

[Doc2] GAP ANALYSIS - OVERVIEW

Case number:	2018ES328092
Name Organisation under review:	Universitat de Girona (UdG) (http://www.udg.edu)
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SUBMISSION DATE: **PENDING**

DATE ENDORSEMENT CHARTER AND CODE: 10 October 2018

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	Implementation: ++ fully implemented +/- almost but not fully implemented -/+ partially implemented -- insufficiently implemented	In case of --, +/-, or +/-, please indicate the actual “gap” between the principle and the current practice in your organisation.	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom <i>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.</i> <i>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.</i>	+/-	<p>In all aspects of its activity, the Universitat de Girona (UdG) community is committed to ensuring the highest standards of integrity. There is no code of ethics consistent with the culture of the institution to provide an accessible, overarching guide to established ethical practices and procedures on the core activities of the UdG (teaching, research, knowledge transfer and social compromise) and fundraising/financing (investment and procurement).</p>	<p>The UdG is inspired by the fundamental principles of freedom, justice, solidarity and a culture of peace. In accordance with the principles of the University, any research related to war is prohibited (Articles 3 and 203 of the Statutes).</p> <p>The University does not impose any additional restrictions on teaching and research staff who undertake research within the limits described in Principle One, apart from those of a purely financial nature. University professors and researchers are free to apply for any call in pursuit of external funding, and their involvement in any privately funded research is always voluntary.</p>
2. Ethical principles <i>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</i>	+/-	<p>The Implementation and Monitoring Committee noted a lack of knowledge of existing initiatives during the gap analysis process.</p> <p>The Code of Good Practices of the EDUG (School of Doctoral Studies) is not widely known among R2-R4 researchers in the School (44% of the respondents to the HRS₄R survey). In addition, the Code may not cover the UdG's entire research community, i.e. R2-R4 researchers not engaged in doctoral studies, for which the ethical compromise on general principles and practices is tacitly assumed.</p>	<p>Established in 2013, the Research Ethics and Biosafety Committee (CEBR) is responsible for analysing, preserving and reinforcing both the ethical values and the requirements of biosafety in the research activities developed at the UdG, including personal data protection.</p> <p>The Code of Good Practices of the EDUG was approved in April 2012. The EDUG Code contains rules and information on responsible behaviour as well as procedures for avoiding research misconduct. This code is intended for all EDUG members including:</p> <ol style="list-style-type: none"> 1. Doctoral students (R1 researchers) 2. Researchers participating in affiliated doctoral programmes regardless of their professional and/or contractual relationship with the UdG (R2-R4)

		No comprehensive package with relevant information is available for distribution to newly recruited researchers during their orientation. Participants pointed out that the information is scattered in several (external/internal) documents and Internet pages and that some of the most relevant documents are only available in Catalan.	<p>By signing the Doctoral Thesis Agreement, both the PhD student and the thesis supervisor(s) endorse their commitment to the code.</p> <p>The School of Doctoral Studies offers a series of cross-disciplinary courses to provide complementary training for doctoral students, including a research integrity module.</p>
3. Professional responsibility <i>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 principles 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.</i>	+/-	<p>The EDUdG Code of Good Practices can have a limited scope, as explained in more detail in the analysis of the previous principle and hereafter. The code should be updated and formally adopted at the highest level to ensure the commitment of the institution's entire R&D community.</p> <p>A gap was identified during the HRS4R benchmark assessment due to the lack of institutional data ownership or intellectual property rights (IPR) policies. There was further evidence of the need to tackle this shortcoming based on the experiences some researchers shared during interviews and workshops.</p>	<p>The University expects that its researchers to conduct their activity in accordance with the Code of Good Practices of the EDUdG, which sets out the UdG's policies in relation to the general principles governing scientific activity and authorship, among others.</p> <p>The UdG is participating in the CSUC (Consortium of University Services of Catalonia) plagiarism detection and prevention service, which began in 2016. This service aims to find a global solution to detect plagiarism in digital content used and created in participating institutions and to promote the quality of academic work and research. The UdG has provided training on available tools/software (URKUND) to promote plagiarism prevention and detection in students' academic work.</p> <p>Scientific contributions and project proposals are not subject to plagiarism detection as they are scrutinised by external reviewers. For PhD theses, clear anti-plagiarism rules and URKUND software have been systematically used to verify the originality of the doctoral theses submitted to the EDUdG.</p>
4. Professional attitude <i>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.</i> <i>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.</i>	+/-	<p>On top of the numerous actions already in place (please find a summary in the right column), the need for a multilingual R&D information and services catalogue was highlighted during the HRS4R gap analysis process.</p> <p>As noted in the analysis of previous principles, no comprehensive package with relevant information is available for distribution to newly recruited researchers during their orientation. Participants noted that the information is scattered in several documents and web pages (external/internal) and that some of the most relevant documents are only available in Catalan.</p> <p>Currently, neither approval procedures for health, safety and environmental issues nor established installation requirements for new research equipment are in place prior to the start-up of the research project. The lack of these protocols creates dysfunction between researchers and the different central units and services involved in management and operation.</p>	<p>The UdG community is currently working to deploy the strategic lines after approving the hypothesis (Sum of Intelligences) that will guide its Horizon 2030 Strategic Plan. Regarding research, these strategic lines essentially revolve around two main axes:</p> <ul style="list-style-type: none"> Promoting optimal use of the huge volume of data generated in the different fields of research, considering the specific characteristics of each area and incorporating all related ethical aspects. Reinforcing the hybrid nature of research, strengthening the transversality of knowledge and cooperation between different fields. <p>The focus of research and teaching on the needs of the socio-economic sectors and alignment with Catalonia's Research and Innovation Strategy for Smart Specialization (RIS3CAT) has been a priority for the UdG. To this end, the Sectoral Campus Programme was launched. Sectoral Campuses are innovation platforms that facilitate contact among researchers, companies, public administrations and citizens at large focusing on several strategic socioeconomic sectors with a markedly needs-driven or market-driven approach.</p> <p>The UdG Delegate Committee for Research, Transfer and Doctoral Studies is responsible for supervising the organisation and grouping of research activities and promoting transfer of knowledge and innovation to local, national and international socioeconomic contexts, and</p>

