-1345756616379.html) has a section

			called "online tools" where different documents and software to plan the career plan are offered. The RPD website includes different documents to support career advice.
39. Access to research training and continuous development	**Fully** implemented	• Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)	**2015-2016** Researchers must be equipped and supported to be adaptable and flexible in an increasingly diverse, mobile, global research environment. A lot of the 'professional development' involve research activities, but it is also important to think about other areas beyond the research itself, as teaching experience, management skills, communication skills, leadership, etc. **2017-2019** During the academic year 2017/2018, the programme on Researchers Professional Development (RPD) was launched, involving researchers from all stages, from R1 to R4. The programme includes courses, seminars and conferences. The website of the RPD (https://www.uab.cat/web/research/itineraries/uab-research/professional-development-1345756616379.html) has a section called "online tools" where different documents and software to plan the career plan are offered.
40. Supervision	**Partially** implemented	• Spanish Royal Decree 99/2011 • Code of Good Practice in Research (Governing Council of the UAB, 30/01/2013) • Code of Good Practice of the UAB Doctoral School (Governing Council of the UAB, 30/01/2013)	**2015-2016** A qualified and experienced researcher is appointed by each Department to supervise the research activities of Early Stage Researchers. However, and assuming not all researchers have the adequate competencies, the UAB is implementing a "Researchers Development Programme" to provide the skills and competencies required for these activities. **Future Actions** A specific "Train the Trainers" programme is being implemented during the course 2019/2020.

Annex: Open, Transparent and Merit-based Recruitment Check-list (2017-2019)

OTM-R checklist for organisations

	Open	Trans-parent	Merit-based	Answer: ++ Yes, *completely* +/-Yes, *substantially* -/+ Yes, *partially* -- *No*	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	X	*+/-Yes, completely*	**2015-2016** The UAB-HRS4R website (http://www.uab.cat/en/euraxess) is available to the UAB community. This website gathers information about OTM-R, Charter and Code, and all kind of information related to the career development for researchers. It Includes Intranet links with the information about recruitment (Open and Transparent). At that time, the guidelines were in national language, not in English. A working group was organized to review the current UAB recruitment system and to design the new OTM-R policy applicable to all kind of job vacancies offered in UAB. **2017-2019** The UAB-HRS4R website has been continuously updated during this period. A big effort has been done during these years to have all important documents and guidelines translated into English.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	*+/-Yes, completely*	**2015-2016** There are clear procedures only for permanent researchers. For temporary researchers, there are guidelines with the procedures to be followed. **2017-2019**

					During this period, the OTM-R working group has been working to release a clear guide of publication, recruitment and selection of candidates. All the information is now available in English at "OTM-R" section of the UAB-HRS4R website. This section includes all the procedures to be followed by candidates and recruiters at UAB.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	*-/+ Yes, substantially*	**2015-2016** Specific informative sessions about Euraxess and OTM-R were conducted in 2016 with key actors. **2017-2019** Specific training sessions about OTM-R procedures have been carried out during 2017-2019 after the implementation of new procedures of selection and recruitment (UAB guidelines for contracting temporary researchers and technical staff) .They were addressed to all the staff involved in the recruitment process. Also, awareness sessions on Euraxess have been offered to administrative staff and project managers along this period. *Indicators* *- Number of training programmes* *- Number of staff following this training*
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	*+/-Yes, substantially*	**2015-2016** There was a pilot experience thanks to a COFUND project (P-SPHERE project, http://www.uab.cat/psphere/) developing an e-recruitment and e-selection tool. However, an institutional platform (Nexus) was adapted to this end. **2017-2019** The UAB has been implementing the use of e-tools to facilitate the application of candidates and the selection process. After a previous e-tool (NEXUS) checked during 2017-2018, a new e-tool has been implemented in 2019 (Convocatòries UPAC).

