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THE HUMAN RESOURCES STRATEGY
FOR RESEARCHERS HRS4R – UC3M

GAP ANALYSIS

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

“A Human Resources Strategy for Researchers incorporating the Charter and Code”

Annex 1: Example of a standard template for the internal analysis –

<http://ec.europa.eu/euraxess/rights>

I. Ethical and professional aspects

1. Research freedom			
<p>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Spanish Constitution 1978. Art. 44.2., Art. 20.1</p> <p>Law 14/2011, Science, Technology and Innovation.</p> <p>Law (L.O.) 6/2001, Universities.</p> <p>Law 2/2011, Sustainable Economy</p> <p>Law (R.D.Leg.) 3/2011, Consolidated Text of the Public Sector Contracts Act</p> <p>Law (L.O.) 15/1999, Personal Data Protection.</p>	<p>Statutes of the Universidad Carlos III de Madrid, Art. 96, Art. 145.2.</p> <p>UC3M Ethics Committee in Research <i>approved by Governing Council on September 25th, 2014</i></p> <p><i>UC3M Ethics Committee in Research ensures observance of the good practices in áreas such as: i) scientific publications, ii) use of prior knowledge, iii) authorship of the of the scientific results protection registers, and iv) exploitation of the technological and scientific transfer.</i></p> <p>UC3M Code of Good Practices for the Doctoral School, defines the guiding principles of the University Research, in the Framework of the Doctoral School</p>	<p>Approval of Operating Regulations for UC3M Ethics Committee in Research</p> <p>Establishing a UC3M Code of Good Practices in Research, <i>containing the basic principles to carry out the research activity, ethical issues, implementation activities, etc.</i></p> <p>Protocol for requesting Report to UC3M Research Ethics Committee</p>	<p>Vice-President for Scientific Policy Q1 - 2018</p> <p>Vice-President for Scientific Policy Q2 – 2018</p> <p>Vice-President for Scientific Policy Q4 - 2016</p>

2. Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 5/2015 (Basic Statute), Public Employees Chapter VI. Art. 52., Art 53., Art 54.</p> <p>Law 14/2011, Science, Technology and Innovation. Art 10., Art. 15.</p> <p>Law (L.O.) 6/2001, Universities.</p> <p>Law 30/1992, Public Administration and Public Procedures</p> <p>Law 53/1984, Incompatibilities of Workers Serving in Public Administrations</p>	<p>Statutes of the Universidad Carlos III de Madrid Art. 95 a)</p> <p>UC3M Ethics Committee in Research approved by Governing Council on September 25th, 2014</p>	<p>Approval of Operating Regulations for UC3M Ethics Committee in Research</p> <p>Establishing a UC3M Code of Good Practices in Research</p> <p>Protocol for requesting Report to UC3M Research Ethics Committee</p>	<p>Vice-President for Scientific Policy Q1 - 2018</p> <p>Vice-President for Scientific Policy Q2 – 2018</p> <p>Vice-President for Scientific Policy Q4 - 2016</p>

4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation. Art. 14, Art. 15</p> <p>Law (L.O.) 15/1999, Personal Data Protection.</p> <p>Law 11/86, Patents (new Law 24/2015, effective from April 1st, 2017)</p> <p>Law (R.D.Leg.) 1/1996, Intellectual Property Rights</p> <p>Law 53/1984, Incompatibilities of Workers Serving in Public Administrations</p>	<p><i>Universidad Carlos III de Madrid, through its Services, assists researchers in launching, managing, developing, and justifying their research activity. Additionally, it conducts prospect, assessment, and accreditation tasks, as well as the dissemination of open calls for grants and guidance for the negotiation of research contracts (Participants: Research Service, Occupational Safety and Health Service, Committee of Data Protection, etc.)</i></p>	<p>Establishing a Hosting Protocol for Visiting Researchers, containing institutional and managerial information (research activity, library, financial affairs)</p> <p>Establishing a Hosting Protocol for Faculty, containing institutional and managerial information (research activity, library, financial affairs)</p>	<p>Vice-President for International Relations and Cooperation Q1 - 2017</p> <p>Vice-President for Faculty Q4 - 2017</p>