		<p>As addressed in principle 5, these aspects should be included in the Project Management Guide prepared at the start of the project.</p>	<p>fostering exploitation of the results. The OITT (Office of Research and Technology Transfer) is a unit of the Central Services of the UdG that responds to the needs of the professionals taking part in the University's R&D activity. The 24 technicians at the OITT offer guidance on both the proposal preparation phase and the post-award phase of research funding. Regarding funding mechanisms:</p> <ul style="list-style-type: none"> • A Research Bulletin prepared and sent to all the UdG R&D community on a weekly basis • An updated call for proposals calendar offers information on research funding opportunities • Regular organisation of seminars and information days about funding mechanisms and opportunities <p>In addition, the European Documentation Centre and Europe Direct report and give training courses on European funding mechanisms.</p>
<p>5. Contractual and legal obligations</p> <p><i>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.</i></p>	+/-	<p>Feedback from researchers indicates that:</p> <ul style="list-style-type: none"> • there is an excessive administrative burden. • the information only reaches the principal investigator, not always the entire research team. • the content of the Project Management Guide should be extended to include aspects such as: <ul style="list-style-type: none"> - ethical and professional responsibility (principles 2-3); - HSE requirements and implications (principle 4); - scientific equipment procurement and installation requirements (principle 4); - data management and record-keeping obligations according to data ownership institutional policy (see analysis of principle 3); and - a communication plan (principle 9). 	<p>There are guidelines and a dedicated space in the internet/intranet with relevant laws and regulations. Principal investigators have full access to the contracts and grant agreements that state their contractual and legal obligations with funders and sponsors of their research. In addition, the OITT prepares a Project Management Guide that includes specific requirements regarding:</p> <ol style="list-style-type: none"> 1. Budget distribution 2. Eligible/non-eligible concepts and limitations 2. Reporting schedules/deliverables 3. Publicity requirements of funders and sponsors 4. Intellectual property right (IPR) terms and conditions of funders and sponsors <p>The researchers take part in negotiating the contracts and sign it together with the competent third party.</p> <p>The rights and obligations of research trainees are regulated by articles 29 and 30 of the Regulations of the School of Doctoral Studies of the UdG (Regulation eBOU-156 of the BOUdG 3/2011). Doctoral students endorse these functions, rights and obligations when they sign the Doctoral Thesis Agreement.</p>
<p>6. Accountability</p> <p><i>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</i></p>	+/-	<p>During the HRS₄R benchmarking process, it was evidenced that data handling/record keeping policies should be established as part of a broader policy to promote sound research data management in full compliance with the Horizon 2020 programme guidelines and other public funding calls.</p> <p>However, the Implementation and Monitoring Committee noted during the HRS₄R gap analysis process that researchers might not appreciate the importance of documentation protocols at first. Hence, emphasising the importance of proper documentation procedures to justify the use of research funds</p>	<p>As a public university, the institution is subject to government-specified checks and controls and public administration regulations. To guarantee the effective use of the funds, the Universitat de Girona is governed by the institutional regulations of the budget execution bases (BEPs) approved for each annuity by the Governing Council together with its budget.</p> <p>At the start of each research project, a Project Management Guide (see principle 5) is created to summarise the rules to be kept and the auditing requirements of the specific call. The Project Management Guide is distributed among researchers and administrative support staff. The control of project expenses is managed through ALIGA, an in-house developed enterprise resource planning (ERP) software platform.</p>

<p><i>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.</i></p>		<p>and resources and in response to research integrity, stewardship and IPR questions is of paramount importance. Communication strategies will have to be designed and training events on data management will be offered.</p>	<p>With respect to data collection procedures, when required by the project or installation, the Research Ethics and Biosafety Committee guarantees that proper data handling protocols are followed in accordance with existing legislation.</p> <p>In addition, some research groups have clearly defined lab notebook/record keeping policies. Most of these groups work under a quality management system that meets TECNIO Network requirements. This network is promoted by the <i>Agència per la Competitivitat de l'Empresa</i> of the <i>Generalitat de Catalunya</i> (the Catalan government) and it recognizes research groups with the ability to provide businesses with technological innovation services.</p>
<p>7. Good practice in research</p> <p><i>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.</i></p>	+/-	<p>In line with the revised edition of the ALLEA-European Code of Conduct for Research Integrity released in 2017, the EDUdG Code of Good Practices needs to be updated, as explained in the analysis of the principles on ethical and professional aspects. The revised code should be adopted at the highest levels to ensure the involvement of all researchers at the institution.</p> <p>The User Services Centre's resources are widely used by administrative staff and are scarcely known/used by researchers.</p> <p>Researchers rely primarily on the available resources shared between each department, institute and/or research group with its own IT system and security measures. Responsibility on data preservation, linked to the gaps identified in the analysis of principles 3 and 6 on the adoption of a sound data ownership and management policy, must be clearly defined.</p>	<p>In accordance with the EDUdG Code of Good Practices, the University expects its researchers to lead efforts to increase security and protection, including the adoption of the necessary health and safety precautions and the recovery of e-data due to accidental information loss.</p> <p>Established in 1996, the Health and Safety Committee is the joint body whose aim is regular and periodic consultation of the University's actions in matters of occupational risk and risk prevention policy. It also addresses environmental issues directly related to people's health and safety and proposes initiatives in this regard. The Occupational Health and Safety Office is a service for all Universitat de Girona employees. Its goal is to carry out necessary preventive activities to ensure adequate protection of workers' health and safety by advising and assisting the University management, workers, their representatives and specialised agencies.</p> <p>The User Services Centre (CSU) consists of the various units providing UdG users with IT attention and support and offers personalized data storage, data recovery and back-up options in the event of IT mishaps.</p> <p>Given the requirements of funding bodies, UdG Library staff fully supports researchers to draw up a data management plan (on-line tool) and openly publish research data (recommendations for selecting a research data repository).</p>
<p>8. Dissemination, exploitation of results</p> <p><i>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</i></p>	+/-	<p>The shortcomings of the current institutional policy on open access had already been identified by the time this analysis was written and a new draft is being prepared. This new policy should respond to the barriers that researchers in certain areas of knowledge face due to the high costs associated with publishing articles in open access journals.</p> <p>Low levels of awareness of the University repository remain an issue and need to be addressed by further investigating the effectiveness of different communication channels for promotion and training.</p> <p>During HRS₄R gap analysis process, concerns were raised about open access archiving and issues related to copyright, plagiarism,</p>	<p>According to data from the IUNE Observatory, the Universitat de Girona is among the top 10 Spanish universities in terms of scientific production per professor (1.3 articles) and percentage of publications in Q1 journals (54.5%).</p> <p>An open access institutional policy (22 December 2011) recommends the use of the DUGI institutional repository for all scientific output. Free access to the full texts of final published versions, post prints, preliminary editions or final versions with embargo is permitted under the conditions set by the publisher.</p> <p>Upon approval of a doctoral thesis, the University shall ensure that it is archived in an open institutional repository in accordance with Royal Decree 99/2011 regulating official doctoral studies. The University participates in TDX (Theses and Dissertations Online), a digital repository managed by the CSUC-(Consortium of University Services of Catalonia), and in TESEO, a Spanish digital repository. PhD theses are deposited in both repositories, except for PhD theses that contain confidential data and are subject to a confidentiality agreement.</p>

