



# A HUMAN RESOURCES STRATEGY FOR IFAE RESEARCHERS

Submitted to the **HR Excellence in Research Award**



**Institut de Física  
d'Altes Energies**



**EXCELENCIA  
SEVERO  
OCHOA**



**BIST** Barcelona Institute of  
Science and Technology

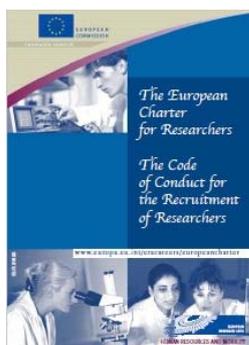
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## FOREWORD

This document describes the Human Resources (HR) Strategy for Researchers through which the Institut de Física d'Altes Energies<sup>1</sup> (IFAE) will help its researchers and IFAE itself to incorporate the 40 principles and requirements of the European Charter for Researchers and of the Code of Conduct for the Recruitment of Researchers (Charter and Code) in the centre's day-to-day activity. The document corresponds to the first step of the HR Strategy for Researchers of the centre, it is based on an internal analysis and it deploys an Action Plan with a set of scheduled actions inspired in the Charter and Code principles and endorsed by a set of internal rules and practices.

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



The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers are guidelines for best practices in research organisations and universities, both public and private, and individuals within the European Research Area (ERA). They are aimed at promoting equal rights and obligations for researchers throughout Europe, by specifying their roles, responsibilities and entitlements. They are also designed to state responsibilities of funders and/or employers of European researchers in order to guarantee attractive research careers and to improve their working conditions.

The roles, responsibilities and entitlements of researchers as well as those of their employers and/or funders are summarized in the general principles of the European Charter for Researchers. The aim of this Charter is to ensure that the relationship between researchers and employers or funders will lead to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. The Charter also recognises the value of mobility in the professional development of researchers.

The Code of Conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. These principles and requirements are complementary to those outlined in the European Charter for Researchers and are aimed at ensuring transparency in the recruitment process and equal treatment of all applicants. They also are designed to develop an attractive, open and sustainable European labour market for researchers. Institutions and employers adhering to the Code of Conduct will openly demonstrate their commitment to provide fair framework conditions to researchers, having a clear intention to contribute to the advancement of the European Research Area.

<sup>1</sup> <http://www.ifae.cat>

## IFAE and its researchers

The Institut de Física d'Altes Energies (IFAE) is a public consortium of Generalitat de Catalunya, the Autonomous Government of Catalonia, and Universitat Autònoma de Barcelona<sup>2</sup> (UAB, a public university). IFAE was formally created in 1991, by Decree number 159/1991.

The governing bodies of the Institute are the Governing Board (Consell de Govern) and the Director. The general lines of activity, the hiring of personnel, the annual budget and the creation and suppression of divisions within IFAE are among the responsibilities of the Governing Board, which also appoints the Director. The Director is responsible for the execution of the decisions of the Governing Board. Additional management personnel, such as the directors of its divisions, are nominated by the Director.

As stated in its By-laws, IFAE's main goal is to carry out research and to contribute to the development of high energy physics from a theoretical, experimental and technological point of view.

Though IFAE's running expenses are partly covered by basal funding from the Catalan Government, Generalitat, through a contract programme, its activities rely entirely on its success in attracting competitive funds from either services or research contracts with the private sector and, mainly, R&D public calls. Throughout the years, the ratio between competitive and non competitive funds is consistently about 3:1, a figure that shows IFAE's strength in competitive calls.

It is also worth mentioning that IFAE has the status of a "University Institute" attached to UAB. This formula allows the personnel of IFAE to participate in the educational programme of UAB, in particular by teaching in the Master degree in High-Energy Physics, Astrophysics and Cosmology. IFAE premises are within UAB's university campus (see figure below), about 25 km from Barcelona, which hosts an aggregate of 44 research institutes.



*IFAE premises are within UAB university campus. IFAE's main building is within the Faculty of Sciences and Biosciences.*

<sup>2</sup> <http://www.uab.cat>

IFAE is structured in three divisions (Theory, Experimental and Technical divisions) and the so-called Port d'Informació Científica.

- The Theory and the Experimental division faculty are mainly composed of IFAE personnel, but they also include UAB Professors and ICREA<sup>3</sup> (Institut Català de Recerca Avançada) Research Professors. Both divisions share physical and human resources (postdocs and students) with the personnel from UAB. The Technical division includes a variable number of engineers and technicians.
- The Port d'Informació Científica<sup>4</sup> (PIC) is a data centre for scientific-data processing supporting groups working in projects which require strong computing resources for the analysis of large data sets. It was founded in 2003 through a collaboration agreement between IFAE and the Centro de Investigaciones Energéticas, Medioambientales y Tecnológicas<sup>5</sup> (CIEMAT).

IFAE's current research lines are the following ones:

Theory Division	Experimental Division	PIC
Standard Model	Hadron Colliders	LHC (Large Hadron Collider) computing grid Tier-1 centre
Beyond Standard Model	Neutrinos	Tier-0 data centre for MAGIC <sup>6</sup>
Astroparticles and Cosmology	Gamma Ray Astrophysics	
	Observational Cosmology	
	Medical Physics	

IFAE is currently distinguished as a research centre of excellence both by the Catalan Government, through its CERCA label, and by the Spanish Government, through its Severo Ochoa call. In 2015, IFAE, along with five other Severo Ochoa centres, created the Barcelona Institute of Science and Technology (BIST) to foster interdisciplinary research and postgraduate studies. IFAE partners are centres from different scientific areas: Nanosciences and Nanotechnology (ICN2<sup>7</sup>, a centre also located within the UAB campus), Photonics (ICFO<sup>8</sup>), Chemistry (ICIQ<sup>9</sup>), Biomedicine (IRB<sup>10</sup>), and Genomics (CRG<sup>11</sup>).

<sup>3</sup> <http://www.icrea.cat>

<sup>4</sup> <http://www.pic.es>

<sup>5</sup> <http://www.ciemat.es>

<sup>6</sup> Major Atmospheric Gamma Imaging Cherenkov, a Gamma Ray Astrophysics project.