5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 6/2001, Universities. Art. 40, Art. 48-55</p> <p>Law 2/2015, the Workers' Statute. Art. 5, Art 10-13</p> <p>Law 14/2011, Science, Technology and Innovation.</p> <ul style="list-style-type: none"> <i>Recommendations for implementation of Art 37 Open Access Dissemination Law 14/2011, Science, Technology and Innovation (FECYT)</i> <p>Law 11/1986, Patents (new Law 24/2015, effective from April 1st, 2017)</p> <p>Law (R.D.Leg.) 1/1996, Intellectual Property Rights</p> <p>Law 2/2011, Sustainable Economy</p>	<p>UC3M Non-Disclosure Agreement (NDA) and UC3M Transfer Agreement</p> <p>UC3M Inventions Regulation ensures the protection of the UC3M scientific results, approved by Governing Council on December 9th, 2010</p>	<p><i>Improving Non-Disclosure Agreement for all contracts between researchers and UC3M (UC3M Code of Good Practices in Research)</i></p> <p>Establishing a Hosting Protocol for Visiting Researchers, containing institutional and managerial information (research activity, library, financial affairs)</p> <p>Establishing a Hosting Protocol for Faculty, containing institutional and managerial information (research activity, library, financial affairs)</p>	<p>Vice-President for International Relations and Cooperation Q1 - 2017</p> <p>Vice-President for Faculty Q4 - 2017</p>

6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation. <i>Art 10., Art. 15</i></p> <p>Law (R.D.Leg.) 3/2011, Consolidated Text of the Public Sector Contracts Act</p> <p>Law 38/2003, General Subsidies</p>	<p>Statutes of the Universidad Carlos III de Madrid <i>Art. 150.4</i></p> <p>Agreement on the Distribution of the Research Projects Deductions, <i>approved by Governing Council on October 25th, 2012</i></p> <p>UC3M Joint Instruction of the Vice-president for Research and the General Manager on "Budget Management associated with subsidies/contracts/agreements granted to UC3M for implementing R&D activities", <i>February 1st, 2000</i></p> <p>Implementing Regulation of Art. 148 of Statutes of the Universidad Carlos III de Madrid</p> <p>UC3M Instruction of the Vice-president for Research on "Implementing the reimbursement procedure for Non-eligible expenses in research projects managed by the Research Service"</p>	<p>Actions not required</p>	

7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Spanish Constitution 1978. Art 40.2</p> <p>Law 31/1995, Occupational Safety and Health. Art 38.</p> <p>Law 14/2011, Science, Technology and Innovation. Art 10., Additional provision 9</p> <p>Law (L.O.) 15/1999, Personal Data Protection.</p> <p>Regulation (EU) 2016/679 of the European Parliament and of the Council, Protection of Natural Persons with regard to the Processing of Personal Data and on the Free Movement of such Data</p>	<p>Regulation of the Electronic Headquarter UC3M (2010)</p> <p>UC3M Ethics Committee in Research <i>approved by Governing Council on September 25th, 2014</i></p> <p>UC3M Occupational Health and Safety Plan <i>approved by Governing Council on October 31st, 2013</i></p> <p>UC3M Committee Health and Safety (1997)</p> <p>Protocol for especially sensitive employees to potential risks in the workplace, July 4th, 2013</p> <p>UC3M Inventions Regulation <i>ensures the protection of the UC3M scientific results, approved by Governing Council on December 9th, 2010</i></p>	<p>Establishing a UC3M Code of Good Practices in Research</p>	<p>Vice-President for Scientific Policy Q2 - 2018</p>