		<p>and prior publication of findings. Apprehension about repository deposits seems to focus on three main concerns:</p> <ol style="list-style-type: none"> 1. Authors' concerns over the ability to publish in peer-reviewed high impact journals if a pre-print of an article (or a thesis) is already available in an institutional repository 2. The perception that their publication opportunities/ the freedom to submit articles to preferred journals is restricted. 3. Researchers do not see the benefit of open access reflected in the tenure process, so they fail to deposit items into the repository. <p>For e-theses, the need for guidance on how to handle editorial policies on self-plagiarism, prior publication or copyright for published/unpublished e-thesis content was highlighted as:</p> <ol style="list-style-type: none"> 1. Publishing articles before incorporating these works into theses has become common among graduate students and some issues have arisen regarding copyright ownership of the prior work and the need to obtain permission. 2. For content not published at the time of the PhD dissertation defence, questions have been raised as to how editorial policies on prior publication or self-plagiarism can be compatible with the authors' requirements to deposit their e-theses in repositories. <p>Compared to the current legislation, the UdG's patent regulation is outdated. Communication between researchers and the OITT is not fluid when it comes to inventions, which sometimes means the invention is disseminated before it is protected. There is room for improvement in the commercialisation of patents and inventions.</p>	<p>The UdG attaches considerable importance to knowledge valorisation and sees this as its third core task after the provision of scientific research and education. In that sense, the Sectoral Campuses (see Principle 4) and the Science and Technology Park are strategic instruments. The OITT, with the functions of OTRI (Office of Transfer of Results of Investigation) is responsible for implementing the IP policy with respect to inventions, software and other materials that result from UdG research activities. The regulation of patents (approved by the Board of Governors on 17 July 1997) establishes the procedure to recognise inventions resulting from the research work of the academic staff and to manage the patents and licenses derived therefrom.</p> <p>R2-R4 researchers may sign contracts with public and private entities or individuals for scientific, technical, or artistic work, and for the development of specialisation courses or specialised training activities regardless of the contractual situation. Rights arising from a particular collaboration are determined by the contractual arrangements between the parties (Article 83 of the Organic Law of Universities 6/2001 of 21 December) and are managed through the OITT.</p> <p>With the support and advice of the OITT Valorisation Unit, the business initiatives undertaken by members of the Universitat de Girona can take advantage of the procedure included in the regulation on the establishment of companies in the UdG environment (approved by the Governing Council at the meeting No. 7/2015 of 3 December 2015).</p>
9. Public engagement <p><i>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.</i></p>	+/-	<p>The Universitat de Girona believes that a commitment to society is one of the fundamental axes that must guide all of its actions. The UdG ensures that its action improves the well-being of all citizens, as it is a public institution. A comprehensive list of initiatives has therefore already been compiled (please find a summary in the right column).</p> <p>Besides the actions already in place, during the HRS4R gap analysis process, participants showed interest in:</p>	<p>The following list offers a look at some of the University's outreach initiatives and activities undertaken to foster public engagement:</p> <ul style="list-style-type: none"> -The Communication and Institutional Relations Area (ACRI) is responsible for coordinating the university's institutional projection. It is also open to the university community to advise, guide and plan strategies for communication, outreach and public relations. Targeting PhD students, the ACRI develops specific research communication training activities through the EDUdG. -The University chairs play a key role in the transfer of knowledge to society. The 35 University chairs, created in alliance with different agents, promote numerous activities throughout the territory and encourage a dynamic approach to culture and science in different areas of

		<ul style="list-style-type: none"> increasing the impact of research projects through a well-defined communication and dissemination plan with different target audiences, and in having a common agenda and database for outreach activities. 	<p>knowledge. The Chair of Scientific Culture and Digital Communication organises annually the European Researchers' Night.</p> <p>-The Experts Guide seeks to promote the communication of the knowledge acquired at the UdG to the general public through media professionals. This guide brings together teachers and researchers with details of the main research lines and key areas of expertise, grouped by knowledge area.</p> <p>-The EDUdG takes part in the annual Thesis in 4 Minutes contest organised by the Catalan Foundation for Research and Innovation. The competition challenges doctoral students to explain their research in four minutes to a non-specialist audience. A specific page on the website of the UdG publishes summaries of the PhD theses with texts and photographs intended for media professionals.</p> <p>-The PreBAT Campus, the Young Research Campus, or the CRACS Research Congress are among the initiatives aimed at strengthening the relationship between the UdG and non-university education to capture and retain pre-university talent and enable young students to learn about university research through consolidated researchers and doctoral students.</p> <p>-The Social Council of the UdG opens an internally competitive annual call for proposals to disseminate work accessible through organisational structures (e.g., departments) and open to researchers directly.</p> <p>-A remarkable number of university structures (faculties, departments, central services and research groups) disseminate their activities through social networks.</p>
10. Non discrimination <i>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.</i>	++		<p>The Universitat de Girona is inspired by the basic principles of freedom, justice, solidarity and a culture of peace. It is committed to an education that promotes values, equal opportunities and the fight against discrimination for reasons of gender, class, ethnicity, religion or any other distinctive character of people, assuming the Universal Declaration of Human Rights of the United Nations as its own (article 3 of the Statutes of the Universitat de Girona).</p> <p>The Disability Equality Plan reflects the will of the UdG to continue implementing one of the basic principles of its statutes: equal opportunities, specifically in relation to the need to promote equal opportunities for people with disabilities. A plan has been established to guarantee compliance with the regulations regarding the hiring of persons with disabilities at the UdG, according to the commitment adopted by all universities in the Spanish university system.</p> <p>The EDUdG regulates specific conditions for persons with disabilities to complete doctoral theses (see principle 24). Format 1 of the Programme of Grants for Researchers in Training of the UdG (IFUdG 2019-2021) awards grants to individuals with a level of disability of 33% or higher (based on section 2 of article 4 of the General Law on the Rights of people with disabilities and their social inclusion, approved by Royal Decree 1/2013, of 29 November).</p> <p>For gender equality initiatives already undertaken, see Principle 27.</p>

<p>11. Evaluation/appraisal systems</p> <p><i>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. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression</i></p>	<p>+/-</p>	<p>The UdG recognises and encourages excellent performance in the development of the various dimensions, missions and tasks of the University. Inputs received from the UdG research community indicated a need to revise the criteria used for the evaluation of researchers at the individual level (IA). Although top quality research is the foundation for high quality teaching, the UdG believes that knowledge valorisation and other services to society need to be taken into account.</p>	<p>Researchers are constantly subject to assessment: ex ante evaluation focusing mainly on potential (e.g., applications for competitive research funds, applications for research positions or the submission of new academic work to peer-reviewed articles) and ex post evaluation focusing on past performance.</p> <p>Law 1/2003 of 19 February on Universities in Catalonia (Catalan Universities Act) and Order 405/2006 of 24 October regulate and establish merit-based salary increases for ex post evaluation on teaching, research and management of civil servant and non-civil servant academic and research staff at public universities in Catalonia.</p> <p>Every six years, the Catalan and Spanish quality assurance agencies (AQU and ANECA) evaluate the individual merits of the research activity of teaching and research staff (research sexennial) at Catalan public universities (R3-R4 both tenure track and hired positions). Researchers must provide bibliographic data, summaries and quality indications of five publications corresponding to the six-year period for which the recognition of the sexennial is requested. In addition to professional promotion in the form of productivity supplements, the number of research sexennials (up to a maximum of six) is a measure of academic prestige. Having an active research sexennial is required to supervise doctoral theses.</p> <p>Despite sufficient research activity, obtaining external recognition through research sexennials or research accreditations can be difficult in some areas. For example, the efforts of researchers whose research activity is highly oriented towards knowledge transfer or innovation, even if these activities are complementary to those of basic research, often go unrecognised. For these cases, in 2009 the Governing Council of the UdG approved the creation and regulation of the figure of active researcher (IA) and introduced a series of alternative criteria to those of the research sexennial, which, when appropriate, will also allow the teaching and research staff (PDI; R1-R4) to be considered as IA. Being an IA does not grant the right to supervise PhD theses, but IAs can be co-supervisors (article 6.3 of the Academic Regulations for Doctoral Studies of the UdG).</p> <p>It should be mentioned that an experimental call for Transfer Sexennials was launched in 2018, envisaging various forms of transfer with activities in the social sciences, legal studies, the humanities, the arts and sciences, health and technology, although its focus, criteria and continuity are still not defined.</p> <p>For predoctoral researchers (R1), the UdG has implemented evaluation procedures set by national laws and the University's School of Doctoral Studies (see principle 40).</p>
Recruitment and Selection			
<p>12. Recruitment</p> <p><i>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</i></p>	<p>+/-</p>	<p>While the university has well established recruitment procedures (selection, contract and incorporation), it does not have a written procedure to ensure open, transparent and merit-based recruitment considering the whole set of terms described in the Code.</p>	<p>The Universitat de Girona acts as a host institution for early stage researchers funded through external competitive calls such as the FPU of the Spanish government or the FI of the Catalan Research System for R1 or Juan de la Cierva, Ramón y Cajal, Marie Skłodowska-Curie and Beatriu de Pinós actions for R2. The recruitment processes involve external committees and are subjected to the specific rules of each public call.</p>