<sup>7</sup> <http://www.icn.cat>

<sup>8</sup> <https://www.icfo.es>

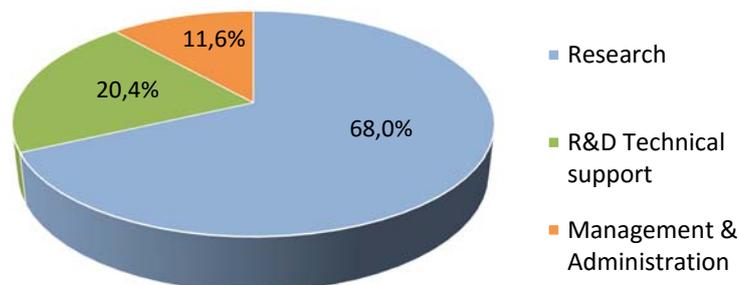
<sup>9</sup> <http://www.iciq.org>

<sup>10</sup> <http://www.irbbarcelona.org>

<sup>11</sup> <http://www.crg.eu>

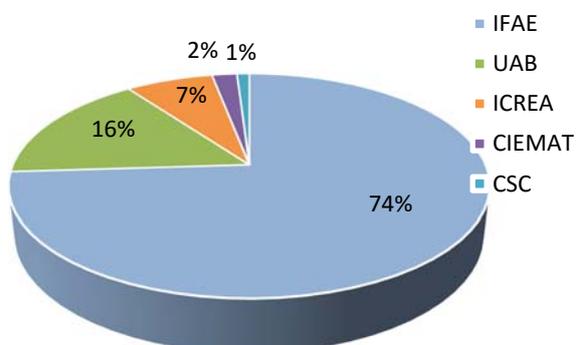
At the moment of submitting this document IFAE had an aggregate of 147 employees (Head Counts): 100 researchers, 30 people in the area of R&D technical support, and 17 in the management and administration area.

### Personnel distribution by area

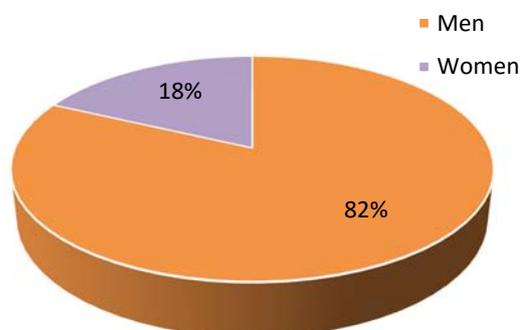


Seventy-four of its researchers are hired by IFAE and twenty-six by other research institutions: 16 by UAB, 7 by ICREA, 2 by CIEMAT and 1 by the China Scholarship Council<sup>12</sup> (CSC). Eighteen of these 100 researchers are women and eighty-two are men. Fifty-nine researchers are Spaniards and forty-one are foreigners, from nineteen different nationalities.

### Researchers by hiring institution



### Researchers by gender



Eighty-eight of these 100 researchers carry out their research mainly at the IFAE premises, ten of them mainly at CERN, and two of them at the astronomical observatory Roque de los Muchachos of the Instituto de Astrofísica de Canarias<sup>13</sup>, in the Canary Islands.

<sup>12</sup> <http://www.csc.edu.cn>

<sup>13</sup> <http://www.iac.es>

## INTERNAL ANALYSIS

### Description of the process

The Human Resources Strategy for Researchers (henceforth HRSR) includes five steps:

- 1) An internal analysis made by the institution according to the Charter & Code principles, including a survey.
- 2) On the basis of the internal analysis, development of a HR Action Plan and its publishing on the institution's website.
- 3) Acknowledgement by the European Commission that the institution has adopted a HRSR.
- 4) A self-assessment conducted by the institution every two years, within the framework of its existing internal quality assurance mechanisms.
- 5) An external evaluation, performed at least every 4 years, showing the progress made towards the objectives of the HRSR of the institution and its compliance with the principles of the Charter & Code.

### HRSR Working Group

Following the general guidelines of CERCA (the Agency for Research Centres of Catalonia), the internal analysis was led by the Management Team, which appointed a HRSR Working Group. The HRSR Working Group was made up by IFAE's Administration Manager, with the support of a technician from the HR Area, and five researchers. The five researchers were appointed taking into consideration the following criteria:

- Representation of all stages of the researchers' career (a PhD student, a postdoc, three staff members).
- Inclusion of researchers from both research Divisions (four from the Experimental Division, one from the Theory Division).
- Inclusion of researchers hired by IFAE (three) and UAB (two).
- A representative share of researchers by nationality (three Spaniards, two non Spaniards).
- A fair gender balance (three women, two men).

The members of the HRSR Working Group were Jelena Aleksić (Postdoc), Joaquim Bosch (Administration Manager), Martine Bosman (IFAE Staff), Rafel Escribano (UAB Staff), Joaquim Palacio (PhD Student), Imma Riu (IFAE Staff), and Sara Strauch (HR Area).

This HRSR Working Group carried out the internal analysis, consisting of:

- Use of Euraxess' standard template (Annex 1) to reach preliminary conclusions and to suggest a set of actions to be implemented at IFAE.
- Drawing of a questionnaire, based upon the preliminary conclusions and suggested actions, to be submitted to IFAE researchers.
- Public survey.
- Analysis of the answers to the public survey, leading to IFAE's HRSR.

Once the HRSR Working Group delivered a HRSR proposal, it is was published on the IFAE website and submitted to Euraxess to be awarded the HR Excellence in Research logo.

The whole process of internal analysis spanned from October 2015 to February 2016.

## Preliminary results and suggested actions

The HRSR Working Group debated the 40 issues raised in Euraxess' standard template form. The debate was carried out both through the meetings held on a regular basis and by e-mail communications.

The HRSR Working Group identified gaps in the existing institutional rules and/or practices. This led to a proposal of actions required. Though at this stage the "Who/When" was already debated, it was merely considered a preliminary proposal that should wait for the outcome of the public survey before further consideration.

## Survey

Following these preliminary results, the HRSR Working Group drew the questionnaire to be submitted to the researchers. The questionnaire included 28 statements and 8 suggested actions (Annex 2) targeting what were considered the main issues, either because of their relevance (basic principles such as freedom of expression and research, or the principle of non-discrimination on any grounds) or because they were spotted as potential gaps (such as being familiar with national, sectorial and institutional regulations governing training and working conditions).