8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 6/2001, Universities. Art. 40.</p> <p>Law 14/2011, Science, Technology and Innovation. Chapter II. Art. 33.f, Art. 35, Art. 37</p> <p>Law 11/86, Patents (new Law 24/2015, effective from April 1st, 2017)</p> <p>Law (R.D.Leg.) 1/1996, Intellectual Property Rights</p> <p>Law 2/2011, Sustainable Economy</p>	<p>Statutes of the Universidad Carlos III de Madrid. Chapter II Title IV</p> <p>UC3M Inventions Regulation ensures the protection of the UC3M scientific results, approved by Governing Council on December 9th, 2010</p> <p>UC3M Institutional Repository (e-Archivo), to offer Open Access to documents resulting from UC3M academic and research activity.</p>	<p>Establishing a UC3M Code of Good Practices in Research</p> <p>Approval of Open Access Institutional Policy</p>	<p>Vice-President for Scientific Policy Q2 – 2018</p> <p>Vice-President for Strategy and Digital Education Q1 - 2017</p>

9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation. Chapter III</p>	<p>UC3M Scientific Information Office, <i>In charge of Scientific dissemination. It is linked to the Regional Network of Scientific Offices and the Scientific Culture Units (UCC+i) of the Spanish Foundation for Science and Technology (FECYT).</i></p>	<p>Actions not required</p>	

10. Non discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Spanish Constitution 1978. Art 14, Art 9.2, Art 35.1</p> <p>Law 2/2015, the Workers' Statute. Section 2nd, Art 4.2.c., Art 17. 1.</p> <p>Law 5/2015 (Basic Statute), Public Employees. Chapter I.</p> <p>Law (L.O.) 3/2007, Effective Equality between Women and Men.</p> <p>Directive 2002/73/EC of the European Parliament and of the Council, Implementation of the Principle of Equal Treatment for Men and Women as regards Access to Employment, Vocational Training and Promotion, and Working Conditions</p>	<p>UC3M Vice-President for Equality and UC3M Equal Opportunities Unit, were created in September 2008.</p> <p>UC3M I Gender Equality Plan, approved on April 8th 2010</p> <p>UC3M Protocol in the Event of Workplace Sexual Harassment, approved by Governing Council on March 21st, 2013</p> <p>Regulation of Good practices for Images Processing in Equality, Executive Board in March 2016</p> <p>Regulation of Good Practices for Language Processing in Equality, Executive Board in March 2016</p> <p>UC3M Research Support Measures in Effective Equality Between Women and Men, approved by Governing Council on July 12th, 2007 Announcement for Grants to organise Conferences and Scientific Meetings on Gender Equality Studies (2014-2016) Research Awards "Pilar Azcárate" for Bachelor's Thesis, Master's Thesis, and Doctoral Thesis Doctorales in the Equality Area.</p> <p>Announcement for Grants for Research Publications in the Equality Area</p>	<p>Approval of UC3M II Gender Equality Plan</p>	<p>Vice-President for Students, Social Responsibility and Equality Q4 - 2016</p>

11. Evaluation/ appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation Art. 5, Art. 16, Art. 25.5 y Transitional Provision 5</p> <p>Law 5/2015 (Basic Statute), Public Employees. Chapter II. Art. 20.</p>	<p>UC3M Regulation on Academics' Additional Compensation, according to teaching, research and publications, February 25th, 2016</p> <p>The National Assessment Commission on Research Activities (CNEAI), regulates the obtaining of Six-Year Research Periods for Academics</p> <p>The UC3M regulates the obtaining of Five-Year Teaching Periods for Academics</p> <p>UC3M Departments Assessment establishing Teaching and Research Indicators, Vice-President for Faculty, 2009/2010 and 2014/15</p> <p>Recruitment Program 4+2 for Doctors, including Assessment Period once every Three Years</p> <p>UC3M Library Service assists Academics on accreditation and recognition of Six-Year Research Periods.</p> <p>Internal Assessment for Research Institutes UC3M, Distribution of Competitive Funds.</p> <p>UC3M Regulation on Research Institutes Creation and Operation, approved by Governing Council on February 28th, 2008</p> <p>Annual Assessment of CONEX Researchers by their Mentors</p>	<p>Laying the foundations for incentives for Faculty members for 2018 and 2020</p>	<p>Vice-President for Faculty Q4 - 2016</p>