<p><i>disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.</i></p> <p><i>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.</i></p>			<p>Format 1 of the Programme of Grants for Researchers in Training of the UdG (IFuDG 2019-2021) awards grants to individuals with a level of disability of 33% or higher (based on section 2 of article 4 of the General Law on the Rights of people with disabilities and their social inclusion, approved by Royal Decree 1/2013, of 29 November).</p> <p>In addition, the recruitment of R1 and R2 researchers through R&D projects and activities follows Spanish and Catalan regulations and internal committees assess the internal regulations and rules in force at the UdG.</p> <p>Regarding R3 and R4 researchers, teaching and research staff recruitment for permanent positions complies with national and regional regulations. The main path for accessing permanent positions at the UdG is the Serra Hunter Programme of the Catalan government, which promotes the applications of candidates from abroad, who are judged by international committees with open, transparent and merit-based recruitment procedures clearly established.</p> <p>R3-R4 (teaching and research staff) civil service recruitment is limited by Royal Decree 14/2012, restricting the call for new permanent university positions to replenish vacant posts.</p> <p>Out of 550 permanent lecturers on the UdG staff, 30 are not PhD holders. In these cases, if the lecturers have been admitted to a PhD programme and are working towards the completion of their doctoral thesis, their academic commitment is reduced by 15 percent (from 360 teaching hours per year to 320).</p>
<p>13. Recruitment (Code)</p> <p><i>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.</i></p>	<p>+/-</p>	<p>In the announcements for the recruitment of research staff funded through R+D projects or activities, most of the conditions described in the criteria are not explicitly stated, although these conditions could have been published elsewhere on the UdG website.</p> <p>At the international level, dissemination procedures for R1 and R2 recruitment through R&D projects and activities are not systematised.</p> <p>Not all open positions in research projects are published on EURAXESS.</p> <p>The UdG requires references/links to most of the contents foreseen in the OTM-R toolkit in its employment advertisements. However, not all the elements are always included, and changes should be made to track the suitable integration of all elements required by the toolkit.</p> <p>It is necessary to reduce the administrative burden to the minimum by using e-administrative tools to avoid any duplication of means (paper/e-tools).</p>	<p>All internal rules, guidelines and procedures with their respective provisions are available on the UdG website.</p> <p>https://www.udg.edu/ca/coneix/Treballa-a-la-UdG/Personal-Doctent-i-Investigador/Legislacio</p> <p>Recruitment and selection procedures are organised and systematised but need enhancement to attract international talent.</p> <p>All announcements of open positions are available on the 'portal electrònic' of the UdG and on the website 'treballa a la UdG'. The procedures for advertising positions are clearly established.</p> <p>The templates in the job advertisement include the recruitment unit, the job title, the specifications, the starting date, the selection criteria, professional experience (distinguishing between required and desirable), contract status, the duration and the application procedure.</p>

<p>14. Selection (Code)</p> <p><i>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</i></p>	<p>+/-</p>	<p>The UdG's open policy and procedures for selecting and employing research staff will be introduced in accordance with the OTM-R policy and these documents will be published and made easily accessible for all possible positions.</p> <p>Selection committee members (except selection committees associated with the Serra Hunter programme) do not receive specific training. The selection committee guides for the other positions will be upgraded and made easily accessible.</p>	<p>The internal terms and requirements of all the calls are in accordance with current national and regional legislation. The composition of the committees for the selection of permanent staff (civil servant status) (R3 and R4) is regulated at the national level. Recruitment for permanent positions (non-civil servant status) is regulated at the regional level by Law 1/2003 of 19 February on Universities in Catalonia (Catalan Universities Act) by which:</p> <ul style="list-style-type: none"> the involvement of selection committee members of other nationalities and/or disciplines is not compulsory, the gender balance of the committees is a recommendation but is not mandatory, and mechanisms are established to ensure that the members of the committees have no conflict of interest with the candidates. <p>The composition of the evaluation committees, proposed by the departments, is in accordance with internal regulations. Additionally, for R2-R4 positions of lecturers, associate professors and full professors, the selection committees are approved by the Governing Council of the University.</p> <p>Recruitment under the Serra Hunter Programme (R2-R4) follows specific rules. It is compulsory to have an international selection committee and a face-to-face phase in the selection process. In this set of circumstances, there are guides for the selection committee training.</p> <p>For the selection of R1 and R2 positions funded by R&D activities, departments or research institutes propose and approve the selection committee. The committee must comprise three members and include the principal researcher of the associated research project.</p> <p>The recruitment processes for early stage researchers funded through external competitive calls, such as the FPU of the Spanish government or the FI of the Catalan Research System for R1 or Juan de la Cierva, Ramón y Cajal, Marie Skłodowska-Curie and Beatriz de Pinós actions for R2, involve external committees or objective indicators and are subjected to the specific rules of each public call.</p>
<p>15. Transparency (Code)</p> <p><i>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</i></p>	<p>+/-</p>	<p>The conditions and terms of all calls need to be reviewed and enhanced to ensure that they are in line with the values of transparency that define the UdG's OTM-R code. There is no common internal regulation concerning the transparency of recruitment calls. In particular, the transparency in the selection of R1 and R2 positions funded by R&D activities must be improved.</p> <p>During the selection process, potential career development details are often not communicated.</p> <p>In certain calls for project staff, applicants are not given feedback after the evaluation process. Upon completion of the selection process, it is essential to guarantee that assessed candidates are</p>	<p>National regulations, regional regulations and internal codes (e.g., call conditions and terms) force transparency in recruitment selection procedures.</p> <p>Transparency in recruitment is governed by Law 19/2013 on transparency, access to public information and good governance. As a public university, the UdG is required to make their procedures public (active dissemination of information) and to ensure free access to the related information. This is intended to support the open recruitment of researchers in publicly funded organisations.</p> <p>Information about the number of available positions, the duration of the offered positions and the scale of merit for evaluation (selection criteria) are required aspects of all recruitment processes.</p>

		informed about the strengths and the weaknesses of their proposals.	
16. Judging merit (Code) <i>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</i>	+/-	<p>The conditions and terms of all recruitment calls require review and enhancement to ensure that they are in line with the values of judging merit that will define the UdG's OTM-R code.</p> <p>Recruitment and promotion processes must include a definition of curricular requirements that strikes an appropriate balance between scientific, teaching and management skills linked to the definition of the researcher development framework within the UdG (principle 38).</p>	<p>The UdG is a host institution for researchers selected and financed by different external calls. Therefore, these researchers must comply with the requirements established and judged by external committees.</p> <p>The procedures take place in accordance with regulations, including the judging of merits. A scheme has already been established for assessing merits and experience, including mobility and seniority.</p> <p>Currently, most of the recruitment merits used in assessment are academic and bibliometric, followed by teaching experience in the case of teaching and research positions (professors). Judgement of the ability to lead working groups is usually based on having been the principal investigator of a research project.</p> <p>In the calls for contracts associated with projects, the assessed merits do not have a standard scale.</p>
17. Variations in the chronological order of CVs (Code) <i>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</i>	+/-	<p>The UdG recruitment and selection policy and procedures will be reviewed and updated to include better suggestions to consider this aspect.</p>	<p>The UdG is a public university that acts as a host institution for researchers selected and funded by miscellaneous external calls, and thus evaluated by external committees. Therefore, our researchers should fit the criteria of every external call they participate in.</p> <p>For research contracts linked to R&D activities, it is not specifically indicated that candidates with unusual careers or those having experienced career interruptions not be judged unfairly. Therefore, no specific guidelines guarantee the application of this criterion in all cases.</p>
18. Recognition of mobility experience (Code)	+/-	<p>Review and enhance the conditions and terms of all procedures to ensure that the recognition of mobility experience is included.</p>	<p>The R1 calls of IF-UdG positions include mobility during bachelor's degree or master's degree studies as a preferential merit.</p>