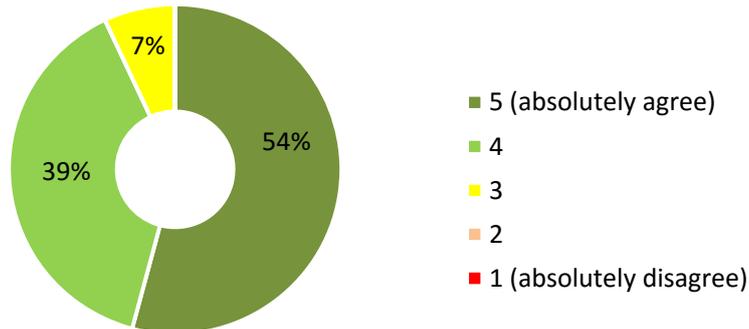
In order to ensure anonymity, the survey was performed online using the Google Forms platform. The survey targeted all the IFAE's 100 researchers, regardless of their hiring institution. Researchers were asked to express their degree of agreement, ranging from 1 (absolutely disagree) to 5 (absolutely agree), with each of the 28 statements and 8 suggested actions.

The survey was open for four weeks. Seventy-two of the 100 researchers answered the questionnaire. The results of the survey are shown below, displaying the number and distribution of the answers.

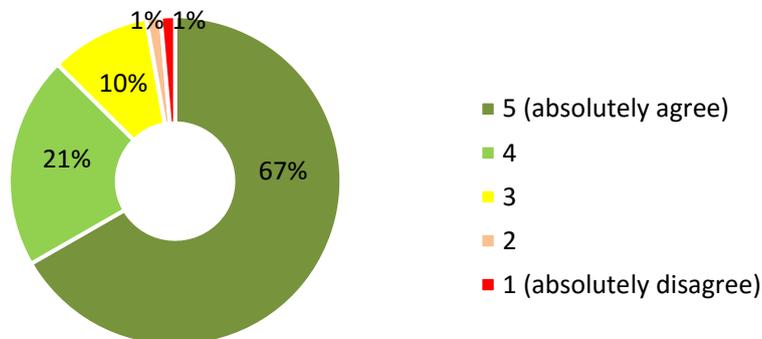
**STATEMENTS: ETHICAL AND PROFESSIONAL ASPECTS**

1. *I enjoy freedom of expression and research within the scope of my projects.*

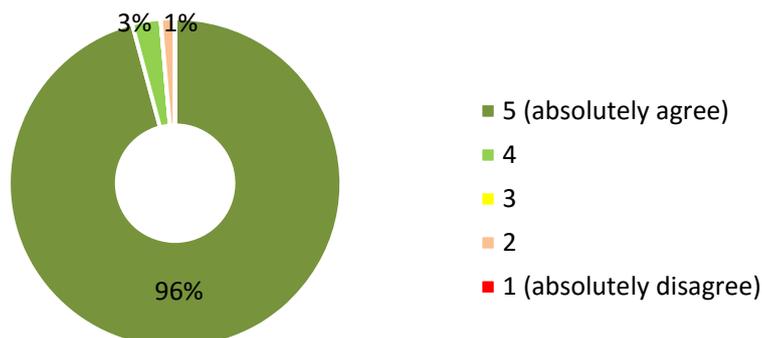
72 answers



2. *IFAE does not discriminate its personnel 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.*

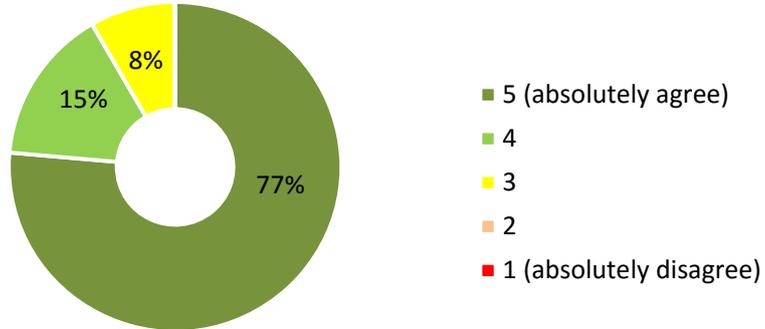


3. *I am aware that I have to abide by fundamental ethical research practices, such as avoiding plagiarism or falsifying data.*



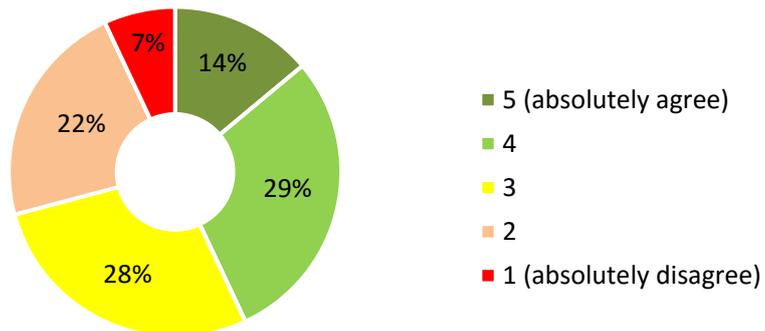
4. *I am aware that I am accountable towards my employers, funders and society as a whole for the efficient use of the money funding my research.*

72 answers



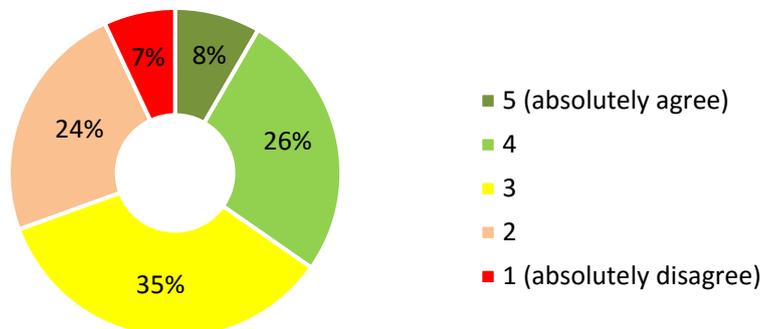
5. *I am familiar with the strategic goals of IFAE, with its funding mechanisms and with its decision-making bodies.*

72 answers



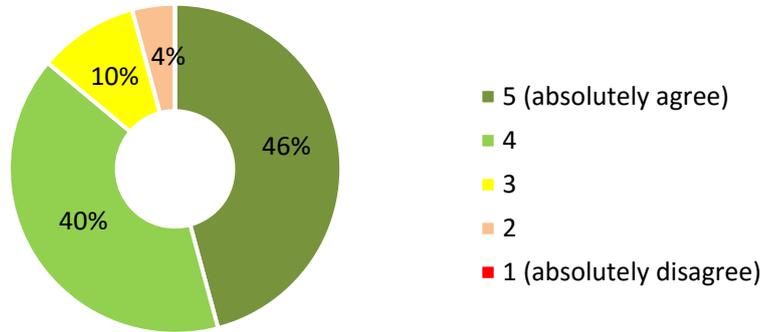
6. *I am familiar with national, sectorial and institutional regulations governing training and working conditions.*

