



ACTION PLAN TO SUPPORT THE IMPLEMENTATION OF THE HR STRATEGY FOR RESEARCHERS

European and International Projects' Office

UNIVERSIDAD AUTÓNOMA DE MADRID

NOVEMBER 2016



ACTION PLAN HRS4R

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Action Plan for the Implementation of Human Resources Policies in accord with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers 2016-2018

EXECUTIVE SUMMARY

Universidad Autónoma de Madrid (UAM) is a state university offering graduate and postgraduate degrees in many different fields. It is a young university -founded only 48 years ago- but has already achieved an outstanding international reputation for its high-quality teaching and research. It is generally recognized as one of the best Spanish universities in both national and international rankings 9th worldwide position in the [QS University Rankings: Top 50 Under 50](#)). **UAM** is a modern and democratic institution in which decisions are taken with the participation of all the members of the community, and which is characterised by its strong social commitment and participation in society.

In a communication of March 2005, the European Commission adopted the **European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (C&C)**, and recommended its implementation in the Member States. As part of the internationalization UAM strategy and in order to improve the attractiveness of the research career in our University, UAM endorsed the **C&C** in April 2014. Furthermore, UAM is a very active node of EURAXESS Network, a pan-European initiative that works to give personalized attention to researchers moving to and between EU and associated countries and is organized into national networks. It is an initiative of the European Commission, which coordinates in Spain FECYT in Spain, currently consisting of over 90 centers located in public and private foundations, universities, IPOs, technology centers and other law SECTI. <http://ec.europa.eu/euraxess/index.cfm/rights/recommendation>.

Short after the endorsement of the C&C, UAM decided to implement the **Human Resources Strategy for Researchers (HRS4R)**, which supports research institutions and funding organizations in the implementation of the Charter & Code in their policies. Achieving the Excellence in HR Logo will contribute to making UAM more attractive to top quality researchers, with all of the indirect benefits to the institution that hosting the best possible researchers can bring. UAM considers the quality and wellbeing of its researchers as essential to its excellence as an institution. It is therefore committed to excellence in recruiting at all levels and to offering the best possible conditions for researchers to carry out their work in accord with the principles of equal opportunity, the highest ethical standards, and a respect for work-life balance. UAM is also conscious of the distinctive value that the Logo will afford as a recognized quality seal from the European Union.

In this new version of our Action Plan, we have included **the recommendations given in the Consensus Report sent by the European Commission the 22 June 2016** and which refers mainly to the **questionnaire results' regarding the knowledge of our research community towards the HRS4R**, and the **visibilization of HRS4R end Euraxess information in our website**.

INTERNAL ANALYSIS AND ACTION PLAN

HR Objectives and the process

We have identified 4 main objectives in UAM's Human Resources Strategy:

1. To improve the university's policies and practices concerning the recruiting, contracting, promotion, training, and general working conditions of its researchers, with the goal of attracting top quality professionals.
2. To guarantee that UAM's policies and practices meet the standards of the best institutions in Europe.
3. To distinguish UAM as an institution whose vision and mission assigns a prominent place to best practices in recruitment and working conditions for its researchers.
4. To situate UAM in an optimal position to compete in European funding calls where a commitment to European standards and practices in HR is a factor in evaluation.

The Action Plan described below is the result of an open process that began in 2015 and culminated in early 2016. This process began with an initial internal analysis at UAM based on:

1. The Principles of the European Commission's Recommendation: The European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers (C&C).
2. An inventory of external legal regulations (national and regional) relating to the principles of the C&C.
3. An inventory of internal regulations relating to the principles of the C&C.
4. The Strategy of UAM, specially the European and International Project's Office Action Plan and the Strategic Plan of the CEI UAM+CSIC.

This internal analysis has been performed by a multidisciplinary team composed by members of the following units:

- Research Management
- European and International Research Projects
- Academic Personnel
- Human Resources
- Economic Area

The draft gap analysis that resulted from this process was presented to and discussed with the supervisory commission composed by:

- Vice-Chancellor for Research and Innovation
- Human Resources Director
- Rector's Delegate for International Research Projects
- Representation of the Research Community

The actions developed in this process are as follows:

1. Creation of a working group that includes some of the actors involved in different stages of the internal analysis. This analysis has been focused in:
 - a. Ethical and professional aspects
 - b. Recruitment
 - c. Working conditions and social security
 - d. Training
2. Defining a schedule of meetings to discuss the main points of the internal gap analysis.
3. Online work.
4. Writing the present document.

Main outcomes

As has been previously commented, the 40 principles of the C&C has been grouped in 4 areas:

1. Ethics and professional practices, rights and duties of the researchers.
2. Recruitment and Selection processes, criteria and transparency.
3. Working conditions, socials security and professional career.
4. Supervision and training.

In each area, some principles are affected by the same law, rules or practices.

Action Plan

After the internal work that has included the review of university's internal documents, we have decided that the first action to do is the translation of all the important documents to English, which are only provided in Spanish. The second one is to develop an appropriate dissemination platform (probably on the UAM's intranet) from which information can be easily accessed and updated.

To involve more directly the research community in our Action Plan, we have distributed an online questionnaire regarding the different principles of the Charter&Code in order to take into account all the views of the different researchers.