<p><i>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.</i></p>			<p>Recruitment for R2 researchers funded through external competitive calls such as Juan de la Cierva, Ramón y Cajal, Beatriz Galindo, Marie Skłodowska-Curie and Beatriu de Pinós actions are focused on attracting talent from other institutions or from other countries. In all of these calls, mobility experience is a requirement.</p> <p>The R3 and R4 recruitment of teaching and research staff in public universities, such as the UdG, is regulated at the regional level by Law 1/2003, of 19 February, on Universities in Catalonia (Catalan Universities Act). The legislation ensures recognition of mobility as a preferential merit for non-permanent R3 recruitment, and as a requirement for permanent R3 and R4 recruitment. The UdG adopts and applies this legislation in its internal recruitment processes.</p>
<p>19. Recognition of qualifications (Code)</p> <p><i>Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal 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</i></p>	+/-	<p>The weaknesses are more associated with the criteria for defining positions and not with the evaluation of the recruitment process. Specifically, establishing certain guiding principles for the weighting and definition of curricular research criteria for positions requiring teaching abilities is crucial.</p> <p>Thus, as previously mentioned there is a need to define the curricular requirements in the framework of recruitment and promotion processes with appropriate balance between scientific, teaching and management skills, linked to the definition of the researcher development framework (principle 38).</p>	<p>The staff participating in the appointment process is aware of existing national laws, conventions and specific rules on the recognition of these qualifications through all available channels.</p> <p>There are clear criteria for when and how assessments should be carried out. Non-formal qualifications cannot replace formal qualifications, but they are perceived as positive in many research subjects.</p> <p>For all positions, the UdG requests the original qualifications of applicants when offering a post. While qualifications are required for all posts, equivalencies may be considered. Non-EU applicant qualifications are also assessed.</p> <p>The Catalan and Spanish quality assurance agencies (AQU and ANECA), through external committees of experts, pre-evaluate the candidates to lecturers' and to professors' positions (R2-R4) in public universities such as the UdG. The candidates must provide bibliographic data and a summary of research and teaching activities. After a curricular evaluation by the committee, the agency issues a certificate that allows candidates access to the recruitment processes.</p>
<p>20. Seniority (Code)</p> <p><i>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</i></p>	++	.	<p>It is recognised that the best qualified candidates are found through an overall assessment of all the candidates in relation to research, teaching and personal skills.</p> <p>As described in the above principles, all announcements of open positions contain a clear indication of the entry criteria and the qualifications sought. Such qualifications must always be described in accordance with the position provided, both in terms of official qualifications (such as the requirement that applicants hold a degree or a PhD) and/or informal qualifications (experience gained in a particular sector, mobility periods undertaken, etc.).</p>
<p>21. Postdoctoral appointments (Code)</p>	-/+	<p>The non-permanent postdoctoral positions associated with research projects are not systematically announced internationally.</p>	<p>At the Universitat de Girona, there are two main ways to appoint postdoctoral researchers (R2):</p> <p>1) Postdoctoral positions funded by programmes promoted by regional, national or international programmes (e.g., Juan de la Cierva, Ramón y Cajal, Marie Skłodowska-Curie, Beatriu de Pinós,</p>

<p><i>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.</i></p>		<p>The constraints on financial resources restrict the career development of R2 positions within the UdG.</p> <p>It is unusual to provide information about future academic career prospects in the recruitment processes of non-permanent positions of R1 and R2 researchers.</p>	<p>etc.). Postdoctoral researchers are appointed according to the guidelines set out in funding calls. Therefore, the selection processes involve external committees and are subjected to the specific rules of each public call.</p> <p>2) Postdoctoral positions funded by research projects are decided by internal committees that follow internal UdG rules in compliance with national regulations.</p> <p>R2 recruitment associated with teaching necessities are assimilated to R3 recruitment processes and have teaching assignments.</p> <p>The UdG has had no in-house R2 calls, so related regulations have not been formulated.</p>
Working Conditions and Social Security			
<p>22. Recognition of the profession</p> <p><i>All researchers engaged in a research career should be recognised 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).</i></p>	++		<p>The recognition of the profession is in effect and follows the guiding principles of Law 14/2011 on Science, Technology and Innovation and the new statute of research personnel in training approved on 15 March 2019 (Spanish Royal Decree 103/2019). This statute represented a significant improvement in the working conditions of R1 research staff who begin their professional careers as researchers in training.</p> <p>At the UdG, all research staff are recognised as professionals and are treated accordingly at all levels of their careers. Therefore, each member of the university is expected to recognise all colleagues at whatever career level as professionals and to treat them accordingly.</p> <p>As part of their professional development, research staff (particularly at the post-doctoral stage) are encouraged and supported in applying for research funding in their own name and can avail of an equivalent level of proposal preparation support as is available to academic members of staff.</p>
<p>23. Research environment</p> <p><i>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</i></p>	+/-	<p>In general terms, the research facilities are deemed adequate (71% of the responses gave a rating equal to or above 6 out of 10, 40% gave a rating of 8 or higher), although some participants noted during the HRS₄R gap analysis process that the inventory of equipment currently in use is not user friendly. The inventory does not include information about scientific and technical capabilities, maintenance routines or periodic revisions beyond the general description, trademark and model.</p> <p>In addition, the dissemination of assets within the research community must be improved, particularly for newcomers.</p>	<p>The UdG's ability to continue fulfilling its social mission depends on timely modernisation of existing infrastructure and timely investment in new infrastructure. This may involve new buildings, new equipment or a combination thereof. This process is receiving ongoing attention.</p> <p>The UdG allocates its own funds to support research activities, either directly with specific funds provided to different programmes or indirectly by investing in shared scientific infrastructures and services with highly skilled technicians supporting research activities. There is an inventory (Gestactive) of available research equipment for accountability and, annually, the UdG earmarks funding to support the proper maintenance of research infrastructure (MIR programme).</p> <p>At the UdG, libraries are key structures that support research activity. They provide personalised data search and management services and introduce new techniques to enhance user research. One distinctive feature of an institution is the research collections of the library, and particularly its special collections. One of the UdG Library's strategic plans is to unveil special funds and to</p>