72 answers



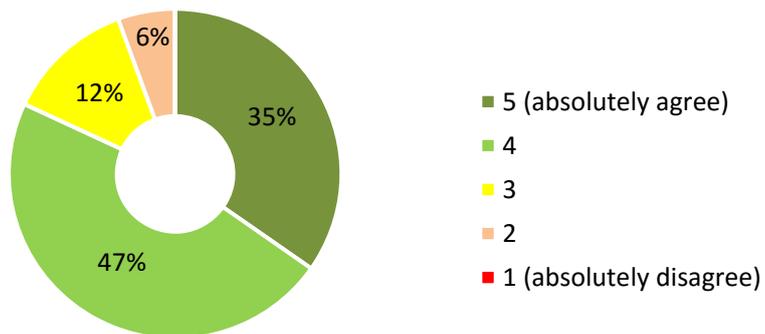
7. *I adopt safe working practices, including the necessary precautions for health and safety.*

72 answers



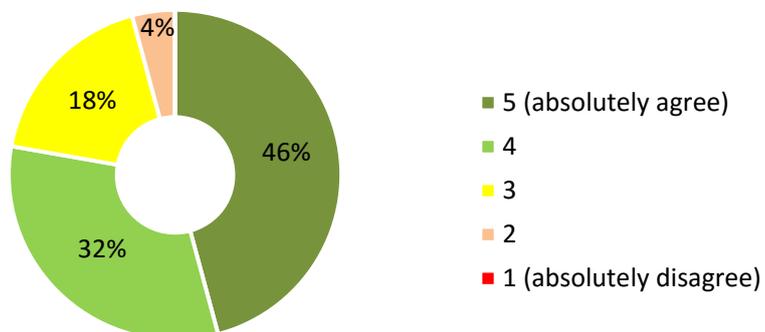
8. *I take the necessary measures in the context of information technologies to preserve and protect data.*

72 answers



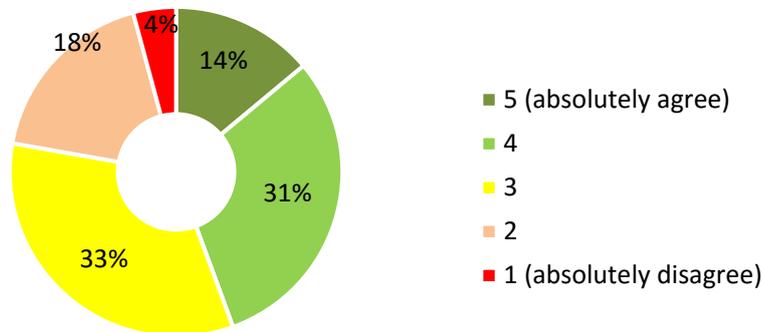
9. *The results of the research carried out at IFAE are disseminated and exploited (e.g. communicated, transferred into other research settings or, if appropriate, commercialised).*

72 answers



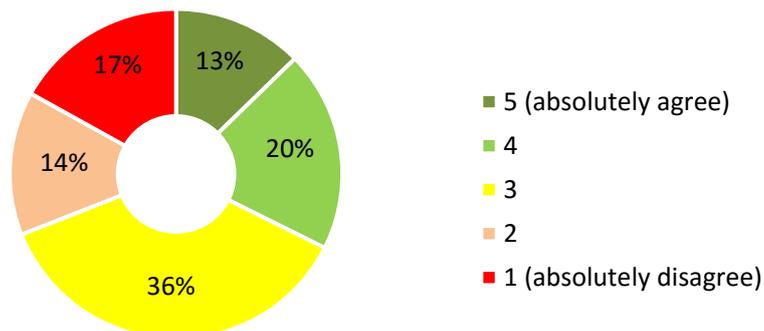
10. *The activities carried out at IFAE are made known to society at large in such a way that they can be understood by general public.*

72 answers



11. *For all researchers, IFAE introduces evaluation/appraisal systems for assessing their professional performance in a transparent manner by an independent committee.*

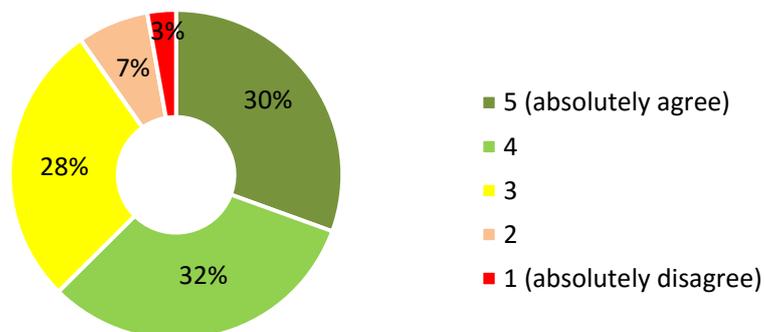
71 answers



**STATEMENTS: RECRUITMENT OF RESEARCHERS**

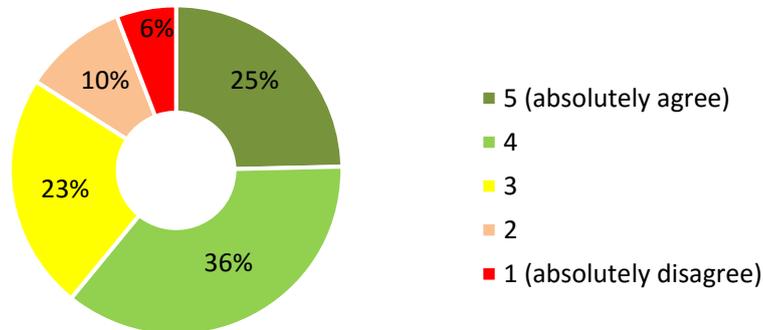
12. *IFAE's recruitment processes are open, efficient and transparent according to international standards. Entry and admission standards are clearly specified.*