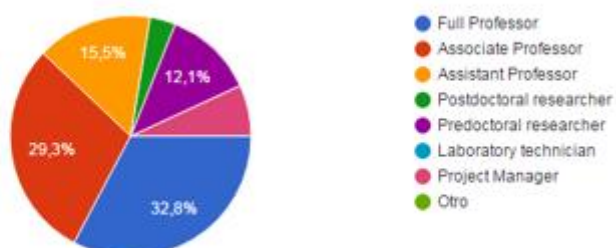
Although the participation has not been high (58 participants), it has been enough to show the opinion about the knowledge and advices of our research community regarding the HRS4R. The questionnaire has been divided into 5 sections:

0. General categorization of the participants
 1. Talent attraction and selection
 2. Working Conditions
 3. Ethical and professional aspects
 4. Training and Professional development

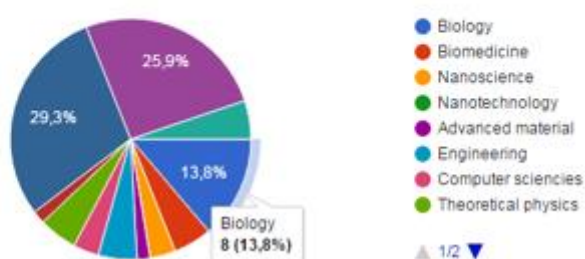
The main results of this questionnaire are summarize in the following pictures, in which the value scale goes form 1 (strongly disagree) to 5 (completely agree):

0. General categorization of the participants

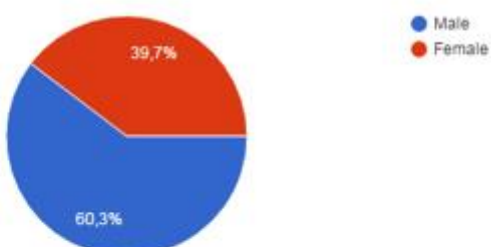
Professional category (58 respuestas)



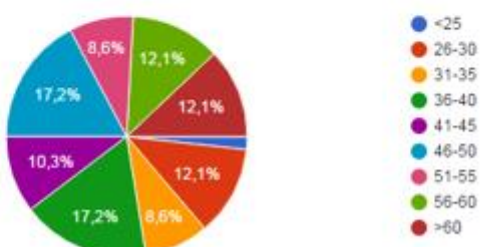
Research Area (58 respuestas)



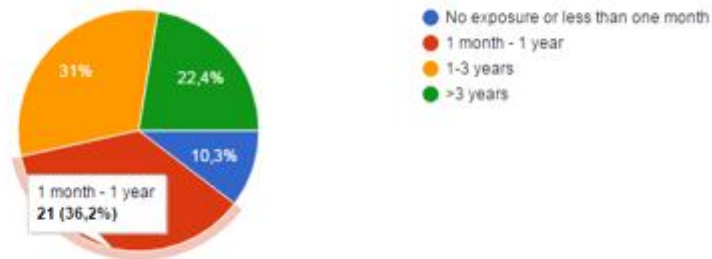
Gender (58 respuestas)



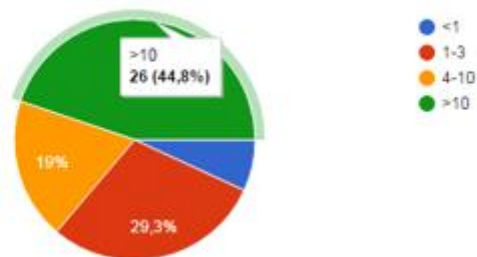
Age (58 respuestas)



International exposure (58 respuestas)



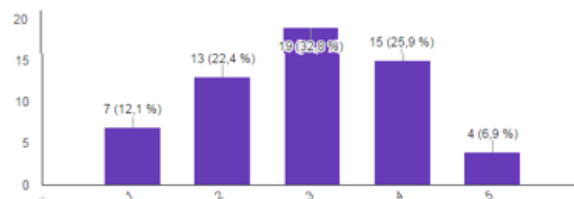
Recruitment time in the current position (58 respuestas)



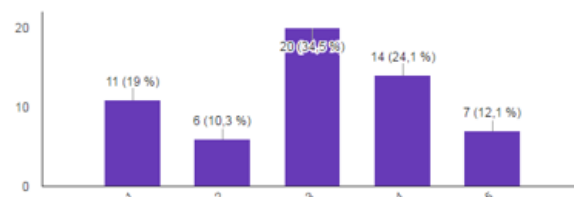
The most represented categories have been full professor, associate professor, assistant professor and predoctoral research, which are the main categories in our university and is related to the recruitment data which show that 44.8% has been at UAM more than 10 years and 29.3% has been between 1 and 3 years. The age is well balanced in all categories but the gender is a little biased to male participants (60.3%). Regarding international exposure, the participants have international experiences from 1 month to more than 3 years, being the ones of this last group the less represented (22.4%).

1. Talent attraction and selection

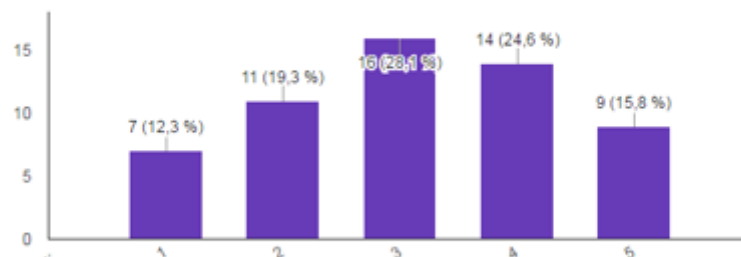
1.1 Recruitment procedures are open, efficient and transparent (58 respuestas)