					Indicator: number of applications
5. Do we have a quality control system for OTM-R in place?	x			*-/+ Yes, completely*	The Working Group for OTM-R (mainly the representative for the Recruitment Office), is in charge of monitoring and control the OTM-R process in place.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	*+/-Yes, substantially*	**2015-2016** There is a large increase in international advertisement of vacancies. **2017-2019** During this period, a big effort has been made to embed the importance of the international publication of offers through Euraxess jobs and, nowadays, Euraxess is the reference portal. To encourage and facilitate the international dissemination of offers the following actions have been carried out: - Tutorial of how to publish in Euraxess jobs - Specific training for research managers - Support material/documents in English describing tasks, categories, etc. of different research profiles In next years, probably there be enough data to evaluate the new policies and the new e-tools. *Indicator:* *Trend in the share of applicants from outside the organisation*
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	**++ Yes, *completely***	The new policies on selection and recruitment and the new trilingual e-tools are in line with the strategy to attract researchers from abroad.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	**++ Yes, *completely***	This is one of the **objectives of the UAB's Observatory for Equality, which participates in the preparation of the new UAB OTM-R policy.** *Indicators:*

					Trend in the share of applicants among underrepresented groups
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	**++ Yes,** *completely*	Trend in the share of applicants from outside the organisation.
10. Do we have means to monitor whether the most suitable researchers apply?				**+/-Yes, substantially**	National and international advertisement of vacancies (specific tools other than Euraxess Jobs), ensure the application of the most suitable researchers, (but currently there is not a monitor system in place to check it)
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		**+/-Yes, completely**	**2015-2016** There are clear guidelines only for permanent vacancies established by national rules. The HHRR office works on different templates and guidelines for the advertisement of different positions in Spanish and English. **2017-2019** During this period, a big effort has been made to embed the importance of the international publication of offers through Euraxess jobs and, nowadays, Euraxess is the reference portal. The HR office has elaborated the following templates and guidelines for the advertisement of different positions in Catalan and English: - Tutorial of how to publish in *Convocatòries UPAC* - Tutorial of how to publish in Euraxess jobs - Template to publish offers in Euraxess jobs - Support material/documents in English describing tasks, categories, etc. of different research profiles
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		**+/-Yes, completely**	Most of the sections suggested by OTM-R are included in the job advertisement
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		**++ Yes,** *completely*	The share of job adverts posted on EURAXESS is rather stable, (but this is also dependent of the financial resources).

14. Do we make use of other job advertising tools?	x	x		**++ Yes, *completely***	Yes. Other job advertising platforms are used depending on the field of knowledge and needs, for positions with a very specific experience or qualification
15. Do we keep the administrative burden to a minimum for the candidate?	x			***+/-Yes, completely***	**2015-2017** New e-recruitment & selection tools are expected to facilitate this point. **2017-2019** The new e-tool developed in 2019 allows an easy application. The UAB requirements are based on providing the minimum documents for a proper evaluation. Once candidates are selected, they have to provide further information supporting their CV's.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		x	x	***+/-Yes, completely***	**2015-2017** There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy is expected to include detailed rules for the appointment of selection committees. **2017-2019** Clear guidelines for the selection committees have been stablished for temporary researchers. All the information can be found at https://www.uab.cat/doc/AcordNouIngresCapVI
17. Do we have clear rules concerning the composition of selection committees?		x	x	***+/-Yes, completely***	**2015-2017** There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy is expected to include detailed rules for the appointment of selection committees. **2017-2019**