72 answers



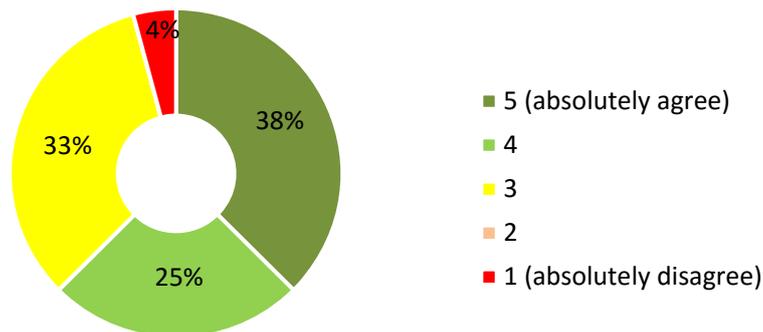
13. *Prior to the selection, I was informed about the recruitment process and the selection criteria, the number of available positions and career development prospects.*

69 answers



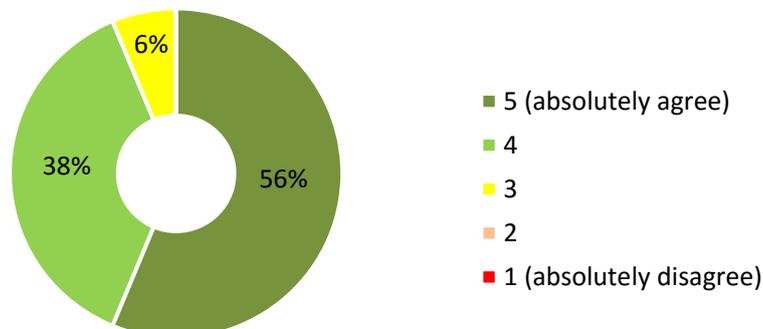
14. *(Only for postdocs) IFAE established clear rules and explicit guidelines, including the maximum duration and the objective of my appointment.*

24 answers



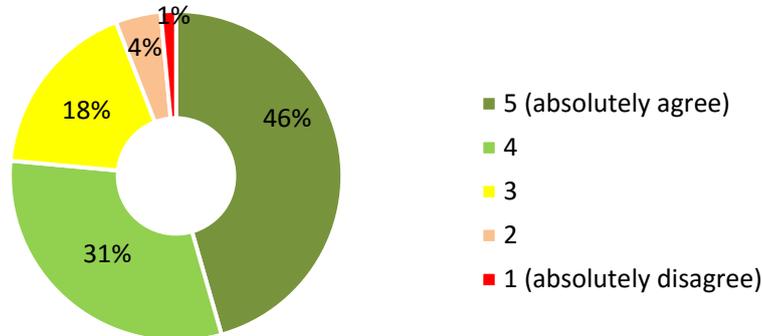
15. *(Only for permanent researchers) The level of qualifications required by IFAE were in line with the needs of the advertised position.*

32 answers



16. *IFAE considers regional and institutional mobility a valuable contribution to the professional development of a researcher.*

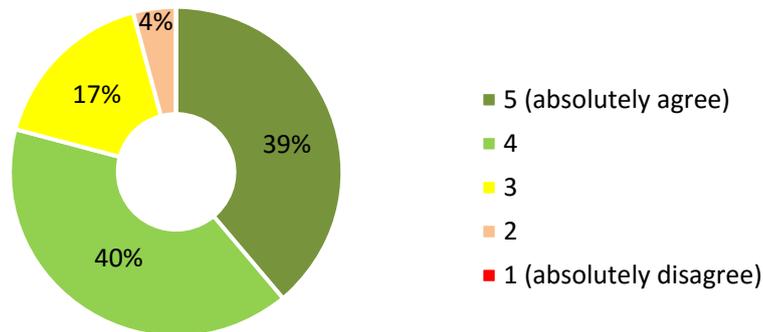
68 answers



**STATEMENTS: WORKING CONDITIONS AND SOCIAL SECURITY**

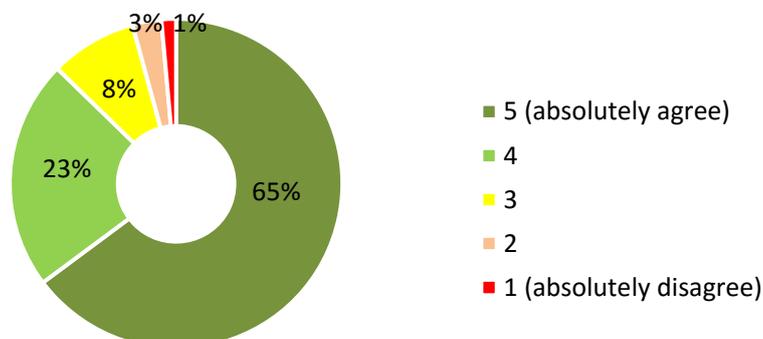
17. *I enjoy a stimulating research and training environment, which offers appropriate facilities and support for both face-to-face and remote collaboration.*

72 answers



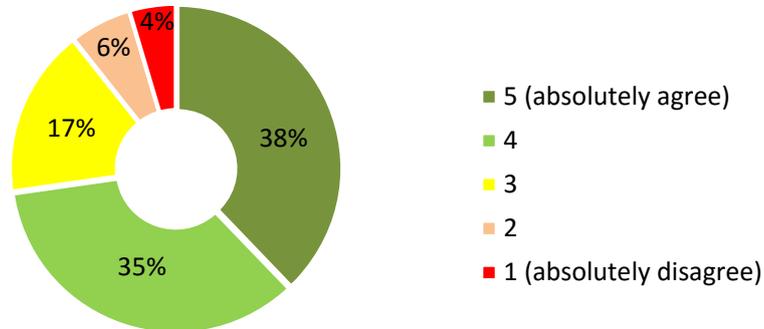
18. *I enjoy flexible working conditions (flexible working hours, part-time working, tele-working and sabbatical leave) which allow me to combine family and career.*

71 answers



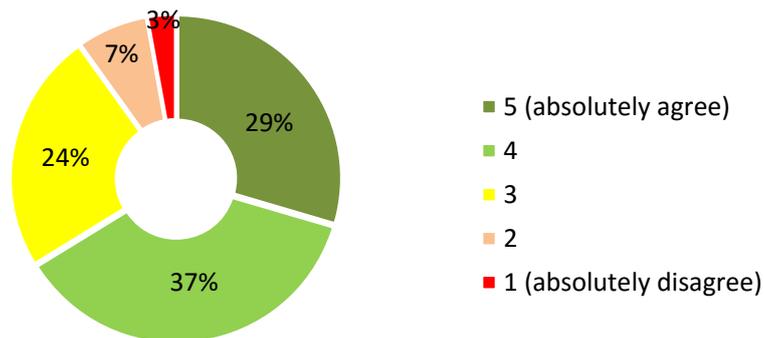
19. IFAE offers me an adequate salary and Social Security provisions in accordance with existing national legislation.