			<p>search for new, private associated libraries to help generate new knowledge and preserve heritage. Thanks to digital libraries, open repositories with parchments including geolocation information are now available to researchers worldwide.</p> <p>The User Services Centre (CSU) is a point of contact for researchers on all issues related to IT assistance and services and software licenses</p> <p>The Occupational Health Office (OSL) provides information, training and a regulatory framework on how to maintain a safe and healthy working environment.</p> <p>UdG Salut (Healthy University) is a programme coordinated between the Sports Service and OSL that offers open resources to promote a healthy lifestyle and wellbeing.</p>
<p>24. Working conditions</p> <p><i>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 9. 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.</i></p>	+/-	<p>The Second Gender Equality Plan is expected to be approved for the next academic year 2019-2020. The work-life balance will be the focus of several priority actions of this framework planning instrument.</p>	<p>Working conditions are regulated by different, strict labour laws and collective labour agreements applied to all employees regardless of their nationality. Unions play an active role in following up these issues. The balance between personal, family and work life of UdG employees, including researchers, is protected by the current legal framework of application and, in particular, by the provisions of the regulations set out on the UdG website.</p> <p>Scientific work is output-driven in a context of flexible working hours, allowing both female and male researchers to combine a scientific career and (family) life. IT support for telework (VPN) is already in place.</p> <p>The psychosocial work environment and job satisfaction of academic and research staff of the UdG are assessed periodically. In 2016, the UdG designed a questionnaire (29% response rate, N=440) based on the Copenhagen Psychosocial Questionnaire (COPSOQ-II). It included specific items about work and private life balance. The results were analysed in a working group that included researchers and developed a plan with 28 actions. The follow-up and the actions are supervised by the Health and Safety Committee. The next implementation (CSSL03/19) has already been approved and is planned for October 2020.</p> <p>According to the academic regulations for the doctoral studies of the Universitat de Girona, full-time doctoral studies last a maximum of three years, from the time of enrolment until submission of the doctoral thesis. The academic committee of the doctoral programme may authorise that doctoral studies be undertaken on a part-time basis. In this case, the studies will last five years. For the purposes of calculating the above periods, absence owing to illness or pregnancy is not considered. Furthermore, the doctoral students may apply for temporary leave from the programme for a maximum period of one year, which may be extended for an additional year. Doctoral students enrolled on a full-time basis, and who have special educational needs due to a minimum level of disability of 33%, will have the same time allowance to complete the thesis as part-time doctoral students.</p> <p>The UdG's current Equal Opportunities Plan for Women and Men sets out, among its provisions, the objective of facilitating the reconciliation of work with personal responsibilities. For an extension, see Objective 8 of the document.</p>

			<p>In accordance with UdG regulations on leave, academic staff leaves must be approved by the department. For periods longer than seven days, approvals must be validated by the vice-rector in charge of academic staff.</p> <p>The regulation on teaching exemptions to intensify research after maternity leave is currently under consideration at the UdG. This regulation was designed with the aim of becoming an efficient tool to solve the obstacles that maternity can represent for the full development, under conditions of equal opportunities, of the full-time academic and research staff.</p>
25. Stability and permanence of employment <p><i>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.</i></p>	++		<p>A rigid legal framework is in place. Working conditions are governed by different laws and collective bargaining agreements, applicable to all staff regardless of their nationality.</p> <p>The UdG is subject to public sector legislation with significant rigid procurement strategies. The hiring of continuous employees (permanent contractual status or civil servant status) is restricted at the UdG owing to the implementation of the decree of 14/2012 and the financial position of the UdG.</p> <p>The only non-permanent positions are R1 and R2.</p> <p>The UdG offers a stabilisation scenario for researchers hired under programmes such as Ramón y Cajal, Beatriz de Galindo, etc. to keep its talent recruitment and retention policy active. This option is aligned with the programme to promote talent and employability deployed at the state level, and which is reflected in the legal norm that requires the University to allocate at least 15% of the permanent positions of its public offer.</p> <p>In addition, there is a policy for stabilising tenure-eligible lecturer positions funded by the Serra Hunter Programme (Government Agreement of the <i>Generalitat de Catalunya</i>, 16/5/2017). This is the introductory category to a teaching career for a period not exceeding five years. At the end of the contract, the University holds a competition for a permanent associate professor contract if the professor has passed an assessment of his/her work that takes place in the last year of the fixed-term contract.</p> <p>Within the Stabilisation of Interim Assistant Professors Regulation, the UdG has introduced a multiannual scheme to stabilise these positions despite the constraints of the Spanish legislative system on new tenure track positions.</p>
26. Funding and salaries <p><i>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</i></p>	++		<p>As stated in the earlier principle, a strict legal structure is in place and the UdG implements national legislation to guarantee wages and salaries for all its researchers in compliance with existing regulations and collective bargaining agreements.</p> <p>Employment contracts issued to research staff include clauses on employee entitlements such as annual leave, sick leave, etc. Regarding social security, employees enjoy complete coverage, including illness, unemployment, maternity leave, parental leave, pension, and so on, according to national legislation.</p>

at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.			
27. Gender balance <i>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</i>	+/-	<p>At present, the design of the Second Gender Equality Plan is under consideration. Approval is expected for the next academic year 2019-2020 and it will further prioritise the equitable presence of women in all areas of the community.</p>	<p>The regulatory framework in force in Catalonia promotes the legal obligation of universities to ensure a balanced representation of women at all levels of decision-making.</p> <p>The Equal Opportunities Plan for Women and Men of the UdG defines the strategic objectives and actions to promote the equal presence of men and women in decision-making spaces. In particular, see objective 5 of the Plan: "Promote equal opportunities and equitable participation of men and women in all the collectives of the university community".</p> <p>Since 2006, the UdG Gender Equality Unit has responded to the University's commitment to introduce equal opportunities and gender perspective in all areas of university work, study, teaching and research in a transversal manner. With the aim of moving towards the equal presence of men and women in the various areas of the UdG, the Gender Equality Unit publishes an annual diagnosis that guides the design of gender equality policies that correct the detected biases.</p> <p>At the UdG, AQU General Framework measures are being implemented to incorporate the gender perspective in university teaching. This general framework forces universities to ensure a balanced presence of men and women in different university areas. See the catalogue of evaluation indicators related to gender imbalances on page 22.</p> <p>The UdG promotes various initiatives to combat horizontal segregation and foster the female vocation to STEM careers where women are a minority. These initiatives are organised around the Gender Equality Unit and other proactive groups such as the FEMenGIN group or the FemStem programme.</p>
28. Career development <i>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</i>	-/+	<p>The research career path, competences and skills for researchers at all levels need to be (re)defined as an integral part of adopting the EU Charter and Code for researchers.</p>	<p>This line is well developed for PhD researchers (R1), for whom the required capacities and skills are established by the 5th article of Royal Decree (RD) 99/2011, of 28 January 2011, governing official doctoral studies in Spain.</p> <p>All PhD programmes within the EDUdG offer research training that is both transferrable/cross-disciplinary and specific to the area of each programme. Students, on the recommendation of thesis supervisors, choose both obligatory and transversal activities. For additional information regarding training, see principle 39.</p>

29. Value of mobility <i>Employers and/or funders must recognise the value of geographical, intersectoral, interand trans-disciplinary and virtual 12 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.</i> <i>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</i>	++		<p>The UdG encourages its researchers to participate in mobility programmes, facilitating all academic (teaching obligations) and administrative procedures. In addition, the UdG supports mobility in the following ways:</p> <ul style="list-style-type: none"> -The on-going establishment of funds (mobility grants for R1 and R2 MOB) and support for applicants applying for international stays abroad. -Predoctoral IFUdG contracts are linked to a mobility grant provided that the student is committed to participating in teaching. -Sabbaticals abroad for academic staff are facilitated by good leave options and flexible organisation of duties, which allow staff to spend longer periods at other institutions home and abroad. -Sabbatical semesters earned as a result of supervising a certain number of PhD theses allow mobility. These sabbatical semesters are regulated by the criteria established by the Governing Council at session 2/13 of 25 April 2013, for the recognition of supervision and tutoring of doctoral theses. Basically, the supervision of three PhD theses with international mention or four without an international mention gives the right to take leave for a sabbatical semester. -Providing academic and professional foreign language training. -The UdG supports the recruitment of guest academic staff, which in many instances opens the door to international collaboration and further mobility. -Regional and national industrial PhD programmes encourage mobility between the private sector and the UdG. <p>In addition, when foreseen in the corresponding call, grant portability is ensured.</p>
30. Access to career advice <i>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</i>	-/+	<p>The UdG can support talent by providing tools and counselling to researchers seeking opportunities. The UdG is aware of the importance of this issue, and special attention will be given in two main areas: a) a revision of the researcher's career path competencies and skills and b) the provision of tools to increase employability and entrepreneurship</p>	<p>The Human Resources Service at the Universitat de Girona is responsible for handling all processes related to individuals performing their professional activities at the University, either in academics/research or in administration and services. Correct selection and access procedures, contractual linking and management of staff's working life, as well as remuneration issues and other related topics are at the core of managing the Human Resources Service. Other issues related to development and organisation (training, skills development and appraisals), working relationships, and care and advice to all employees are also essential.</p> <p>As permanent positions in the academic community of the UdG are very limited, it is recognised that such positions will not be obtained by all researchers. In this context, the UdG should be supportive and assist those researchers, by running a programme to analyse their career progression and development and to facilitate career advice.</p>