					Clear guidelines for the selection committees have been stablished for temporary researchers. All the information can be found at: https://www.uab.cat/doc/TemporaryStaff
18. Are the committees sufficiently gender-balanced?		x	x	*-/+ Yes, substantially*	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy is expected to include detailed rules for the appointment of selection committees.
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	*+/-Yes, substantially*	There are clear guidelines only for permanent vacancies established by national rules. The new UAB - OTM-R policy is expected to include detailed rules on how to judge merits. *Indicators* *Written guidelines*
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		*++ Yes, completely*	
21. Do we provide adequate feedback to interviewees?		x		*+/-Yes, substantially*	There are clear guidelines for permanent positions established by national rules. For temporary positions, there is an internal rule that should be updated.
22. Do we have an appropriate complaints mechanism in place?		x		*++ Yes, completely*	There are clear guidelines for permanent positions established by national rules. For temporary positions, there is a UAB rule, giving to the applicant ten working days for complaints. *Indicators* *Statistics on complaints*
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				*+/-Yes, substantially*	A working group has been organized to review the current UAB recruitment system and to design the new OTM-R policy applicable to all kind of job vacancies offer in UAB.

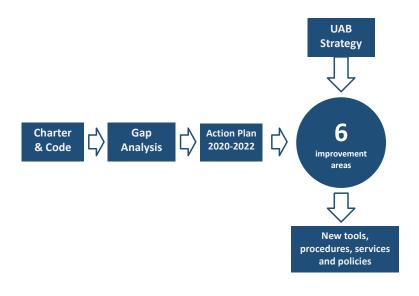|				The working group is constituted by: • Strategic Projects Unit • International Projects Office • Recruitment Office • Organization and Planning Area This working groups is still working to continuously improve the UAB OTM-R policy.

3 Improved Action Plan (2020-2022)

This document compiles all the improvements implemented during the period 2017-2019 corresponding to the Updated Action plan (2017-2019), as well as the new Action Plan for the period 2020-2022.

The Action plan for the period 2017-2019 was focused on 7 improvement areas (Monitoring, Quality Review of Key documents, Document Repository, C&C Dissemination, Recruitment and Selection, Career Development and Training). Some of these improvement areas have been implemented and some new other have emerged.

The Action plan for the period 2020-2022 has 6 improvement areas:

Area 1: Monitoring
Area 2: Access to key information
Area 3: C&C Dissemination
Area 4: Recruitment and Selection
Area 5: Support and welcome
Area 6: Training & Career Development

The actions to address these areas must be embedded in the framework of the institutional strategy

Charter & Code → Gap Analysis → Action Plan 2020-2022 → 6 improvement areas

UAB Strategy

New tools, procedures, services and policies

A detailed analysis of these areas is presented in the next section. It is composed by different descriptors: progress done in the last years (2015-2019), the C&C principles affected on each area, detected weaknesses, actions proposed for the next period (2020-2022), timeline, person in charge of the actions and indicators of progress.

Area 1. Monitoring

Description of the progress (2015-2019)

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

   a) The *Supervisory Committee*, composed by:

   Vice-Rector for Research and Transference
   Vice-Rector for Innovation and Strategic Projects
   Deputy Executive Administrator for Research

The Supervisory Committee appointed a technical team to be in charge of leading the implementation of the Action Plan

   b) *Technical team* , composed by:
   Dr. X. Ariño
   Dr. Begoña Miñarro
   Ms. Marta López

 In addition to the coordination of the planned actions, for the period 2017-2019 three specific working groups were appointed (*WG for the OTM R*, W*G for the Researchers Training Programme and WG for the R&I Processes Improvement).*

Indicators 2015-2019

Number of Meetings:

- Supervisory Committee **(7 meetings):** annual meeting (27/05/2015, 21/07/2016, 19/12/2016 , 06/2017, 06/2018, 06/2019, 13/12/2019)
- WG on Researchers Training Programme **(8 meetings)**: (27/03/2015, 19/05/2015, 20/07/2015, 20/10/2015, 20/4/2016, 22/09/2016, 09/11/2016, 15/06/2017)
- WG on R&I process **(4 meetings)**: (20/11/2015, 29/05/2016, 17/11/2016; 1/12/2016)
 - WG on OTM-R **(8 meetings)**: 25/07/2016, 06/10/2016, 22/11/2016, 25/04/2018,15/05/2019, 02/07/2019, 15/07/2019, 31/10/2019)