66 answers



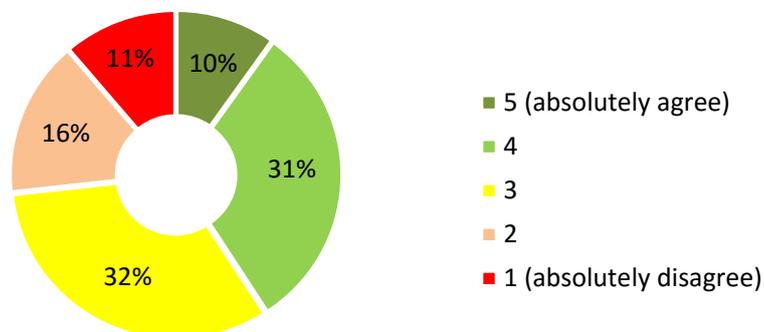
20. IFAE aims for a representative gender balance at all levels of staff, and abides by an equal opportunity policy.

71 answers



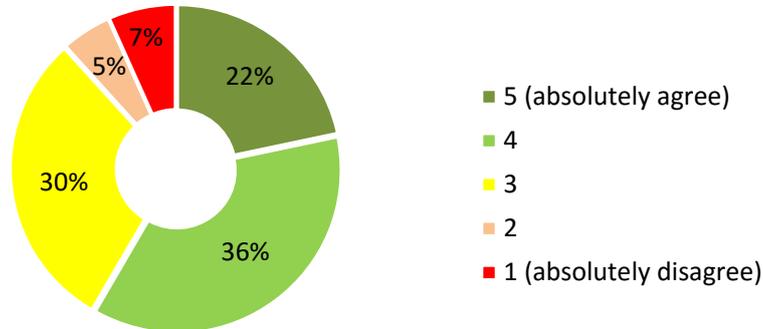
21. IFAE ensures that career advice and assistance with job placement within IFAE is offered to researchers at all stages of their career.

71 answers



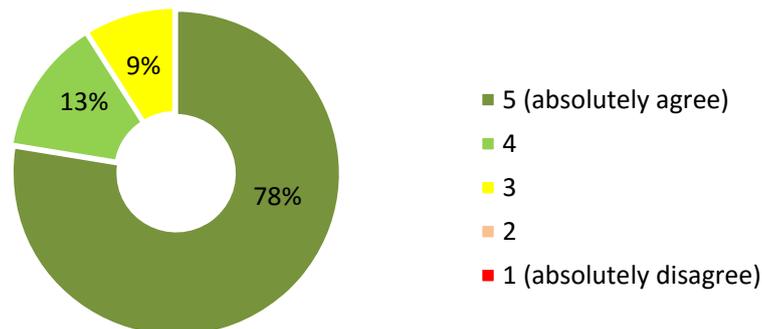
22. *I reap the benefits of the exploitation (if any) of my R&D results through legal protection and, in particular, through appropriate Intellectual Property rights.*

60 answers



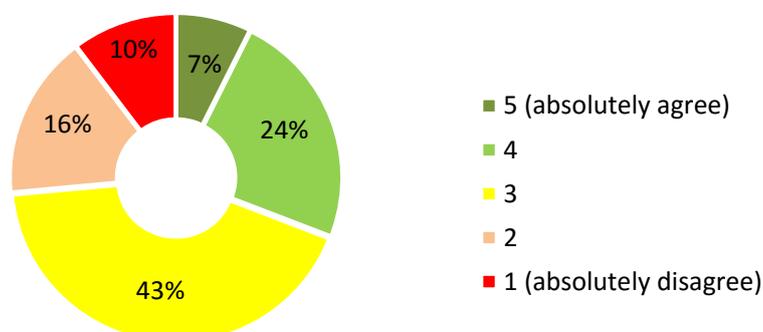
23. *I am recognised and listed and/or quoted, in the context of my actual contributions, as co-author of papers, patents, etc.*

67 answers



24. *IFAE offers appropriate procedures to deal with internal complaints/appeals of researchers. Such procedures provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances.*

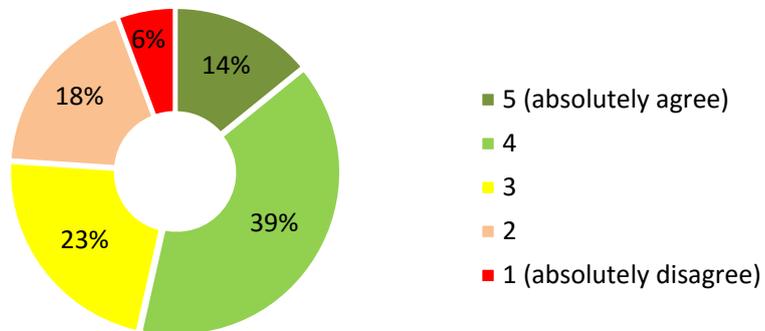
68 answers



**STATEMENTS: TRAINING**

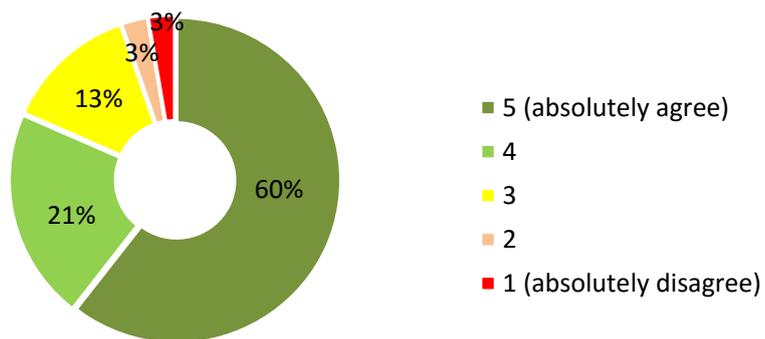
25. *I have an easy access to means to update and expand my skills and competences.*