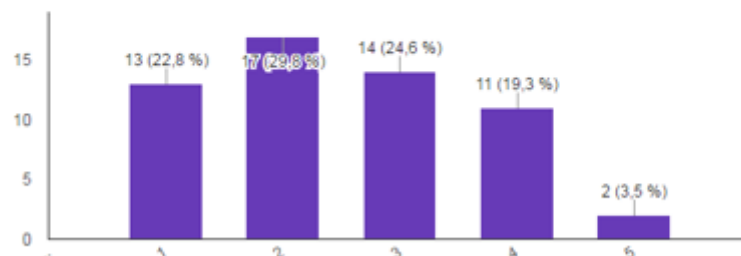
1.2 UAM properly disseminates information about teaching and research staff recruitment before the selection process begins (58 respuestas)

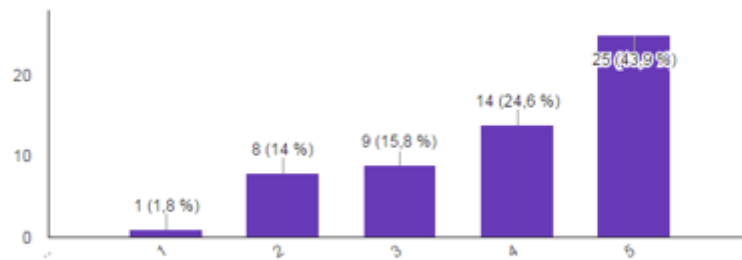


1.3 UAM candidates are well informed about selection process and criteria (57 respuestas)

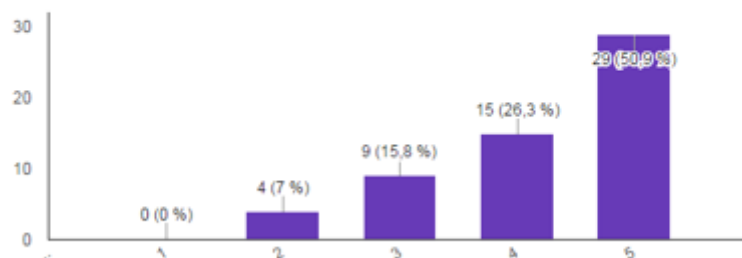


1.4 UAM candidates are well informed about professional career development at UAM (57 respuestas)



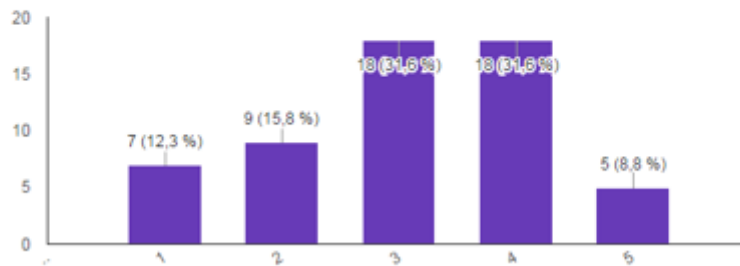
1.5 UAM should develop a plan to attract international talent (57 respuestas)**1.6 It is essential to improve transparency in teaching and research staff selection at UAM**

(57 respuestas)

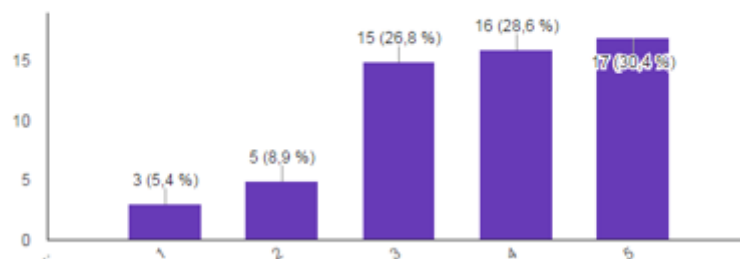


1.7 UAM selection process judges qualitatively as well as quantitatively results within a diversified career path

(57 respuestas)

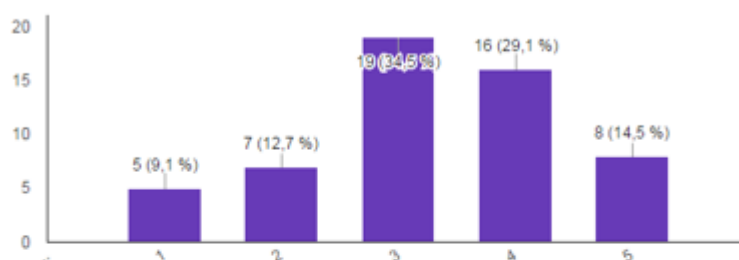


1.8 UAM makes use of Selection Committees (56 respuestas)



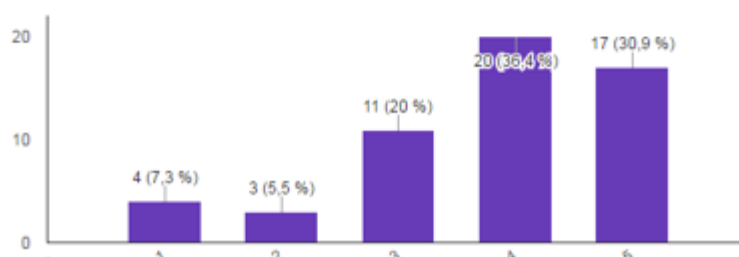
1.9 UAM should promote multidisciplinary Selection Committees within different fields

(55 respuestas)