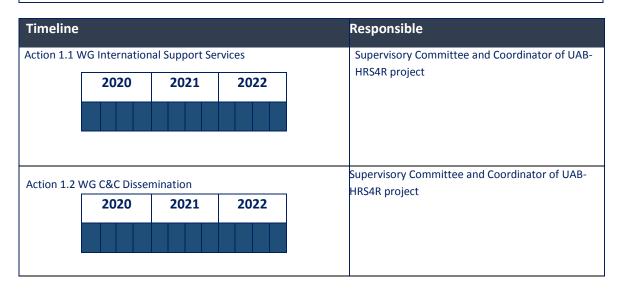| Affected C&C principles	Current weaknesses
All principles	The governance and the structure of flexible working groups provides a framework for a proper project management and monitoring. Consequently, it is proposed to continue with this strategy.

Updated Actions Planned (2020 -2022)

Two of the three working groups substantially accomplished their goals (Training programme and R&I processes). Consequently, and despite there is always room for improvement, they will be less active during the period 2020-2022. However, two new working groups will be appointed for this period:

Action 1.1) WG for the International Support Services, composed by personnel from Strategic Projects, Organization and Planning, Human Resources, Research Management and International Relations. This group will be created to deal with the support to the incoming researchers. Researchers from R1 to R4 will be involved in meeting/focus groups to identify needs and priorities.

Action 1.2) WG for Dissemination. This group will be created to increase the knowledge and implementation of C&C in the UAB.

Timeline	Responsible
Action 1.1 WG International Support Services **2020** **2021** **2022**	Supervisory Committee and Coordinator of UAB-HRS4R project
Action 1.2 WG C&C Dissemination **2020** **2021** **2022**	Supervisory Committee and Coordinator of UAB-HRS4R project

Indicators to be measured

Number of meetings:

- Supervisory Committee Meetings
- WG for the International Support Services meetings
- WG for Dissemination meetings
- WG for OTM-R meetings

Area 2. Access to key information (former Quality Review of Key documents + documents repository)

Description of the progress (2015-2019)

To fulfil the goals, the following actions have been done during the period:

- Ethics website: during the implementation of this action, the coordinator of UAB-HRS4R project evidenced that a thorough revision of Ethics procedures was required. The webpage of the Ethic & Experimentation Committee was re-designed, including new e-forms and easier procedures in order contribute to the continuous improvement and to guarantee that all research projects fulfil the ethical requirements of the UAB research (dealing with animal experimentation, human beings and personal data).
  The website is also in English.

- Translation into English of some key documents to facilitate researchers and research managers the access to relevant institutional information:
  - o Guidelines for hiring temporary staff
  - o Guidelines to publish on Euraxess jobs
  - o Guidelines to publish on *Convocatòries UPAC* (new UAB e-recruitment tool)

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

- The UAB-HRS4R website is now available in Catalan (http://www.uab.cat/ca/euraxess) English (http://www.uab.cat/en/euraxess) and Spanish http://www.uab.cat/es/euraxess). It holds documents and links to other UAB webpages as well as external links. In addition, there are some relevant information and news (e.g., Art.32 of Horizon2020 Grant Agreements). Initially, it was strictly conceived as a repository, but it **is becoming the institutional reference for the aspects concerning the implementation of the C&C principles and a useful tool for disseminating the UAB-HRS4R project and the Euraxess initiative**.

Indicators 2015-2019

Number of documents reviewed/translated: **4**

New web sections modified/created: **2 websites**

Number of unique web visitors to Euraxess website:

Web visitors

The link that is usually provided in any document and dissemination is the English one (http://www.uab.cat/en/euraxess). That is reflected in the increasing number of web visitors

Affected C&C principles	Current weaknesses
All	There are still documents to be translated and sections to improve in order to facilitate the access to the information.