71 answers



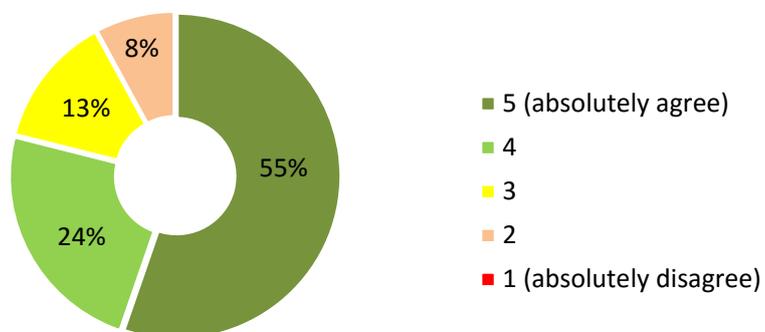
26. *(Only for PhD students and postdocs) I have a supervisor that guides and evaluates my professional duties and performance.*

38 answers



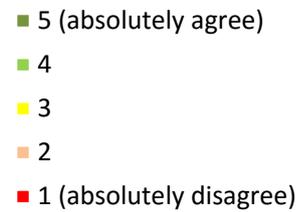
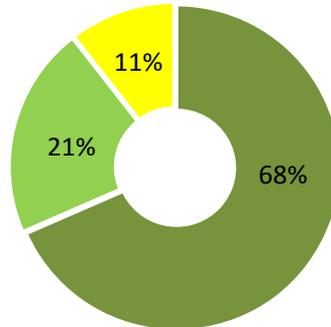
27. *(Only for PhD students and postdocs) I have a structured relationship and regular interactions with my supervisor(s).*

38 answers



28. (Only for PhD students and postdocs) My supervisor has the knowledge, expertise and commitment to be able to offer me the appropriate support.

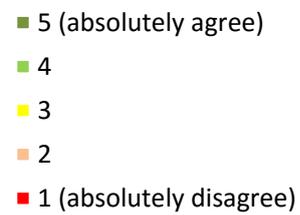
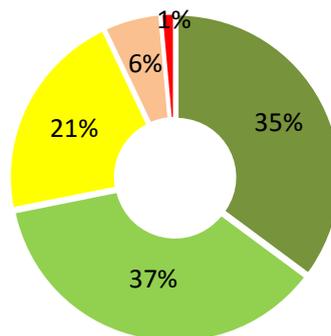
38 answers



### SUGGESTED ACTIONS

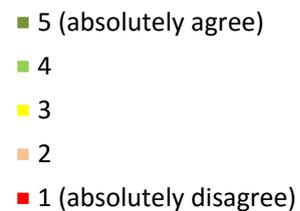
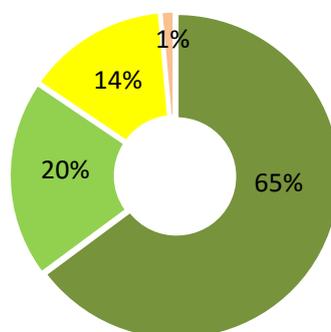
I. A Code of Best Practices, including a protocol on Information Technologies (IT) safety.

71 answers



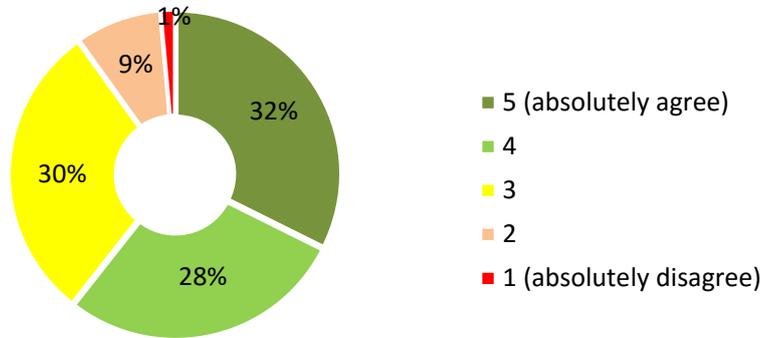
II. A Welcome Package.

71 answers



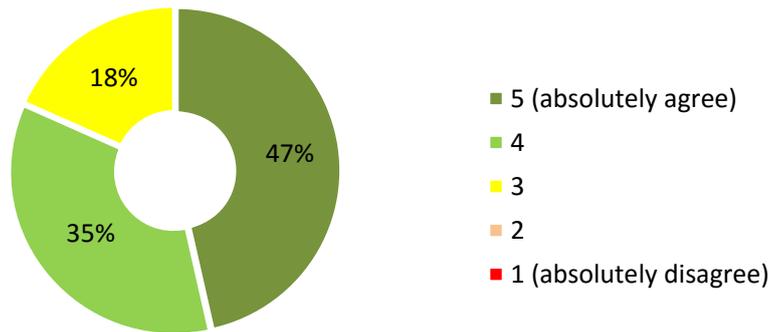
III. *A Diversity Programme, including a protocol against discrimination on any grounds.*

71 answers



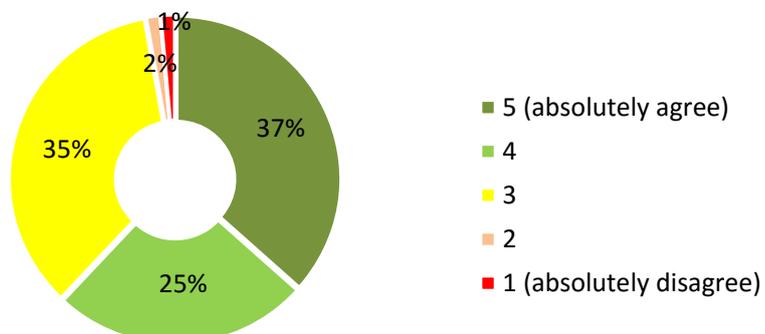
IV. *A protocol for complaints/appeals.*