II. Recruitment

12. Recruitment

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 5/2015 (Basic Statute), Public Employees. <i>Title IV, Chapter I, Art. 55.2 b), Art. 61.</i></p> <p>Law 2/2015, the Workers' Statute.</p> <p>Law (L.O.) 6/2001, Universities. <i>Art 40.</i></p> <p>Law 14/2011, Science, Technology and Innovation. <i>Section 2nd, Art. 20., Art. 16</i></p>	<p>Universidad Carlos III de Madrid, has developed regulation on the Access of Academics, based on the Statutes of the Universidad Carlos III de Madrid and the Collective Agreement on the Public Universities of Madrid for Academic Employees</p> <p>UC3M Selection Procedures Regulation for Non-tenured Academics, approved by Governing Council on April 25th, 2013</p> <p>UC3M Regulation on Pre-doctoral Fellowships, based on Law 14/2011, Science, Technology and Innovation, approved by Governing Council on February 27th, 2014</p> <p>Joint Instruction of the Vice-President for Faculty and the Vice-President for Research, to Foster Contracting of Doctors</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty monitoring Selection Committees in the selection processes, according to the recommendations established on <i>OTM-R Report (July 2015)</i></p> <p>Training the Selection Committee members, committing to compliance with the principles contained in the European Code of Conduct. (C&C).</p>	<p>Vice-President for Faculty Q1 - 2017</p> <p>Vice-President for Faculty Q1 - 2017</p>

13. Recruitment (Code)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Spanish Constitution 1978</p> <p>Law 5/2015 (Basic Statute), Public Employees</p> <p>Law (L.O.) 6/2001, Universities</p> <p>Law 14/2011, Science, Technology and Innovation. Art 16.</p> <p>Law 30/1992, Public Administration and Public Procedures</p> <p>Law (R.D.) 63/2006, Researchers at training stages</p> <p>Law (R.D.Leg.) 1313/2007, Regime of the Competitive University Faculties</p>	<p>Statutes of the Universidad Carlos III de Madrid</p> <p>Collective Agreement on the Public Universities of Madrid for Academic Employees</p> <p>UC3M Selection Procedures Regulation for Non-tenured Academics, approved by Governing Council on April 25th, 2013</p> <p>UC3M Regulation on Research Personnel in Training, approved by Governing Council on June 26th, 2008</p> <p>UC3M Regulation on Pre-doctoral Fellowships, based on Law 14/2011, Science, Technology and Innovation, approved by Governing Council on February 27th, 2014</p> <p>UC3M Regulation on Creation, Call and Provision of Vacant Positions for Professors and Associate Professors, approved by Governing Council on June 25th, 2009</p>	<p>Developing new Employee Portal, improving visibility for UC3M Employees website</p>	<p>Vice-President for Faculty Q2 2017</p>

14. Selection (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation. Art 16.</p> <p>Law (R.D.Leg.) 1313/2007, Regime of the Competitive University Faculties</p> <p>Law (R.D.Leg.) 1312/2007, National Accreditation for Access to University Faculties</p>	<p>Statutes of the Universidad Carlos III de Madrid. Art. 94 y ss</p> <p>UC3M Selection Procedures Regulation for Non-tenured Academics, approved by Governing Council on April 25th, 2013</p> <p>UC3M Regulation on Creation of Assessment Committee for Vacant Positions of Tenured Academics, approved by Governing Council on October 6th, 2011</p> <p>UC3M Regulation on Creation, Call and Provision of Vacant Positions for Professors and Associate Professors, approved by Governing Council on June 25th, 2009</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty monitoring Selection Committees in the selection processes, according to the recommendations established on <i>OTM-R Report</i> (July 2015)</p>	<p>Vice-President for Faculty Q1 - 2017</p>

15. Transparency (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 19/2013, Transparency, Access to Public Information and Good Governance</p> <p>Law 5/2015 (Basic Statute), Public Employees</p> <p>Law (L.O.) 6/2001, Universities</p> <p>Law 14/2011, Science, Technology and Innovation. Art 16.</p> <p>Law (R.D.Leg.) 1313/2007, Regime of the Competitive University Faculties</p>	<p>UC3M ensures Transparency throughout all Recruitment Processes. The Vacant Positions are disseminated through Public Calls announced at the UC3M website, where is published complete information with easy access.</p> <p>UC3M Transparency Web (Our Figures): http://www.uc3m.es/About_UC3M</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty, improving the feedback with applicants for vacancy positions</p> <p>Developing new Employee Portal, improving visibility for UC3M Employees website</p>	<p>Vice-President for Faculty Q1 - 2017</p> <p>Vice-President for Faculty Q2 - 2017</p>