Updated Actions Planned (2020 -2022)
2.1 Development of a UAB policy to systematically support the publication on the institutional website of all relevant information in Catalan, Spanish and English and, if possible, open access.
2.2 Revision of institutional webpages/sites, to ensure they fulfil the quality requirements.

Timeline	Responsible
Action 2.1. Activities to be implemented during the whole period 2020 2021 2022	Coordinator of UAB-HRS4R project
Action 2.2 Revision of institutional webpages/sites, to ensure they fulfil the quality requirements. 2020 2021 2022	Coordinator of UAB-HRS4R project

Indicators to be measured

Number of documents reviewed/translated

New web sections modified

Area 3. Support and Welcome

Description of the progress (2015-2019)

This is a new improvement area, so no progress is described.

The current situation is that there is an International Support service at the UAB which is in charge of providing support to all the UAB community staff in term of visa, accommodation, practical information and administrative formalities. This service is quite focused on students and a generalized support is provided.

Apart from this face-to-face support, the ISS has also a website with information related to exchange programmes, legal procedures, health cover and practical tips.

For its part, each faculty has its own procedure to welcome new researchers, but there is not an institutional guide on this regard.

Indicators 2015-2019

This is a new improvement area, so no indicators have been measured yet.

C&C principles	Current weaknesses
All	- The services provided are not specifically researcher-based - There are not institutional procedures to welcome researchers

Updated Actions Planned (2020 -2022)

3.1 Review and update the International support service website

3.2 Support service based on researchers needs (family support, researchers' hub, etc.)

3.3 Provide institutional guidelines for the welcome at faculties/centres

Timeline	Responsible
Action 3.1. Review and update the International support service website 2020 / 2021 / 2022	International support service
Action 3.2 Support service based on researchers needs (family support, researchers' hub, etc.) 2020 / 2021 / 2022	International support service and coordinator of UAB-HRS4R
Action 3.3. Provide institutional guidelines for the welcome at faculties/centres 2020 / 2021 / 2022	International support service and coordinator of UAB-HRS4R

Indicators to be measured

Release of the new International Support Service website.

Drafting of an institutional welcome guideline.

Area 4. C &C Dissemination & Consultation

Description of the progress (2015-2019)

During this period, an important effort has been made to disseminate the Euraxess initiative and the C&C principles. The following actions have been carried out:

C&C Understanding and Awareness
- Focus groups with PhD researchers (28/11/2016, 27/11/2019)
- Welcome sessions (01/02/2018, 31/01/2019)
- What can I do after my PhD? (08/06/2017, 19/06/2018, 18/06/2019)
- Postdoc P-Sphere: Euraxess and C&C
- General sessions of dissemination, MSCA & Euraxess (07/05/2019)
- General sessions for research staff (14/06/2018)
- General survey to UAB research community (R1-R4)

Action
- Working groups

- C&C training to project managers, administrators (yearly course)

Indicators 2015-2019

Number of activities of dissemination and consultation

Date	Type	Attendants Profile	Number attendants
4/3/2015	Seminar	R1,R2, R3, R4	20
21/4/2015	Seminar	R1,R2, R3, R4	67
29/5/2015	Focus group	R4	11
2/06/2015	Focus group	R4	20
14/07/2015	Training session	managers/administrators	60
14/03/2016	Training session	managers/R4	5
24/05/2016	Seminar	R1,R2, R3, R4	78
2/06/2016	Seminar	R1	120
8/06/2016	Seminar	R1, R2, R3, R4, managers	80
15/06/2016	Focus group	managers/R2,R3,R4	15
13/10/2016	Seminar	Managers, R1,R2, R3, R4	35
28/11/2016	Focus group	R1, R2	9
17/02/2017	Training session	Research staff	24
10/05/2017	Training session	Research staff	28
08/06/2017	Training session	R1	50
01/02/2018	Training session	R1	69
06/03/2018	Training session	Research staff	6
12/04/2018	Training session	Research staff	13
19/06/2018	Training session	R1	68
17/10/2018	Training session	Research staff	12
31/01/2019	Training session	R1	50
27/02/2019	Training session	Research staff	14
07/05/2019	Seminar	R1,R2, R3, R4	80
18/06/2019	Training session	R1	46
01/11/2019	Survey	R1,R2,R3,R4	200
27/11/2019	Focus group	R1	9