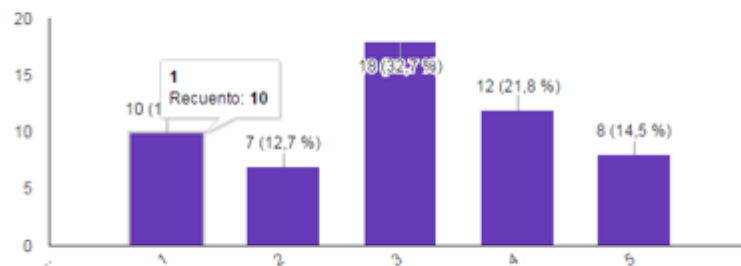
1.10 UAM should promote international expert participation in Selection Committees

(55 respuestas)



this This

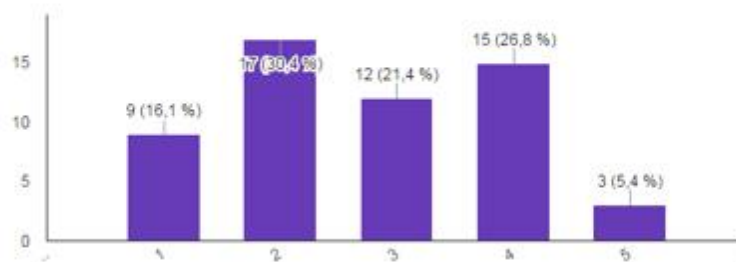
1.11 UAM Selection Committee should have a gender balance (55 respuestas)



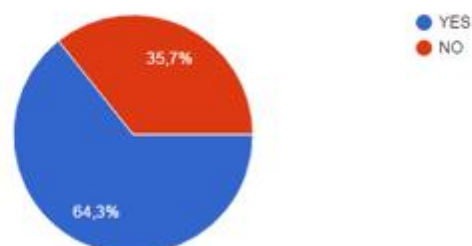
This section shows that the researchers are well informed about the evaluation and selections processes, but they are not aware of the Career Development opportunities. They also show their will to have a plan to attract international Talent, which is a reality since June 2016 due to the funding of InterTalentum COFUND Project coordinated by UAM and which aim is to offer 18 postdoctoral positions in our campus. Participants give the high score to the transparency in teaching and research and also to the different information about the selection process and its gender component.

2. Working Conditions

2.2 I consider that UAM helps me on my professional development (56 respuestas)

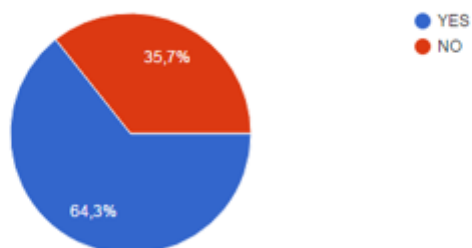
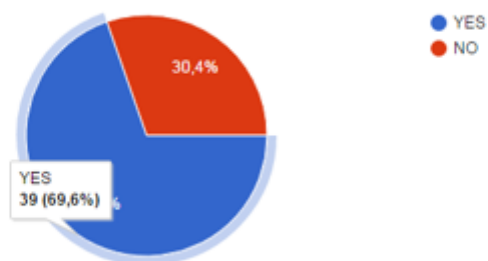
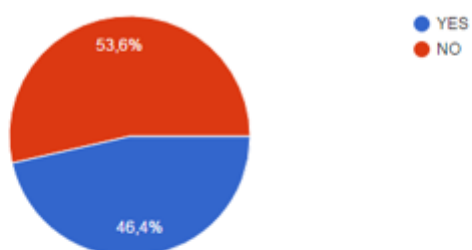
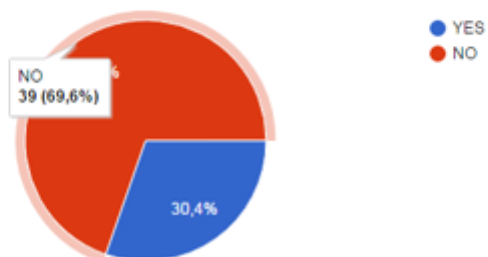


2.3 I know well the criteria and conditions for academic career promotion (56 respuestas)



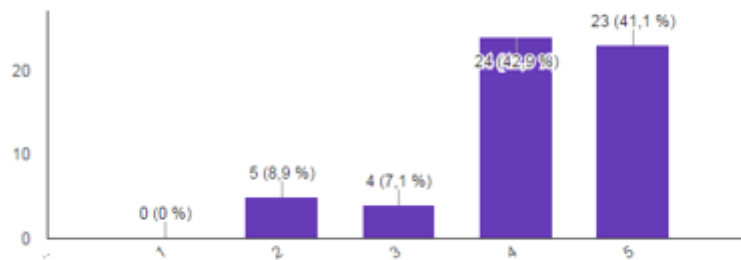
2.3 I know well the criteria and conditions for academic career promotion

(56 respuestas)

**2.4 I have been informed of my teaching responsibilities** (56 respuestas)**2.5 I have been informed of my research responsibilities** (56 respuestas)**2.6 I have been informed of my teaching activity rights** (56 respuestas)

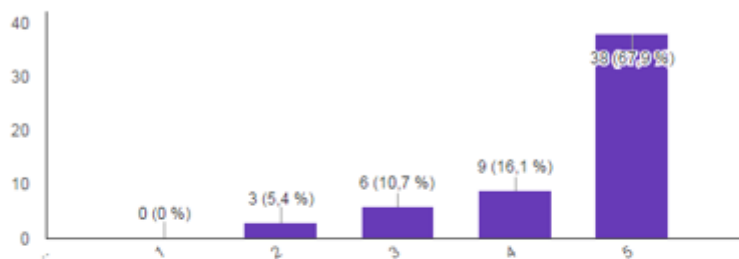
2.9 I consider that teaching and research activity should regularly be reviewed