<p>31. Intellectual Property Rights (IPR)</p> <p><i>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.</i></p> <p><i>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.</i></p>	+/-	<p>During the HRS4R benchmark assessment, the lack of an institutional intellectual property rights policy identified a gap.</p> <p>As previously mentioned, in comparison with the present legislation, the UdG's patent regulation is outdated. Communication between researchers and the OITT is not fluid when discussing inventions and, sometimes, this leads to dissemination of the invention before it is protected.</p>	<p>The OITT, with the functions of OTRI (Office for the Transfer of Research Results), is responsible for protecting inventions, software and other materials resulting from UdG research activities. The regulation of patents (approved by the Board of Governors on 17 July 1997) establishes the procedure for the recognition of inventions resulting from the research work of the academic staff, as well as the management of the patents and licenses derived therefrom.</p> <p>R2-R4 researchers may sign contracts with public and private entities or individuals for scientific, technical, artistic work, and for the development of specialisation courses or training activities regardless of the contractual situation. Rights arising out of a particular collaboration are determined by the contractual arrangements between the parties (Article 83 of the Organic Law of Universities 6/2001 of 21 December) that are managed through the OITT.</p> <p>With the support and advice of the OITT Valorisation Unit, the business initiatives arising from members of the Universitat de Girona can take advantage of the procedure included in the regulation on the establishment of companies in the UdG environment (approved by the Governing Council at the meeting No. 7/2015 of 3 December 2015).</p>
<p>32. Co-authorship</p> <p><i>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)</i></p>	+/-	<p>The EDUdG Code of Good Practices can have a limited scope, as explained in more detail in the analysis of the previous principle and hereafter. The Code should be updated and formally adopted at the highest level to ensure the commitment of the entire community.</p>	<p>Co-authorship is regarded as a reliable proxy for evaluating collaborations in research. The Universitat de Girona ranks among the top ten Spanish universities (public and private) taking into account the percentage of research outputs conducted in collaboration with other national (35.3%) or international (43.7%) research institutions as published by the IUNE Observatory.</p> <p>Co-authorship brings numerous benefits to the participating authors, but it has also given rise to issues about publication integrity. In all aspects of our research, the UdG is committed to ensuring the highest standards of integrity. This commitment is reflected in the EDUdG Code of Good Practices section on Authorship and IPR, which sets clear criteria for avoiding ghost authorships and honorary authorships.</p>
<p>33. Teaching</p> <p><i>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</i></p>	++		<p>Teaching is an important component of professional development for researchers at the UdG. At each level, R1-R2 research staff recruited by competitive programmes or research projects are expected to undertake teaching activities that normally take up no more than 60 hours per year. The basis for this provision is that the researcher benefits from professional development opportunities within mainstream academia. All researchers taking up teaching responsibilities are formally recognised. This formal recognition of teaching is an important asset for further career development.</p> <p>For all research staff, both junior and senior, advanced in-house teacher training is offered by the Josep Pallach Institute of Education Sciences (ICE). The ICE aims to contribute to the lifelong learning of academic staff from all educational levels, technical advice in the field of the educational planning, and pedagogical and research innovation.</p>

<i>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</i>			<p>External assessment of research through research sexennials and internal evaluation in the form of active researcher status (please refer to principle 11) will determine the teaching assignment of UdG staff. The scheme contemplates a year of leeway for reincorporation into the research activity, which is extended to a total of two years after a maternity leave or a long-term illness.</p>
<p>34. Complains/ appeals</p> <p><i>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.</i></p>	++		<p>At the institutional level of the UdG, the Occupational Health and Safety Office, the Gender Equality Unit and the EDUdG assume competences in the resolution of conflicts between members of the University community related to the areas of their respective competences.</p> <p>In doctoral programmes at the UdG, the definition of a dispute resolution procedure is tasked to the Steering Committee of the School of Doctoral Studies in accordance with article 8.17 of the regulations of the School approved by Governing Council meeting 3/11 of 31 March 2011.</p> <p>The UdG Ombudsperson is responsible for receiving complaints and observations about the functioning of the University, ensuring compliance with all of the provisions of the UdG Statutes, and submitting non-binding proposals for resolution to the competent bodies on issues submitted by members of the University community. Personal data and any other information, whether spoken or written, received by the Ombuds Office from persons seeking assistance, as well as data and information obtained during the investigation process and, in general, all documents compiled in each case, are treated with strict confidentiality. The activity of the office is reported annually to the UdG community.</p> <p>The legal system protects all members of the university community in situations of violence or sexual harassment. The UdG has a Protocol to prevent and act against violence or harassment based on sex, gender or sexuality. The goals of this protocol are twofold. On the one hand, preventing violence and harassment among the members of the University community on the grounds of sex, gender and sexuality. On the other hand, establishing a procedure for action by detecting situations of violence and harassment, investigating them, proposing actions (both aimed at caring for the victims, presumably harassing people as well as the environment) and proposing the opening of disciplinary procedures where appropriate.</p> <p>Finally, against any resolution, an appeal may be lodged with the Rector, as provided for in articles 114 and 115 of law 30/1992, of 26 November, on the Legal Regime of Public Administrations and Common Administrative Procedure.</p>
<p>35. Participation in decision-making bodies</p> <p><i>Employers and/or funders of researchers should recognise 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</i></p>	++		<p>The Universitat de Girona's statutes define the structure, competency allocation, representativeness and stakeholder participation mechanisms within the decision-making bodies.</p> <p>The Universitat de Girona is pioneer among Spanish universities in fostering participation through the deployment of the participatory platform: SomUdG. The purpose of this platform is to provide a forum to encourage the participation of all the members of the University community in the decision-making and debate of the proposals made by the different governing bodies of the University, as well as to channel new proposals from the University community.</p>