16. Judging merit (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (R.D.Leg.) 1313/2007, Regime of the Competitive University Faculties</p> <p>Law (R.D.Leg.) 1312/2007, National Accreditation for Access to University Faculties</p>	<p>UC3M Regulation to ensures Recruitment Processes (<i>see principles 13 and 14</i>)</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty, improving the existing scale, for a qualitative and not only quantitative assessment of merits.</p>	<p>Vice-President for Faculty Q1 - 2017</p>

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

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (R.D.Leg.) 1312/2007, National Accreditation for Access to University Faculties</p>	<p>UC3M ensures variations in the Chronological Order of CVs are not penalized in the Professional Life of Academics.</p> <p>UC3M Selection Procedures Regulation for Non-tenured Academics, approved by Governing Council on April 25th, 2013</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty, improving the existing scale, for a multidimensional assessment.</p>	<p>Vice-President for Faculty Q1 - 2017</p>

18. Recognition of mobility experience (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
Law 14/2011, Science, Technology and Innovation. Art.16., Art. 37.	UC3M ensures the Mobility Programmes , both in Initial Education and Training (ERASMUS/Non-European Mobility) and in the rest of Professional Career.	Establishing a Hosting Protocol for Visiting Researchers , containing institutional and managerial information (research activity, library, financial affairs)	Vice-President for International Relations and Cooperation Q1 - 2017
	UC3M Annual Programme of Research , launched from the Vice-President for Scientific Policy, <i>includes Mobility Fellowships</i>	Establishing a Hosting Protocol for Faculty , containing institutional and managerial information (research activity, library, financial affairs)	Vice-President for Faculty Q4 - 2017
	UC3M Regulation on Research Stays in Prestigious International Centers , <i>approved by Governing Council on October 6th, 2011</i>	Updating of UC3M Recruitment Regulation for non-tenured Faculty , improving the existing scale, adding the mobility as relevant criteria.	Vice-President for Faculty Q1 - 2017
	UC3M Regulation on Sabbatical Leave for Tenured Academics , <i>approved on October 18th, 2007</i>		

19. Recognition of qualifications (Code)

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

20. Seniority (Code)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Law (R.D.) 63/2006, Researchers at training stages. Art. 1.2, art. 8.2	<p>UC3M carries out continuous effort to Support Researchers Abroad. Language Certifications (English) are valued.</p> <p>Moreover, UC3M, in order to ensure the incorporation processes, requires documentation as certified copies of the degree (Diploma) and CV.</p>	Approval of UC3M Regulation on the use of English for all processes.	Vice-President for International Relations and Cooperation Q4 - 2016

21. Postdoctoral appointments (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation <i>Art.20, Art. 21, Art. 22</i></p> <p>Law (R.D.) 63/2006, Researchers at training stages. <i>Additional Provision 6</i></p>	<p>In recent years, UC3M has defended the Doctors Contracting.</p> <p>UC3M Recruitment Program for Doctors, has been developed, Postdoctoral Fellowships (“<i>Alianza 4 Universidades</i>”) and Fellowship Programme for Incoming Mobility (“<i>CONEX-CONnecting EXcellence to UC3M</i>”), is supported by European Union through Marie Curie-COFUND programme (PCOFUNG-GA-2012-60371) and Banco Santander</p> <p>Agreement on the funding for Departments, between the Regional Government and the Public Universities of Madrid, provides an Indicator related to the Number of PhDs</p> <p>Joint Instruction of the Vice-President for Faculty and the Vice-President for Research, regulates the Doctors Contracting <i>January 20th, 2015</i></p>	<p>Approval of UC3M Recruitment Guidelines on Post-doctoral Researchers, for UC3M Departments, adapted to Spanish regulation (certifications)</p>	<p>Vice-President for Faculty Q1 - 2017</p>