(56 respuestas)



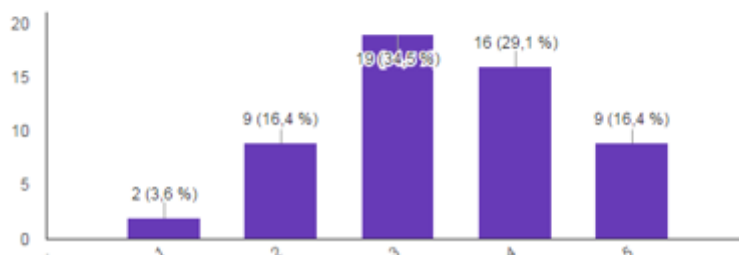
2.10 I consider that it's essential to have an incentive system linked to teaching and research results at UAM

(56 respuestas)



2.11 Gender balance: UAM aims for a representative gender balance at all levels, including at managerial and supervisory level.

(55 respuestas)

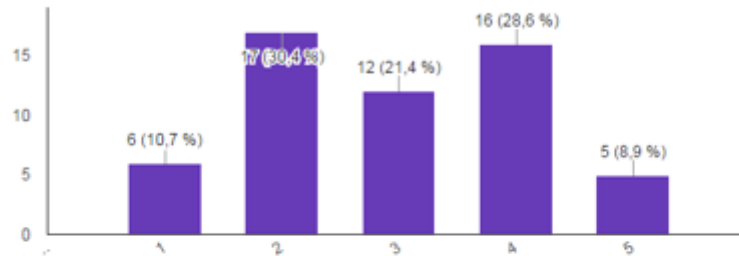


Although in section 1 the researchers have highlighted the fact that they are not very aware of the different mechanisms regarding Career Development, section 3 shows that they know that they have support systems for academic career promotion and teaching possibilities. On the other hand, they are not informed of their teaching rights and they feel this teaching activity should be regularly reviewed.

3. Ethical and professional aspects

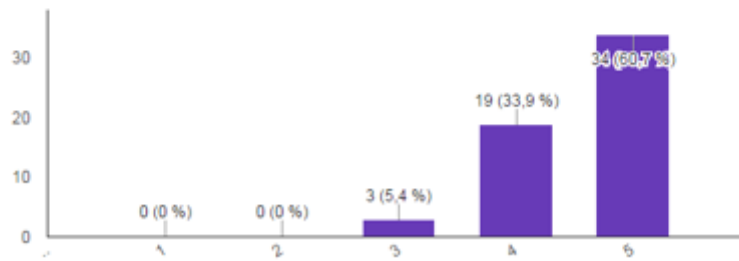
3.3 I know well the intellectual property rights guideline in research findings

(56 respuestas)



3.4 It is imperative the dissemination of research results in society

(56 respuestas)

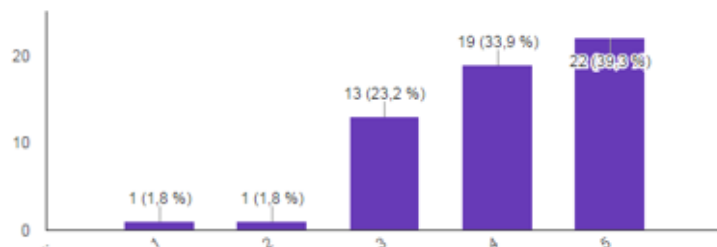


UAM researchers claim for an incentive linked to teaching and research results (5 score). UAM has got a specific plan to foster with economic resources the participation in European Projects. Is not that easy with the teaching reduction but UAM is now fighting for a normative in this sense. Gender balance is other aspect that must be reviewed together with the mechanisms linked to the communication of research in society, which seems essential for our researchers.

4. Training and Professional development

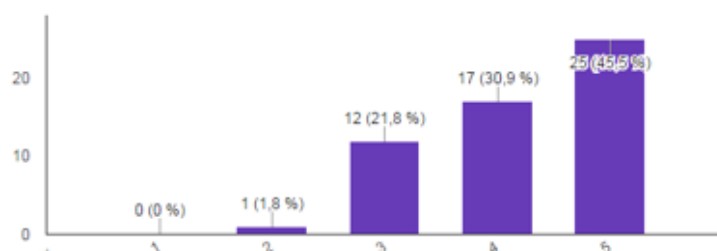
4.1 It is essential the establishment of Training Programme in order to continue the professional development of teaching and research staff at UAM

(56 respuestas)



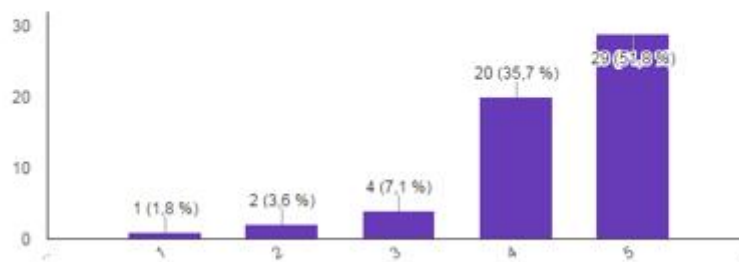
4.2 I believe that UAM Training Programme should include activities for cross curricular skills and abilities

(55 respuestas)



4.3 Mobility is a valuable contribution to the researcher professional development

(56 respuestas)



