

Document 2. Internal analysis UPC

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”

I. Ethical and professional aspects

1. Research freedom			
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.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required / When	Who
<p>Spanish Constitution</p> <p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU), amended in April 2007</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC), Introduction</p>	<p>UPC Statutes: Section I, Section II, Section IV (Chapters 3, 4 and 5), Section V (Chapter 2), Section VI (Chapters 4 and 5)</p> <p>Code of ethics and best practices for UPC staff and students</p>	<p>No actions are required. Spanish legislation and internal regulations guarantee research freedom, with obvious ethical limitations. At the UPC, according to the UPC Statutes these limitations apply to participation in research projects whose goals are related to the development of war technology.</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.

3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/ When	Who
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Law 14/2011 on Science, Technology and Innovation Organic Law 6/2001, of 21 December, on Universities (LOU), amended in April 2007	Statutes of the Universitat Politècnica de Catalunya: Section I, Section II, Section IV (Chapters 3, 4 and 5), Section V (Chapter 2), Section VI (Chapters 4 and 5)	Code of good research practices (Q3 2017)	Vice-rector for Research Research and Transfer Area - Technology Transfer Centre Legal Services
Law 1/2003, of 19 February, on Universities in Catalonia (LUC), Introduction	Code of ethics and best practices for Universitat Politècnica de Catalunya staff and students		
	Funding programme rules and internal rules Regulations on intellectual and industrial property rights at the UPC. Governing Council Agreement 137/2008		

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Law on Intellectual Property (text revised according to Legislative Royal Decree 1/1996)</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Legislative Royal Decree 1/1995, of 24 March, approving the revised text of the Law on the Workers' Statute</p> <p>Sixth Collective Agreement of Catalan Universities</p>	<p>Regulations on intellectual and industrial property rights at the UPC</p> <p>UPC Statutes</p>	<p>Survey of principal investigators (Q1 2017, Q3 2018)</p> <p>Improvement of the University's web pages (Q3 2017)</p> <p>Code of good research practices (Q3 2017)</p>	<p>Vice-rector for Research</p> <p>Legal Services Area</p> <p>Vice-rector for Research</p> <p>Research and Transfer Area - Technology Transfer Centre</p> <p>Legal Services</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 14/2011 on Science, Technology and Innovation	The autonomous government's regular audit process Funding programme rules and internal rules	Code of good research practices (Q3 2017)	Vice-rector for Research Research and Transfer Area - Technology Transfer Centre Legal Services Area

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 31/1995 on Occupational Health and Safety Organic Law 15/1999 on Personal Data Protection	Occupational health and safety policy. Governing Council Agreement 40/2009 UPC guidelines on data protection	Code of good research practices (Q3 2017)	Vice-rector for Research Research and Transfer Area - Technology Transfer Centre Legal Services Occupational Health and Safety Area

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 14/2011 on Science, Technology and Innovation	E-informacions newsletter IPR questionnaire at the start of projects Knowledge valorisation and transfer actions Regulations on intellectual and industrial property rights Open access – UPCommons DRAC (Descriptor of Research and Academic Activity at the UPC)	Code of good research practices (Q3 2017)	Vice-rector for Research Research and Transfer Area - Technology Transfer Centre Libraries, Publications and Archives Service