Web: Publication of news and documents related to the C&C implementation:
http://www.uab.cat/en/euraxess

C&C principles	Current weaknesses
All	

	Although significant effort has been made to disseminate the C&C and Euraxess initiatives within the UAB research communities, dissemination is still one the main difficulties due to the size, diversity and dispersion of researchers and staff, and new initiatives must be done to ensure

Updated Actions Planned (2020 -2022)

4.1 A specific working group has been appointed for this period in order to study and identify the best mechanisms and actions to reach the diverse research community.

4.2 A new training course will be launched in 2020 with the title "How to be a researcher in Europe". This training will be online, and addressed to R1. It will be include key information about the European Research Area, the C&C, the HRS4R, Euraxess portal, etc.

4.3 The dissemination campaign including focus sessions with researchers and also research staff will follow for the next period (2020-2022) with special attention to the UAB researchers working in facilities or centres not located at our campus.

Timeline	Responsible
Action 4.1. Study and identify the best mechanisms and actions to reach the diverse research community **2020** **2021** **2022**	WG for Dissemination Coordinator of UAB-HRS4R project
Action 4.2. New training course: "How to be a researcher in Europe" **2020** **2021** **2022**	WG for Dissemination Coordinator of UAB-HRS4R project
Action 4.3. Dissemination campaign **2020** **2021** **2022**	WG for Dissemination Coordinator of UAB-HRS4R project

Indicators to be measured

- Working group meetings
- Participants in the C&C training course and number of editions
- Number of dissemination campaigns

Area 5. Recruitment & Selection

Description of the progress

This improvement area, coordinated by the OTM-R working group, has been very active during the period and has accomplished its main objectives.

The progress done can be stated with the following actions:

Job advertising

- The international publication of offers through the Euraxess portal has been embedded in the institutional procedures. There is a clear procedure supported by guidelines and templates to facilitate the international publication of offers.
- Specific training for staff involved in hiring researchers is periodically carried out. The training includes the basics of the OTM-R principles and its application at UAB and also practical aspects about how to deal with international advertising.

Use of digital platforms

- A first version of the UAB e-recruitment tool was launched in 2015. After some time running and once its weaknesses were identified, a new version was launched in 2019. The new e-recruitment tool (*Convocatòries UPAC*) is available in English, it is linked to Euraxess and allows recruitment, selection and evaluation in an open and transparent way.
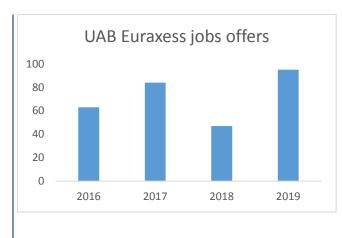
Report on the selection process

The new e- platform allows direct communication with the candidates and the possibility to receive a final report.

- As the selection process for permanent staff is strictly regulated by law, the working group revised the recruitment and selection procedures for non-permanent researchers and technicians, mainly in the framework of funded research projects. In this context, new guidelines including rules about the selection committee's composition and regulation have been elaborated and are available in English. This information is available in the following link: https://www.uab.cat/doc/TemporaryStaff

Indicators 2015-2019

Number of Jobs vacancies in Euraxess Jobs Portal:

UAB Euraxess jobs offers

Year	Value
2016	~62
2017	~84
2018	~47
2019	~95

E-tool *Convocatòries UPAC*: https://convocatoriesupac.uab.cat/convocatoriesupac/login/auth

C&C principles	Current weaknesses
12,13,14,15,16	Most of the objectives have been accomplished.