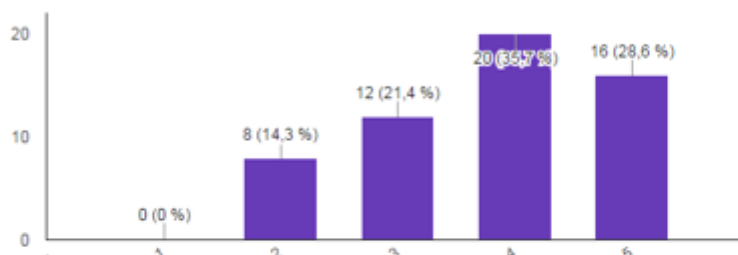
4.4 It is essential to introduce and promote the mentor figure at predoctoral stage

(56 respuestas)



4.5 It is essential to introduce and promote the mentor figure at postdoctoral stage

(56 respuestas)



Suggestions (3 respuestas)

Prueba

Provide incentives based on merit and clear teaching and research outputs with attention to specificities in different research areas of knowledge.

Regarding 4.1. & 4.2., the UAM already has a Training Programme to continue the professional development of teaching and research staff!!!

The need that our researchers has rise in this section is the one regarding the cross-curricular activities for research career. Besides, they find a cornerstone in their research careers the fact of mobility and the chance to have a mentor at the predoctoral and postdoctoral stage.

New website section

To aware our researchers about the EURAXESS Network and HRS4R initiative, it has been dedicated a section in our webpage to explain how these initiatives work:

Euraxess UAM:

http://www.uam.es/ss/Satellite/es/1242685742123/contenidoFinal/EURAXESS_UAM.htm

The European Charter and Code for Researchers:

http://www.uam.es/ss/Satellite/es/1242700638080/contenidoFinal/The_European_Charter_and_Code_for_Researchers.htm

The Human Resources Strategy for Researchers:

http://www.uam.es/ss/Satellite/es/1242700638092/contenidoFinal/Human_Resources_Strategy_for_Researchers.htm

The most positive outcome of this internal gap analysis of the C&C (Annex 1) and the questionnaire performed to the research community is to confirm that most of the principles are already ongoing at UAM. However, there are some areas that need to be improved and that will be the basis of this action plan:

- **Recruitment and Selection:** UAM will ensure the clarity and transparency of recruitment criteria by improving its recruitment procedures. An informative and regulatory framework should be established to ensure the reliability of the process through the creation of an internal manual with a description of the requirements on the selection process. We will pay special attention to gender issues.
- **Career development:** UAM will provide guidance in supporting researchers career progression and development, giving researchers the tools and confidence to develop the proper career, especially through the transition from PhD to Postdoc positions. This support service will include personal advice as well as seminars and specific sessions oriented to:
 - To increase competitiveness in the labor market of PhD research.
 - To add value to the experience and knowledge gained through the doctorate.
 - To develop new skills and competences.
- **Professional skills and competences:** UAM is aware that researchers need to improve their professional skills in order to be more competitive and increase their employability. Regarding this specific need, UAM will develop specific courses and training activities in transversal skills such as: project management, IPR, entrepreneurship, leadership and communication skills. This training will complement our Mentoring Program that will be launched in 2016.

Specific Actions to be implemented in 2016-2018

Topic	What	When	Who
Intranet and dissemination	<p>Document repository. We will enable a specific repository in UAM intranet with all the information regarding the principles of C&C.</p> <p>HRS4R Campaign. The benefits of the HRS4R and the principles of the C&C will be spread through a dissemination campaign including meetings with other institutions associated to UAM, infodays and leaflets with specific information about the strategy.</p>	<p>Q4 2016 (started on December 2015).</p> <p>Q1 2017</p>	<p>European and International Projects Office. Communication service.</p> <p>European and International Projects Office. Communication service.</p>
Document's review	<p>Update and Translation. All documents affecting relevant issues for researchers, must be available, updated and in English.</p>	Q3 2016 (started on Q1 2015).	European and International Projects Office.
Recruitment and Selection	<p>Best practices document and guidelines. A survey will be made to the entire research community about the improvements to be introduced regarding recruitment. With the outcome of these questionnaire together with the current regulations, a guidance document on the recruitment process will be developed.</p>	Q4 2016	European and International Projects Office. Researchers. Human resources.

Career development	Career Development Plan (CDP) advice. As LCP of Euraxess Network and with the recent creation of the Doctoral School (July 2015), it is a great opportunity to provide support and resources to doctoral and postdoctoral researchers. A survey will be done to collect the specific needs of these researchers.	Q3 2017	European and International Projects Office. Doctoral School
Professional skills and competences	Institutional Program. Closely related to the CDP advice, a specific training program will be design to support personal and professional growth of doctoral and postdoctoral researchers.	Q2 2017	European and International Projects Office.
Self-Assessment	Establishment of a working group to follow up the development of the actions to be done, and providing and overall assessment of the results.	Q4 2016	European and International Projects Office.

Annex 1: GAP Analysis

I. Ethical and professional aspects

1. Research freedom (5)

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	Actions Required
Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented.	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.

2. Ethical principles (5)

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	Actions Required
Spanish Law (14/2011) of Science, Technology and Innovation Spanish Law 4/2007, research on Biomedicine Spanish Law 15/1999 on personal data protection Spanish Law 1201/2005, Animal protection in experimentation	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented.	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.

3. Professional responsibility (5)

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	Actions Required
	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.

4. Professional attitude (5)

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	Actual status	Actions Required
	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.