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who

<p>Law 14/2011 on Science, Technology and Innovation</p>	<p>E-informacions newsletter</p> <p>Open Day: http://www.upc.edu/saladeprensa/al-dia/mes-noticies/les-escoles-i-facultats-de-la-upc-obren-les-seves-portes-als-futurs-estudiants</p> <p>Interdisciplinary Meeting of Predoctoral Researchers: http://www.ub.edu/jipi/index.html</p> <p>The UPC brings the world of science to the 33rd Barcelona International Comic Fair, devoted to the conquest of space: http://www.upc.edu/saladeprensa/al-dia/mes-noticies/la-upc-porta-el-mon-de-la-ciencia-al-33e-salo-internacional-del-comic-de-barcelona-dedicat-a-la-conquesta-de-l2019espai</p> <p>Seventh Young Research Exhibition in Sarrià-Sant Gervasi: http://lameva.barcelona.cat/sarria-santgervasi/ca/noticia/vii-mostra-de-recerca-jove-de-sarrizasant-gervasi</p> <p>Prizes for scientific dissemination: http://www.iec.cat/institucio/documents/premis_2012.pdf</p> <p>UPC Alumni's Summer Campus: http://alumni.upc.edu/carreres-professionals/activitats-1/campus-destiu-upc-alumni</p> <p>Girls' ICT Day: http://www.upc.edu/igualtat/genere/dona-upc/Girls%20in%20ICT%20day%20UPC%20</p> <p>The UPC at the Science Fair: http://www.upc.edu/saladeprensa/al-dia/mes-noticies/la-upc-a-la-festa-de-la-ciencia http://lameva.barcelona.cat/barcelonaciencia/</p>	<p>Code of good research practices (Q3 2017)</p> <p>Open Science</p>	<p>Vice-rector for Research</p> <p>Research and Transfer Area - Technology Transfer Centre</p> <p>Legal Services</p>
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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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Spanish Constitution Law 14/2011 on Science, Technology and Innovation Law 1/2003, of 19 February, on Universities in Catalonia (LUC) Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men Law 7/2007, of 12 April, on the Basic Statute of Public Employees Workers' Statute Law 53/2003, of 10 December, on the Public Employment of People with Disabilities	Third Equal Opportunities Plan (2017-2020)	Improvement of gender policies (Q3 2018)	Staff and Organisation Area Sustainable Management and Equal Opportunities Office Glass ceiling committee

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who

<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities, Section IX</p> <p>Resolution of 26 November 2015, of the National Research Activity Evaluation Committee, establishing the specific criteria approved for each of the evaluation fields.</p> <p>Agreement between the Catalan University Quality Assurance Agency and the Universitat Politècnica de Catalunya, which specifies the method for assessing the research activity (over 6-year periods) of permanent research staff with PhDs at the Universitat Politècnica de Catalunya.</p> <p>Addendum to the Agreement between the Catalan University Quality Assurance Agency and the Universitat Politècnica de Catalunya, which specifies the method for assessing the research activity (over 6-year periods) of permanent research staff with PhDs at the Universitat Politècnica de Catalunya.</p>	<p>Teaching staff employment system. Governing Council Agreement 86/2012</p>	<p>No actions are required. The UPC already has an evaluation scheme.</p>	
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II. Recruitment

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of 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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU), Section IX</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Sixth Collective Agreement of Catalan Universities</p> <p>Collaboration agreement between the Ministry of Economy and Knowledge and Catalan public universities concerning the coordination of advertising and the selection process for recruiting teaching staff under the Serra Húnter Programme</p> <p>Regulations on the calls for the provision of contracts for teaching staff with PhDs under the Serra Húnter Programme of the Catalan government (Governing Council Agreement 211/2012)</p>	<p>Procedure for accessing permanent teaching and research staff bodies and categories. Governing Council Agreement 66/2009</p> <p>Regulations on the provision and recruitment of assistant professors. Governing Council Agreement 61/2014</p> <p>Guidelines on the management of research employment. Governing Council Agreement 108/2015</p> <p>Assessment of temporary contracted teaching and research staff for contract renewal purposes. Governing Council Agreement 122/2005</p> <p>Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015</p>	<p>No actions are required. The procedures for recruitment are strictly regulated in our legal framework.</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>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law on Universities 6/2001, of 21 December (LOU)</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Sixth Collective Agreement of Catalan Universities</p> <p>Collaboration agreement between the Ministry of Economy and Knowledge and Catalan public universities concerning the coordination of advertising and the selection process for recruiting teaching staff under the Serra Húnter Programme</p> <p>Regulations on the calls for the provision of contracts for teaching staff with PhDs under the Serra Húnter Programme of the Catalan government (Governing Council Agreement 211/2012)</p>	<p>Procedure for accessing permanent teaching and research staff bodies and categories. Governing Council Agreement 66/2009</p> <p>Regulations on the provision and recruitment of assistant professors. Governing Council Agreement 61/2014</p> <p>Guidelines on the management of research employment. Governing Council Agreement 108/2015</p> <p>Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015</p>	<p>Publication of all the posts/job offers in EURAXESS. (Q1 2017)</p>	<p>Staff and Organisation Area</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU)</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Sixth Collective Agreement of Catalan Universities</p> <p>Collaboration agreement between the Ministry of Economy and Knowledge and Catalan public universities concerning the coordination of advertising and the selection process for recruiting teaching staff under the Serra Húnter Programme</p> <p>Regulations on the calls for the provision of contracts for teaching staff with PhDs under the Serra Húnter Programme of the Catalan government (Governing Council Agreement 211/2012)</p>	<p>Procedure for accessing permanent teaching and research staff bodies and categories. Governing Council Agreement 66/2009</p> <p>Regulations on the provision and recruitment of assistant professors. Governing Council Agreement 61/2014</p> <p>Guidelines on the management of research employment. Governing Council Agreement 108/2015</p> <p>Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015</p>	<p>The procedures for selection are regulated in our legal framework, but the actual procedures can be improved. Possible improvements could be studied on the basis of a review addressed to leaders of research groups.</p>	<p>Vice-rector for Teaching and Research Staff and Organisation Area</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU), Section IX</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Sixth Collective Agreement of Catalan Universities</p> <p>Regulations on external calls</p> <p>Collaboration agreement between the Ministry of Economy and Knowledge and Catalan public universities concerning the coordination of advertising and the selection process for recruiting teaching staff under the Serra Húnter Programme</p> <p>Regulations on the calls for the provision of contracts for teaching staff with PhDs under the Serra Húnter Programme of the Catalan government (Governing Council Agreement 211/2012)</p>	<p>Procedure for accessing permanent teaching and research staff bodies and categories. Governing Council Agreement 66/2009</p> <p>Regulations on the provision and recruitment of assistant professors. Governing Council Agreement 61/2014</p> <p>Guidelines on the management of research employment. Governing Council Agreement 108/2015</p> <p>Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015</p>	<p>Improvement of the University's web pages (Q3 2017)</p>	<p>Vice-rector for Teaching and Research Staff and Organisation Area</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.