Updated Actions Planned (2020 -2022)

For the next period, some activities of the OTM-R working group will be:

- 5.1 Improvements on the procedures and e-recruitment tool
- 5.2 Training the technical and administrative staff

Timeline	Responsible
Action 5.1 Improvements on the procedures and e-recruitment tool **2020** **2021** **2022**	OTM-R working group Recruitment Office

| Action 5.2. Training the technical and administrative staff | OTM-R working group |
| | Recruitment Office |

	2020	2021	2022

Indicators to be measured
Number of jobs vacancies in Euraxess Jobs Portal
Training sessions for research staff
Monitoring of the e-recruitment tool
OTM-R working group meetings

Area 6. Training & Career Development

Description of the progress

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

During 2017-2019, the UAB professional training has been implemented.

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

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

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

The Euraxess website also includes supporting material to help researchers identify their potential and also weaknesses to face the future in and outside the academia.

Special sessions ("What can I do after my PhD?") have been carried out periodically during the period, including talks by different PhD who have followed different career paths.

Indicators 2015-2019

Number of Programmed Training activities as part of the Research Development Programme

Academic year 2015-2016: **3 activities**

January - March 2016	Organisational skills	1 activity
April – July 2016	Organisational skills	2 activities

Academic year 2016-2017: **27 activities**

January-March 2017	Research skills	7 activities
	Organisational skills	3 activities
April-July 2017	Organisational skills	1 activity
	Research skills	14 activities
	Influencing and impacting skills	2 activities

Academic year 2017-2018: **44 activities**

October-December 2017	Organisational skills	1 activity
	Research skills	1 activity
	Communicative skills	4 activities
January-March 2018	Organisational skills	1 activity
	Research skills	23 activities
April-July 2018	Organisational skills	1 activity
	Research skills	6 activities
	Influencing and impacting	2 activities
	Communicative skills	3 activities
	Interpersonal skills	2 activities

Academic year 2018-2019: **60 activities**

October-December 2018	Research skills	5 activities
	Organisational skills	2 activities
	Communicative skills	3 activities
	Cognitive skills	1 activity
	Influencing and impacting	2 activities
January-March 2019	Organisational skills	1 activity

	Research skills	24 activities
	Communicative skills	5 activities
April-July 2019	Research skills	6 activities
	Organisational skills	1 activity
	Communicative skills	6 activities
	Cognitive skills	2 activities
	Influencing and impacting	2 activities

Academic year 2019-2020: **13 in the first quarter**

	Research skills	3 activities
October-December 2019	Organisational skills	1 activity
	Communicative skills	5 activities
	Cognitive skills	2 activities
	Interpersonal skills	2 activities

C&C principles	Current weaknesses
28,30, 37,38,39,40	Many difficulties have been found to provide advice and counselling to researchers, and support to plan their professional careers.

Updated Actions Planned (2020-2022)

The different focus groups and training sessions carried out with the research community have allowed the institution to identify some difficulties that seems to be key issues for a proper career development:

- Relation with the supervisor
- Stress and emotional instability related to the research paths (specially with the PhD thesis)

In this sense, concrete actions are expected:

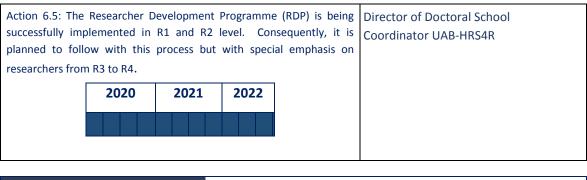6.1 Stablish internal measures to evaluate the quality of the supervision duties.

6.2 Launch in 2020 of a "train the trainers" course to give advice and tools regarding the supervisory and coaching tasks.