III. Working conditions and social security

22. Recognition of the profession

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation</p> <p>Law (L.O.) 6/2001, Universities</p>	<p>Statutes of the Universidad Carlos III de Madrid.</p> <p>UC3M Vice-President for Faculty has established Criteria on the Access to Vacancy Positions of Professors and Associate Professors (academic year 2014/2015).</p>	<p>Establishing a UC3M Career Plan for Faculty, within the four career stages: Pre-doctoral, Post-doctoral, Access and Tenured Academics, according to the recommendations set out in <i>OTM-R Report (July 2015)</i></p>	<p>Vice-President for Faculty Q1 - 2018</p>

23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, of Science, Technology and Innovation Art14., Additional Provision. 8. 2. b) c)</p> <p>Law 31/1995, Occupational Safety and Health</p> <p>Law (R.D.Leg.) 3/2011, Consolidated Text of the Public Sector Contracts Act</p> <p>Law (L.O.) 15/1999, Personal Data Protection</p>	<p>UC3M Report to define requisites and set up procedures for the Registration of Research Groups, approved by Governing Council on March 4th, 2004</p> <p>UC3M Protocol in the Event of Workplace Mobbing, September 27th, 2012</p> <p>Regulation of the Electronic Headquarter UC3M (2010)</p> <p>UC3M Ethics Committee in Research approved by Governing Council on September 25th, 2014</p> <p>UC3M Occupational Health and Safety Plan approved by Governing Council on October 31st, 2013</p> <p>UC3M Committee Health and Safety (1997)</p> <p>Protocol for especially sensitive employees to potential risks in the workplace, July 4th, 2013</p>	<p>Establishing a UC3M Code of Good Practices in Research</p>	<p>Vice-President for Scientific Policy Q2 - 2018</p>

24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 3/2007, for Effective Equality between Women and Men. Capítulo II. Igualdad y conciliación. Art. 44, Art. 51, Art.56</p> <p>Law (L.O.) 6/2001, Universities</p> <p>Law 14/2011, Science, Technology and Innovation Art. 14.j</p> <p>Concilia Programme (Plan Concilia) agreement on work-life balance in the public sector</p> <p>Law (R.D.Leg.) 1/2013, Rights of People with Disabilities and their Social Inclusion.</p>	<p>Statutes of the Universidad Carlos III de Madrid. Art. 3.3, 96.b, 116 d</p> <p>UC3M I Gender Equality Plan, approved on April 8th 2010</p> <p>UC3M Regulation on Teaching Reduction, to promote the Research, approved on June 11th 2015</p> <p>UC3M Research Support Measures in Effective Equality Between Women and Men, approved by Governing Council on July 12th, 2007</p> <p>UC3M Regulation on Sabbatical Leave for Tenured Academics, approved on October 18th, 2007</p> <p>UC3M Regime on Educational Leaves for Educational Bodies, approved in 1993</p> <p>Protocol for especially sensitive employees to potential risks in the workplace, July 4th, 2013</p> <p>The UC3M has adapted its Facilities and Teaching Techniques for people with disabilities.</p>	<p>Approval of UC3M II Gender Equality Plan</p> <p>International Health Insurance for Faculty</p>	<p>Vice-President for Students, Social Responsibility and Equality Q4 – 2016</p> <p>General Management Q2 - 2017</p>

25. Stability and permanence of employment

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
Law 14/2011, Science, Technology and Innovation. Section 2 nd , Art. 20, Art. 25	<p>Collective Agreement on the Public Universities of Madrid for Academic Employees</p> <p>Recruitment Program 4+2 for Doctors</p>	<p>Establishing a UC3M Career Plan for Faculty, within the four career stages: Pre-doctoral, Post-doctoral, Access and Tenureds Academics.</p> <p>Actions for retaining talent</p>	<p>Vice-President for Faculty Q1 - 2018</p>