<p><i>protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution</i></p>			<p>The whole UdG community is encouraged to participate in the development of the Strategic Plan, which is the road map that accompanies the University's strategy and helps prioritise decision-making.</p>
Training and Development			
<p>36. Relation with supervisors</p> <p><i>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.</i></p> <p><i>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.</i></p>	<p>+/-</p>	<p>During the HRS₄R benchmarking process, it was observed that data handling/record keeping policies should be established as part of a broader policy to promote sound research data management in full compliance with the Horizon 2020 programme guidelines and other public funding calls.</p> <p>However, at first, researchers may not appreciate the importance of documentation protocols. Emphasising the importance of proper documentation procedures to justify the use of research funds and resources as well as in response to integrity, stewardship and IPR questions is of paramount importance. Communication strategies will have to be designed and training events on data management offered.</p>	<p>The Universitat de Girona has established clear monitoring procedures for doctoral theses.</p> <p>Supervisors of early stage researchers have the obligation to plan regular meetings and advise the trainees on the research in general and the performance of their project in particular and facilitate participation in the specific and transferrable training activities.</p> <p>Research trainees submit a yearly report to the academic committee of the doctoral programme regarding the development of the thesis. It includes:</p> <ol style="list-style-type: none"> 1. a brief description of the activities carried out in accordance with the research plan and the identification of any significant shifts in the direction of the research and an estimation of the time needed to finish the doctoral thesis; 2. a description of the monitoring activities carried out by the thesis supervisor(s) such as periodic meetings or group seminars; and 3. additional comments regarding problems developing the project or personal problems with the supervisor(s) or the research group colleagues. <p>Thesis supervisors are required to write a confidential report, which must be approved by all co-supervisors and by the tutor, for each research trainee under their supervision. The report should contain an assessment of the extent to which the competences, capacities and skills established by the fifth article of Royal Decree (RD) 99/2011 of 28 January 2011 governing official doctoral studies in Spain have been achieved.</p> <p>The academic committee issues a final report (the Doctoral Student Assessment Report) to highlight the strengths and weaknesses of the development of the research trainee's thesis, suggest any possible actions on the part of the thesis supervisor(s) and tutor, and recommend the student's continuation or termination in the doctoral programme.</p> <p>The fashion in which the research data is stored and shared depends upon the research group (see principle 6).</p>
<p>37. Supervision and managerial duties</p> <p><i>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</i></p>	<p>+/-</p>	<p>Assuming the multifaceted role of senior researchers at the University, the UdG should implement a Researchers Development Program, mapping the knowledge, behaviour and attributes of successful researchers and providing a strong foundation to manage professional development.</p> <p>In defining this model of competences, the UdG seeks to identify and define the skills that all researchers need to develop through</p>	<p>One of the goals of the EDuG is to help young researchers improve their skills as supervisors of PhD theses and leaders of research groups. To this end, every year, young researchers can take a course titled "Leadership of research groups and supervision of doctoral theses" on leadership, tutoring, time management, public and private funding (technology transfer), research project management, publication and dissemination of research and its visibility, and administrative management of the doctorate at the UdG.</p>

<p><i>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.</i></p>		<p>every step of their research career in order to contribute to their professional and personal development.</p>	<p>The EDUdG is committed to the continued improvement of the quality of its doctoral degrees and the administrative procedures it carries out. It has implemented an internal quality management system (SGIQ) to improve the quality of the doctoral degrees. The Quality Commission of the EDUdG (CQED) is the main body responsible for the quality processes related to the official doctoral degrees taught at the School, setting out its organisation and functioning in accordance with Catalan university quality agency (AQU) guidelines. Among their responsibilities, the CQED designs, distributes, collects, and analyses annual surveys of second-year PhD students, recent doctors and supervisors. Results for PhD students and supervisors are published on the websites. According to the 2016-18 surveys, as to the quality of the supervision of PhD theses, 93% of PhD students consider that it is very good or good and 81% consider that the monitoring process of the academic committees is very good or good. In the 2018 survey of supervisors, the average mark given to the statement "The level of theses I am supervising is high" was 4.24 out of 5 and to the sentence "I have been able to do the supervision work without having serious conflicts with PhD students" was 4.6.</p>
<p>38. Continuing Professional Development</p> <p><i>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</i></p>	+/-	<p>The UdG's talent development must focus on raising researcher's awareness of sharing the responsibility for continuing professional development. This is crucial in the context of short-term funding and temporary contracts for young researchers, and within the expectation that most of them will continue their careers outside academia. Therefore, the UdG will invest in engaging with the research community and stimulate a solid foundation among its staff for a lifelong learning mindset.</p>	<p>In an increasingly diverse, mobile, global research environment, researchers need to be equipped and supported in order to be adaptable and flexible. Much of 'professional development' is usually associated to 'research activities' but it is essential to consider the multifaceted roll of University staff. The current academic performance evaluation system promotes continuous professional development and critical self-reflection, while the evaluation of research is mainly focused on outputs (see principle 11).</p> <p>All academic system researchers are under pressure to deliver research outputs in top publications while striking for research funding. Many researchers indicate that there is little time left for learning and training opportunities.</p>
<p>39. Access to research training and continuous development</p> <p><i>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</i></p>	+/-	<p>In the context of a review of research-career-path competences and skills, the research-training programme should be redefined considering the European research profile descriptors and the definition of the career path within the institution. Special attention will be given to developing competences and skills that increase their employability.</p> <p>At the UdG, there are a number of different places to look for opportunities for training. The UdG should intensify the coordination between internal units and support systems to identify and address research-training needs and skills development. This training portfolio should be a chance to share expertise and ought to be incorporated into a common agenda.</p>	<p>The Governing Council approved on 22 December 2016 the Framework Training Plan for Teaching and Research Staff for the period 2017-2021. The plan is a crucial tool for enhancing quality in multiple dimensions of University activity: teaching, research and knowledge-transfer, management, sustainability and social responsibility.</p> <p>The Teaching and Research Staff Training Committee oversees the collection of individual and collective training needs and coordinates the various stakeholders involved for the development of annual training plans.</p> <p>The University-Company Office is a UdG service designed to help with the employability of students and graduates from the University. It offers professional guidance and workshops to help people gain a foothold in the job market and entrepreneurial support. UdGOcupació consists of a job bank that lists job vacancies and puts companies in touch with students and graduates actively seeking work.</p> <p>As of the 2018-19 academic year, the service also runs a School of Competences open to the entire community. The University Business Office organises different training capsules to improve some of the most highly valued professional skills: communication, motivation, networking, negotiation, self-confidence and leadership.</p>

			<p>UdG PhD programmes also provide professional skills modules including specific courses on leadership and professional development, entrepreneurship, academic writing and presentations. PhD students of the EDUdG also participate annually in the Cross-border Doctorials, a series of events jointly promoted by universities and higher education institutions of the Pyrenees-Mediterranean Euroregion. The goal of the Cross-border Doctorials is to increase the employability of young PhD students in both the private and public sectors. Attendees improve professional and social skills and learn how to pursue their careers in companies, research centres or by setting up their own start-ups.</p>
<p>40. Supervision</p> <p><i>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.</i></p> <p><i>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.</i></p>	++		<p>The EDUdG ensures that R1 students are supervised according to the academic regulations for doctoral studies. Once the doctoral students have been enrolled on the programme, a doctoral student activity document (DAD) is prepared for each one of them. This is an updated record of all the training and research activities carried out within the framework of the doctoral programme. The supporting material for this document is the CV management application in force at the UdG. The doctoral students are required to keep their DADs updated. This document is regularly reviewed by the thesis tutor and supervisor and evaluated by the academic committee responsible for the doctoral programme.</p> <p>The thesis supervisor is ultimately responsible for the guidance of the doctoral student in the research activities leading to the completion of the doctoral thesis and monitors the activities by reviewing the DAD. These include the consistency and appropriateness of the training activities, the impact and innovative nature of the subject of the doctoral thesis in the field, and guidance in the planning and its adaptation, when appropriate, to other projects and activities to which the doctoral student is related.</p> <p>The criteria mandated by the Doctoral Committee to become a thesis supervisor is very stringent. The researchers of the Universitat de Girona will be deemed to have accredited research experience if they have an ongoing research sexennial (see principle 11) or can accredit equivalent merits.</p>