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.

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.

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.

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU)</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p> <p>Sixth Collective Agreement of Catalan Universities</p> <p>Regulations on external calls</p> <p>Collaboration Agreement between the Ministry of Economy and Knowledge and Catalan public universities concerning the coordination of advertising and the selection process for recruiting teaching staff under the Serra Húnter Programme</p> <p>Regulations on the calls for the provision of contracts for teaching staff with PhDs under the Serra Húnter Programme of the Catalan government (Governing Council Agreement 211/2012)</p>	<p>Procedure for accessing permanent teaching and research staff bodies and categories. Governing Council Agreement 66/2009</p> <p>Regulations on the provision and recruitment of assistant professors. Governing Council Agreement 61/2014</p> <p>Guidelines on the management of research employment. Governing Council Agreement 108/2015</p> <p>Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015</p>	<p>The procedures for evaluation of researchers are regulated in our legal framework, but the actual procedures can be improved. Possible improvements could be studied on the basis of a review addressed to leaders of research groups.</p>	<p>Vice-rector for Research</p> <p>Vice-rector for Teaching and Research Staff</p> <p>Staff and Organisation Area</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Organic Law 6/2001, of 21 December, on Universities (LOU) Law 1/2003, of 19 February, on Universities in Catalonia (LUC)	UPC Statutes	No actions are required. At the UPC, all research staff have equal terms and conditions regardless of their level and the duration of their contract.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Organic Law 6/2001, of 21 December, on Universities (LOU) Law 14/2011 on Science, Technology and Innovation Law 31/1995 on Occupational Health and Safety	UPC Statutes Occupational health and safety policy. Governing Council Agreement 40/ 2009	No actions are required. University departments, institutes and research groups are expected to provide the basic equipment. Additional services (such as library and computer services) are provided by the University. Finally, the Occupational Health and Safety Service takes care of the safety of the working environment.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Integral Work-Life Balance Plan for the General Spanish Administration</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU)</p> <p>Law 14/2011 on Science, Technology and Innovation</p> <p>Sixth Collective Agreement of Catalan Universities</p>	<p>Equal Opportunities Plan</p> <p>Regulations on sabbatical leave for teaching and research staff. Governing Council Agreement 7/12 2007</p>	<p>No actions are required. At the UPC, researchers already have flexible working hours and tele-working options. Moreover, sabbatical leave has been regulated, and because of the financial situation only a limited number of leaves are granted every year.</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*.