5. Contractual and legal obligations (4)

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	Actual status	Actions Required

Spanish Law 4/2007 EU law for EC funded projects (AMGA)	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented. The dissemination to the UAM community should be improved. The " Welcome Office of the UAM" jointly with the Euraxess Local Contact Point provide information and support to foreigner researchers, for Immigration issues and for visa processing. Shortly a "welcoming package" will be implemented, Including the basic information required for the new employees to start working at the UAM.	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.
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6. Accountability (4)

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	Actual status	Actions Required
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	Code of Good Practices of Research (Governing Council, 08/02/2013) UAM Researcher's Guide Free Resources Internal Plan (Research Commission, 20 April 2015)	Implemented. There are guidelines and dedicated space in the intranet with specific information about financial management. However, the dissemination to the UAM community should be improved.	UAM will create a Welcome Pack for new researchers with all the reference documents regarding internal procedures and practical information of the UAM.
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7. Good practice in research (5)

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	Actual status	Actions Required
	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented.	NO

8. Dissemination, exploitation of results (5)

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	Actual status	Actions Required
Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 08/02/2013) Guidelines for corporate visual identity (April 2011) Communication manual for researchers (http://fuam.es/investigacion/manual-de-comunicacion-para-el-personal-investigador/)	Implemented. The principles concerning dissemination and valorisation of research results, are described in the Code of Good Practices of Research. UAM has a Scientific Culture Unit, a Press Office and a Technology Transfer and Patent Office to give support to this issues.	NO

9. Public engagement (5)

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	Actual status	Actions Required
Spanish Law (14/2011) of Science, Technology and Innovation	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented. UAM organizes the Week of Science every November in Madrid; we participate in Researchers' Night the last Friday of September; UAM has an App called UAM Gazette, available for iOS and Android, where you can find all the news about the scientific results of our researchers. Furthermore, through the Scientific Culture Unit and Press Office the outcomes of our researchers can be known by the general public through TV, press, radio and social media (Facebook, Twitter, YouTube, RSS and LinkedIn).	NO

10. Non discrimination (5)

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	Actual status	Actions Required
Spanish Law 3/2007 Spanish Law 6/2001 Spanish Constitution (BOE 311)	II Gender Equality Plan (approved by the Governing Council, 16/07/2015)	Implemented. The UAM believes that achieving effective equality between women and men is a factor of prime importance for a more developed and fairer society. Due to the strong commitment against discrimination, the Equality Unit was created in December 2009. Furthermore, UAM has a Research Institute in Women Sciences awarded with an UNESCO Charter.	NO

11. Evaluation/ appraisal systems (3)

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	Actual status	Actions Required

Spanish Law 63/2006 Spanish Law CIN/2657/2008, https://sede.educacion.gob.es/catalogo---tramites/organismos/sexenios---cnei Spanish Law 1052/2002	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented. There are guidelines and dedicated space in the intranet with specific information about financial management. However, the evaluation information given to the applicants for different funding under project should be improved.	Creation of a Monitoring Committee
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II. Recruitment

12. Recruitment (2)

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status/	Actions required
Spanish Law (1313/2007)	Direct advise of the Researchers' Recruitment Section	Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices

13. Recruitment (Code) (2)

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	Actual status	Actions required
Spanish Law (1313/2007)	Direct advise of the Researchers' Recruitment Section	Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices

14. Selection (Code) (2)

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	Actual status/ Actions required	When/Who
Spanish Law (1313/2007)	Direct advise of the Researchers' Recruitment Section	Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices

15. Transparency (Code) (2)

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	Actual status	Actions required
Spanish Law (1313/2007)	Direct advise of the Researchers' Recruitment Section Transparency Web Portal (UAM)	Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices

16. Judging merit (Code) (1)

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

		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices. Creation of a Monitoring Committee.
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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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required
Spanish Law 3/2007 Spanish Law 6/2001		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices Creation of a Monitoring Committee.

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required
		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices Creation of a Monitoring Committee.

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required
Spanish Law 1312/2007		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices Creation of a Monitoring Committee.

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	Actual status	Actions required

		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process.	Internal manual on hiring practices
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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	Actual status	Actions required
		Not Implemented. An informative and regulatory framework should be established to ensure the reliability of the process. It will be done a special effort to make specific categories for the European figures such as Marie Curie, ERC or ITN fellows.	Internal manual on hiring practices

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	Actual status	Actions required

Spanish Law (14/2011) of Science, Technology and Innovation	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	<p>Implemented. All research staff have equal terms and conditions regardless of their level and the duration of the contract. In the UAM the concept of "research staff" is used in a global sense, and there are different working/contracting schemes.</p> <p>Permanent positions: both by civil servants and by hired researchers.</p> <p>Tenure---track equivalent: hired researchers</p> <p>Postdoctoral and predoctoral positions: hired researchers. It will be done a special effort to make specific categories for the European figures such as Marie Curie, ERC or ITN fellows.</p>	Internal manual on hiring practices
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23. Research environment (3)