6.3 General survey to the research community in wellbeing and mental health issues (focused on R1 & R2)

6.4 Coaching sessions focused on the main issues related to stress (time management/relation with the supervisor/ family life, etc)

6.5 The Researcher Development Programme (RDP) is being successfully implemented in R1 and R2 level. Consequently, it is planned to follow with this process but with special emphasis on researchers from R3 to R4.

Timeline	Responsible
Action 6.1: Stablish internal measures to evaluate the quality of the supervision duties. **2020** | **2021** | **2022**	Director of Doctoral School Coordinator UAB-HRS4R
Action 6.2: Launch in 2020 of a "train the trainers" course to give advice and tools regarding the supervisory and coaching tasks. **2020** | **2021** | **2022**	Director of Doctoral School Coordinator UAB-HRS4R
Action 6.3: General survey to the research community in wellbeing and mental health issues (focused on R1 & R2) **2020** | **2021** | **2022**	Director of Doctoral School Coordinator UAB-HRS4R
Action 6.4: Coaching sessions focused on the main issues related to stress (time management/relation with the supervisor/ family life, etc.) **2020** | **2021** | **2022**	Director of Doctoral School Coordinator UAB-HRS4R

Action 6.5: The Researcher Development Programme (RDP) is being successfully implemented in R1 and R2 level. Consequently, it is planned to follow with this process but with special emphasis on researchers from R3 to R4.

2020	2021	2022

Director of Doctoral School
Coordinator UAB-HRS4R

Indicators to be measured

Training/Coaching Sessions

4 Summary of the Updated Action Plan 2019-2020

Area of improvement	Action	Description	Deadline
Monitoring	Action 1.1	WG International Support Services	All the period
	Action 1.2	WG C&C Dissemination	All the period
Access to Key Information	Action 2.1	Development of a UAB policy to systematically support the publication on the institutional website of all relevant information in Catalan, Spanish and English and, if possible, open access.	All the period
	Action 2.2	Revision of institutional webpages/sites, to ensure they fulfil the quality requirements. Special attention in this period will be paid to the International support service website	All the period
Support and Welcome	Action 3.1	Review and update the International support service website	2020-2021
	Action 3.2	Support service based on researchers needs (family support, researchers hub, etc.	End of 2020-2021
	Action 3.3	Provide institutional guidelines for the welcome at faculties/centres	2020-2021
C&C Dissemination and Consultation	Action 4.1	A specific working group has been appointed for this period in order to study and identify the best mechanisms and actions to reach the diverse research community.	All the period

	Action 4.2	A new training course will be launched in 2020 with the title "How to be a researcher in Europe". This training addressed to R1 will include key information about the European Research Area, the C&C, the HRS4R, Euraxess portal, etc.	All the period
	Action 4.3	The dissemination campaign including focus sessions with researchers and also research staff will follow for the next period (2020-2022) with special attention to the UAB researchers working in facilities or centres not located at our campus.	All the period
Recruitment and Selection	Action 5.1	Training for research staff	All the period
	Action 5.2	Possible improvements on the e-recruitment tool	All the period
	Action 5.3	Periodically working group meetings	All the period
Training & Career Development	Action 6.1	Stablish internal measures to evaluate the quality of the supervision duties.	2020-2021
	Action 6.2	Launch in 2020 of a "train the trainers" course to give advice and tools regarding the supervisory and coaching tasks.	Mid 2020-2022
	Action 6.3	General survey to the research community in wellbeing and mental health issues (focused on R1 & R2)	2020
	Action 6.4	Coaching sessions focused on the main issues related to stress (time management/relation with the supervisor/ family life, etc.).	2021-2022
	Action 6.5	The Researcher Development Programme (RDP) is being successfully implemented in R1 and R2 level. Consequently, it is planned to follow with this process but with special emphasis on researchers from R3 to R4.	All the period

This self-assessment report to update the HRS4R Action Plan has been approved by the Supervisory Committee in December 2019.