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation Organic Law 6/2001, of 21 December, on Universities (LOU) Law 1/2003, of 19 February, on Universities in Catalonia (LUC) Law 7/2007, of 12 April, on the Basic Statute of Public Employees Sixth Collective Agreement of Catalan Universities</p>	<p>Programme for the stabilisation of temporary, full-time teaching and research staff and Ramón y Cajal researchers. Agreement approving the regulations on the selection, provision and recruitment of associate professors in the framework of the programme for the stabilisation of temporary, full-time, non-civil service teaching staff and researchers in the Ramón y Cajal programme. Governing Council Agreement 108/2015 Guidelines on the management of research employment. Governing Council Agreement 108/2015</p>	<p>These aspects are strictly regulated by the existing legal framework.</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU)</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC)</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p>	<p>Governing Council Agreement 272/2005, which approves the agreement on the use of non-sexist language at the UPC</p> <p>Second UPC Equal Opportunities Plan</p> <p>Glass ceiling committee</p>	<p>Improvement of gender policies. Q3 2018</p>	<p>Staff and Organisation Area Sustainability and Equal Opportunities Bureau</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.

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
<p>Law 14/2011 on Science, Technology and Innovation</p> <p>Organic Law 6/2001, of 21 December, on Universities (LOU)</p> <p>Law 1/2003, of 19 February, on Universities in Catalonia (LUC), preamble on academic careers</p> <p>Organic Law 3/2007, of 22 March, on Effective Equality between Women and Men</p> <p>Law 7/2007, of 12 April, on the Basic Statute of Public Employees</p>	<p>Programme for the stabilisation of temporary, full-time teaching and research staff and Ramón y Cajal researchers.</p>	<p>Academic careers are implicitly regulated for all Catalan universities, in quite a strict way, by the existing legal framework. At the UPC, this has been made more explicit in internal documents. In this context, obviously not every researcher will obtain a permanent position. However, no specific support is given to assist or guide researchers for future development. A review will be conducted to determine what the most adequate support would be in this context. (Q1 2017)</p>	<p>Vice-rector for Teaching and Research Staff</p> <p>Vice-rector for Research</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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 14/2011 on Science, Technology and Innovation Organic Law 6/2001, of 21 December, on Universities (LOU)	Calls for external mobility permits for teaching and research staff	No actions are required. The UPC recognises the value of mobility and every year it makes a call for mobility grants addressed to academic staff.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 14/2011 on Science, Technology and Innovation Law (24/2015) on Patents	Regulations on intellectual and industrial property rights at the UPC. Governing Council Agreement 137/2008	No actions are required. This issue is clearly regulated at the UPC.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
	Teaching staff employment system. Governing Council Agreement 86/2012 Updating of co-authors' research activity points (PAR) distribution model. Approved by the Research Committee. Oct. 2016	No actions are required. Co-authorship is already considered in staff evaluation procedures at the UPC.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Law 14/2011 on Science, Technology and Innovation. Organic Law 6/2001, of 21 December, on Universities (LOU) Law 1/2003, of 19 February, on Universities in Catalonia (LUC)	Teaching staff employment system. Governing Council Agreement 86/2012 Guidelines on the management of research employment. Governing Council Agreement 108/2015	No actions are required. Teaching duties are clearly regulated at the UPC.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
	UPC Statutes UPC Ombuds Office regulations Approval of the assignment of the research ethics committee's functions by the Governing Council's Research Committee. Governing Council Agreement 45/2015	No actions are required. Research complaints can be addressed to the ethics committee or to the ombuds officer.	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Organic Law 6/2001, of 21 December, on Universities (LOU) Law 1/2003, of 19 February, on Universities in Catalonia (LUC)	UPC Statutes	No action is required. The participation of all employees in the UPC's governing bodies is clearly regulated.	

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Royal Decree 99/2011, of 28 January, which regulates official doctoral degrees	Academic regulations for doctoral studies: conditions for doctoral thesis supervisors Commitment agreement between the doctoral candidate and the supervisor	Code of good research practices. Q3 2017	Vice-rector for Research Research and Transfer Area of the Technology Transfer Centre Doctoral School

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Royal Decree 99/2011, of 28 January, which regulates official doctoral degrees	Academic regulations for doctoral studies Cross-disciplinary courses offered by the Doctoral School and the Institute of Education Sciences	Definition of the cross-disciplinary training available to teaching and research staff Q1 2017	Doctoral School Institute of Education Sciences Vice-rector for Research

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required/When	Who
Royal Decree 99/2011, of 28 January, which regulates official doctoral degrees	Academic regulations for doctoral studies	No action is needed. When a student is accepted on a doctoral programme a tutor is assigned.	