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	Actual status	Actions required
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	<p>Strategic Framework of CIE UAM+CSIC</p> <p>Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)</p> <p>Code of Good Practices of Research (Governing Council, 08/02/2013)</p>	<p>Implemented. At the current time the UAM+CSIC Campus is made up of the following components:</p> <ul style="list-style-type: none"> • The Cantoblanco Campus: situated in the northern part of the city of Madrid, at the juncture of the 607 and 616 highways, it is home to seven Faculties belonging to the UAM, four CSIC institutes, five joint UAM+CSIC institutes, three IMDEA institutes of the Community of Madrid (Nanoscience, Food and Social Sciences) and the Parque Científico de Madrid. As a whole, it is one of the biggest aggregate research centres in Europe. • The Medicine campus: made up of the Faculty of the same name belonging to the UAM and the Instituto de Investigaciones Biomédicas “Alberto Sols” (IIBM), a joint UAM+CSIC centre. It is in the north of Madrid, 100 metres from the Hospital Universitario de la Paz, one of the 6 University Hospitals associated with the UAM, and less than one km away from two first class international research centres connected to the Instituto de salud Carlos III, the Centro Nacional de 	<p>NO</p>
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		Investigaciones Oncológicas (CNIO) and the Centro Nacional de Investigaciones Cardiovasculares (CNIC) also associated with the CEI.	
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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	Actual status	Actions required

Spanish Law (70/2000)		Implemented. <ul style="list-style-type: none"> Foreign researchers getting incorporated at UAM can use the International Office for support in their Visa applications and other kind of bureaucratic requirements from the Spanish Government (http://www.uam.es/ss/Satellite/es/1234886374004/contenido/Final/Oficina_de_acogida.htm). UAM offers language courses (http://www.uam.es/ss/Satellite/es/1242654677923/subHome/Servicio/Servicio_de_Idiomas.htm). UAM offers accommodation at the Erasmo residences placed within the campus (http://www.resa.es/Residencias/Erasmus). UAM offers a wide range of sport (http://www.uam.es/ss/Satellite/es/1234886379993/contenido/Final/Deportes.htm) and cultural (http://www.uam.es/ss/Satellite/es/1234886354509/contenido/Final/Oficina_Actividades_Culturales.htm) activities. UAM offers a service for Children School within the campus (http://www.uam.es/ss/Satellite/es/1234886352057/1234886853422/servicio/servicio/Escuela_Infantil_Barbel_Inhelder.htm) 	NO
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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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required

Spanish Law (70/2000) Spanish Law (14/2011) of Science, Technology and Innovation Regional Law LCM 2003\348	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented. UAM guarantees the stability of the fixed-term work. In those cases where possible or referred into the law UAM will seek support to help the subsequent stabilization of these figures.	NO
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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	Actual status	Actions required
Spanish Law (70/2000) Spanish Law (14/2011) of Science, Technology and Innovation Regional Law LCM 2003\348		Implemented. The funding and salaries are established by the financial entities and UAM ensures that they are adequate to the existing national legislation.	NO

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	Actual status	Actions required
Spanish Constitution (BOE 311)	II Gender Equality Plan (approved by the Governing Council, 16/07/2015)	Implemented. The UAM believes that achieving effective equality between women and men is a factor of prime importance for a more developed and fairer society. Due to the strong commitment against discrimination, the Equality Unit was created in December 2009.	NO

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required
	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Not Implemented. As permanent positions are very limited in the UAM academic community, is recognized that not all the researchers will obtain such a position. In this sense, the UAM should be supportive and assist those researchers, by running a program to analyze the career progression and development, and facilitating career advice.	UAM Career Development Plan

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	Actual status	Actions required
	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Not Implemented. As permanent positions are very limited in the UAM academic community, is recognized that not all the researchers will obtain such a position. In this sense, the UAM should be supportive and assist those researchers, by running a program to analyze the career progression and development, and facilitating career advice.	UAM Career Development Plan

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	Actual status	Actions required

	<p>Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)</p> <p>Code of Good Practices of Research (Governing Council, 08/02/2013)</p>	<p>Not Implemented. As permanent positions are very limited in the UAM academic community, is recognized that not all the researchers will obtain such a position. In this sense, the UAM should be supportive and assist those researchers, by running a program to analyze the career progression and development, and facilitating career advice. The Euraxess Local Contact Point Will help to focus researchers on the best path for their future career.</p>	<p>UAM Career Development Plan</p>
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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	Actual status	Actions required

	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented. The Office for Research Valorization and Patents, and the Entrepreneurship Center (CIADE) provide guidance and counselling on IPR, know-how protection and research valorization.	NO
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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	Actual status	Actions required

	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented	NO
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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	Actual status	Actions required
Spanish Law: RD 14/2012 Spanish Law: RD 6/2001	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented. Further support need to be done regarding European figures such as Marie Cure or ERC fellows.	Internal manual on hiring practices



34. Complain/ 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	Actual status	Actions required
	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented. University Defensor or Ombudsman is the body responsible for the security and defense of the rights of all members of the university community.	NO

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	Actual status	Actions required
	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009)	Implemented	NO

IV. Training

36. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departamental 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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required

Spanish Law: RD 99/2011	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented. There are guidelines and dedicated space in the intranet with specific information about financial management. It is specially detailed the procedure and responsibility concerning doctoral supervision and training.	
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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	Actual status	Actions required
Spanish Law: RD 99/2011	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented There are guidelines and dedicated space in the intranet with specific information about financial management. It is specially detailed the procedure and responsibility concerning doctoral supervision and training.	

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actual status	Actions required
	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented	NO

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	Actual status	Actions required

	Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented. Further training provision to ensure that training needs are met.	NO
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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	Actual status	Actions required
Spanish Law: RD 99/2011	Regulatory Framework of the Universidad Autónoma de Madrid (approved by the Government Council 05/11/2009) Code of Good Practices of Research (Governing Council, 08/02/2013)	Implemented There are guidelines and dedicated space in the intranet with specific information about financial management. It is specially detailed the procedure and responsibility concerning doctoral supervision and training.	NO