26. Funding and salaries

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 6/2001, Universities</p> <p>Law 14/2011, Science, Technology and Innovation.</p> <p>Law (R.D.) 70/2000, Modification of the Regime of University Faculties</p> <p>Law (R.D.Leg.) 8/2015, Consolidated Text of the General Law on Social Security</p>	<p>Collective Agreement on the Public Universities of Madrid for Academic Employees</p> <p>Recognition of previous services on Research Scholarships for three-year period calculation.</p> <p>Recognition of a three-year period on all labour contracts</p>	<p>Actions not required</p>	

27. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Spanish Constitution, 1978. Art. 14</p> <p>Law (L.O.) 3/2007, for Effective Equality between Women and Men</p>	<p>UC3M I Gender Equality Plan, <i>approved on April 8th 2010</i></p> <p>UC3M Vice-President for Equality and UC3M Equal Opportunities Unit, <i>were created in September 2008, ensures the application of the equality measures on regulations, processes, bodies, good practices dissemination, calls for application, etc.</i></p>	<p>Approval of UC3M II Gender Equality Plan</p>	<p>Vice-President for Students, Social Responsibility and Equality Q4 - 2016</p>

28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation.</p> <p>Law (L.O.) 6/2001, Universities</p>	<p>Statutes of the Universidad Carlos III de Madrid ensures the professional career of the researchers in all the steps (Pre-doctoral, Post-doctoral, Access, Tenured academics)</p>	<p>Establishing a UC3M Career Plan for Faculty, within the four career stages: Pre-doctoral, Post-doctoral, Access and Tenured Academics.</p> <p>Approval of UC3M Training Plan for Faculty, within the four career stages</p>	<p>Vice-President for Faculty Q1 - 2018</p> <p>Vice-President for Faculty Q4 - 2017</p>

29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 14/2011, Science, Technology and Innovation.</p> <p>Law 53/1984, Incompatibilities of Workers Serving in Public Administrations</p>	<p>One of the UC3M main priorities has always been the attraction of talent in order to consolidate the internationalization goal, for that purpose the UC3M develops Mobility Programmes, both in Initial Education and Training and in the rest of Professional Career.</p> <p>The UC3M-Santander Chairs of Excellence Program promotes excellence in research by attracting leading international researchers to all the University disciplines.</p> <p>UC3M Mobility Calls for Application, <i>launched from the UC3M Research Service, to cover Stays in Research Centers</i></p> <p>UC3M Regulation on Sabbatical Leave for Tenured Academics, <i>approved on October 18th, 2007</i></p> <p>UC3M Regime on Educational Leaves for Educational Bodies, <i>approved in 1993</i></p>	<p>International Health Insurance for Faculty</p>	<p>General Management Q2 - 2017</p>

30. Access to career advice			
Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
Law 14/2011, Science, Technology and Innovation	<p>The UC3M was subscribed to the Declaration of Commitment by the members of the EURAXESS Services Network, on January 13th, 2016. The network services are disseminates in researchers community.</p> <p>The Human Resources Service and the Research Service, work together to offer professional orientation and access to vacancy positions for the researchers career development.</p>	Actions not required	

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (R.D.Leg.) 1/1996, Intellectual Property Rights</p> <p>Law 14/2011, Science, Technology and Innovation Art.35</p> <p>Law (L.O.) 6/2001, Universities</p> <p>Law 11/86, Patents (new Law 24/2015, effective from April 1st, 2017)</p> <p>Law 2/2011, Sustainable Economy</p>	<p>UC3M ensures Intellectual Property Rights including a specific Clause in the Contracts.</p> <p>UC3M was subscribed <i>The Budapest Declaration on Open Access, The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities, "Madróno Consortium" Declaration supporting Open Access in Academic and Scientific information.</i></p> <p>UC3M Inventions Regulation ensures the protection of the UC3M scientific results, approved by Governing Council on December 9th, 2010</p> <p>Implementing Regulation of Art. 148 of Statutes of the Universidad Carlos III de Madrid</p> <p>UC3M Regulation on Creation of University Knowledge-based Companies, approved by Governing Council on October 30th, 2014</p>	<p>Approval of Open Access Institutional Policy</p> <p>Establishing a UC3M Code of Good Practices in Research</p>	<p>Vice-President for Strategy and Digital Education Q1 -2017</p> <p>Vice-President for Scientific Policy Q2 - 2018</p>

32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research.

Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>European Union Research Programmes (H2020, etc.)</p> <p>Law (R.D.Leg.) 1/1996, Intellectual Property Rights</p>	<p>UC3M Inventions Regulation <i>ensures the protection of the UC3M scientific results, approved by Governing Council on December 9th, 2010</i></p>	<p>Developing a UC3M Researcher Portal: Co-authorship Map</p>	<p>Vice-President for Scientific Policy Q1 - 2017</p>

33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 6/2001, Universities</p>	<p>UC3M Regulation on Teaching Reduction, to promote the Research, <i>approved on June 11th 2015.</i> <i>UC3M Systems on Teaching Reduction to Facilitate and Reward the Research Activity for Junior and Senior Researchers (40%).</i></p> <p>Statute for Research Personnel in Training, <i>Teaching reduction in pre-doctoral stages.</i></p> <p>UC3M offers Specific Training Actions on Academics to complete their education as researchers.</p> <p>UC3M defends innovative proposals through Calls for proposal: UC3M Digital and Innovation in Teaching, MOOC Technology, Flipped Classroom, Open Course Ware initiatives.</p>	<p>Actions not required</p>	

34. Complains/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law (L.O.) 6/2001, Universities</p>	<p>Statutes of the Universidad Carlos III de Madrid Art. 127, 128. Figure of the <i>University Ombudsman</i></p> <p>UC3M defends quality through Quality Questionnaires, Complaints and Suggestions Form, “OPINA System” (Intern Quality Systems Assurance).</p> <p>UC3M Trade Union Representation: Works Council, permit the representation on all Academics collectives.</p>	<p>Updating of UC3M Recruitment Regulation for non-tenured Faculty, developing a Claims Commission.</p>	<p>Vice-President for Faculty Q1 - 2017</p>

35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
Law (L.O.) 6/2001, Universities	<p>Statutes of the Universidad Carlos III de Madrid</p> <p>UC3M Participation and Decision-Making Bodies, including researchers:</p> <ul style="list-style-type: none"> • University Senate • Executive Board • Governing Council • Research Committee • Department Board • Advisory Board • Works Council 	Actions not required	

IV. Training

36. Relation with supervisors

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

37. Supervision and managerial duties

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

40. Supervision

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>European Union Research Programmes (H2020, etc.)</p> <p>Law 14/2011, Science, Technology and Innovation</p> <p>Law (R.D.) 99/2011, Official Doctoral Studies</p>	<p>UC3M Pre-doctoral researchers are supervised by a Senior researcher, or Thesis Director or Project Director, who performs Supervision, Coordination and Guidance tasks.</p> <p>UC3M Regulation of the Doctoral School, approved by Governing Council on February 7th, 2013</p>	<p>Approval of UC3M Training Plan for Faculty, within the four career stages, including the role of Mentors.</p>	<p>Vice-President for Faculty Q4 - 2017</p>

38. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Law 5/2015 (Basic Statute), Public Employees <i>Art. 14.1.g</i></p> <p>Law 14/2011, Science, Technology and Innovation <i>Art.14.1.k</i></p> <p>Law (R.D.) 63/2006, Researchers at training stages</p>	<p>Collective Agreement on the Public Universities of Madrid for Academic Employees, defends Academics Training</p> <p>UC3M “Madrid-Puerta de Toledo” new Campus <i>accommodates the activities for Postgraduate Studies, especially those pertaining to University Master’s programs and professional training programs.</i></p> <p>UC3M offers Specific Training Actions on Academics. It is necessary to develop and improve it.</p> <p>Seminars/Workshops of the UC3M Departments contribute to junior researchers training.</p>	<p>Approval of UC3M Training Plan for Faculty, in order to enhance the professional development of Academics in all career stages</p>	<p>Vice-President for Faculty Q4 - 2017</p>