71 answers



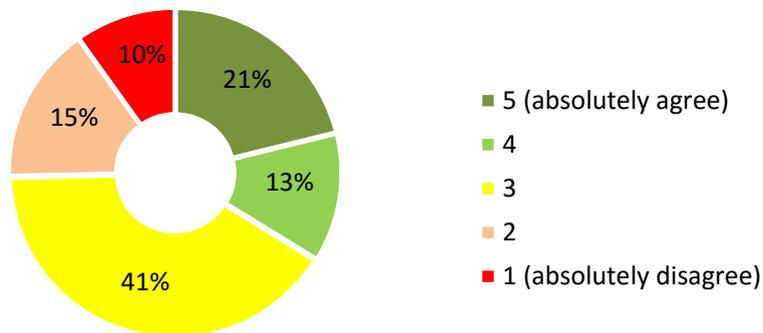
V. *A protocol for sabbatical leaves.*

71 answers



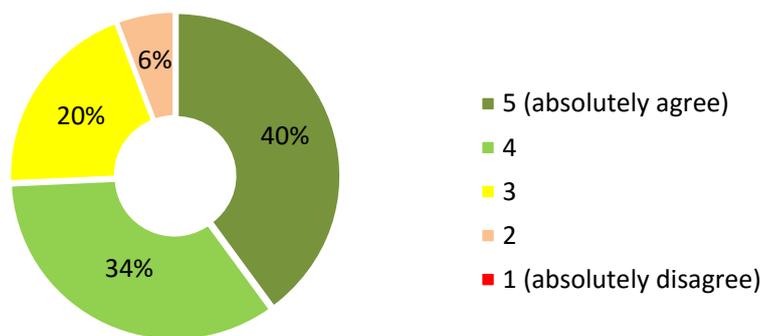
VI. *More specific rules on tele-working.*

71 answers



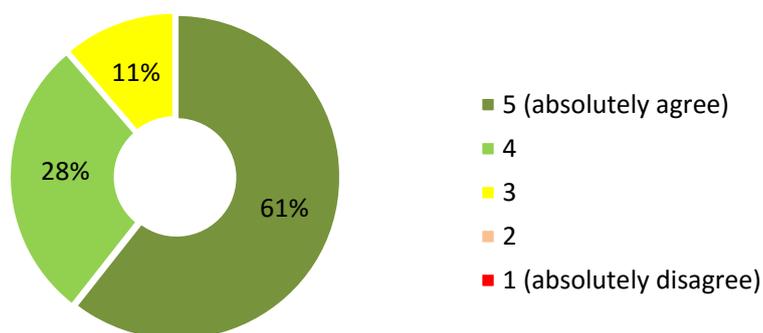
VII. *Mechanisms to improve the information about IFAE's internal rules (such as for the Industrial and Intellectual Property), protocols and decision-making or advisory bodies.*

70 answers



VIII. *Mechanisms to facilitate information about professional opportunities beyond IFAE.*

71 answers



**Gap Analysis based on the survey answers**

Since answers could range from 1 (strong disagreement) to 5 (strong agreement), it was considered that the survey showed a significant disagreement with a Statement when either at least 25% of the answers where 1 or 2, or when at most 33% of the answers where 4 or 5.

At the other end, it was considered that the survey showed a strong agreement with a Statement when at least 75% of the answers were 4 or 5, and when at most 10% of the answers were 1 or 2. These criteria led to the following three tables:

<b>Table 1. IFAE researchers strongly agree with the following statements:</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
<i>1. I enjoy freedom of expression and research within the scope of my projects.</i>	0%	93%
<i>2. IFAE does not discriminate its personnel 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>	2%	88%
<i>3. I am aware that I have to abide by fundamental ethical research practices, such as avoiding plagiarism or falsifying data.</i>	1%	99%
<i>4. I am aware that I am accountable towards my employers, funders and society as a whole for the efficient use of the money funding my research.</i>	0%	92%
<i>7. I adopt safe working practices, including the necessary precautions for health and safety.</i>	4%	86%
<i>8. I take the necessary measures in the context of information technologies to preserve and protect data.</i>	6%	82%
<i>9. The results of the research carried out at IFAE are disseminated and exploited (e.g. communicated, transferred into other research settings or, if appropriate, commercialised).</i>	4%	78%
<i>15. (Only for permanent researchers) The level of qualifications required by IFAE were in line with the needs of the advertised position.</i>	0%	94%
<i>16. IFAE considers regional and institutional mobility a valuable contribution to the professional development of a researcher.</i>	5%	77%
<i>17. I enjoy a stimulating research and training environment, which offers appropriate facilities and support for both face-to-face and remote collaboration.</i>	4%	79%
<i>18. I enjoy flexible working conditions (flexible working hours, part-time working, tele-working and sabbatical leave) which allow me to combine family and career.</i>	4%	88%
<i>23. I am recognised and listed and/or quoted, in the context of my actual contributions, as co-author of papers, patents, etc.</i>	0%	91%
<i>26. (Only for PhD students and postdocs) I have a supervisor that guides and evaluates my professional duties and performance.</i>	6%	81%
<i>27. (Only for PhD students and postdocs) I have a structured relationship and regular interactions with my supervisor(s).</i>	8%	79%
<i>28. (Only for PhD students and postdocs) My supervisor has the knowledge, expertise and commitment to be able to offer me the appropriate support.</i>	0%	89%

<b>Table 2. IFAE researchers don't strongly agree, but don't show significant disagreement either, with the following statements:</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
10. <i>The activities carried out at IFAE are made known to society at large in such a way that they can be understood by general public.</i>	22%	45%
12. <i>IFAE's recruitment processes are open, efficient and transparent according to international standards. Entry and admission standards are clearly specified.</i>	10%	62%
13. <i>Prior to the selection, I was informed about the recruitment process and the selection criteria, the number of available positions and career development prospects.</i>	16%	61%
14. <i>(Only for postdocs) IFAE established clear rules and explicit guidelines, including the maximum duration and the objective of my appointment.</i>	4%	63%
19. <i>IFAE offers me an adequate salary and Social Security provisions in accordance with existing national legislation.</i>	10%	73%
20. <i>IFAE aims for a representative gender balance at all levels of staff, and abides by an equal opportunity policy.</i>	10%	66%
22. <i>I reap the benefits of the exploitation (if any) of my R&amp;D results through legal protection and, in particular, through appropriate Intellectual Property rights.</i>	12%	58%
25. <i>I have an easy access to means to update and expand my skills and competences.</i>	24%	53%

<b>Table 3. IFAE researchers show a significant disagreement with the following statements:</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
5. <i>I am familiar with the strategic goals of IFAE, with its funding mechanisms and with its decision-making bodies.</i>	29%	43%
6. <i>I am familiar with national, sectorial and institutional regulations governing training and working conditions.</i>	31%	34%
11. <i>For all researchers, IFAE introduces evaluation/appraisal systems for assessing their professional performance in a transparent manner by an independent committee.</i>	31%	33%
21. <i>IFAE ensures that career advice and assistance with job placement within IFAE is offered to researchers at all stages of their career.</i>	27%	41%
24. <i>IFAE offers appropriate procedures to deal with internal complaints/appeals of researchers. Such procedures provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances.</i>	26%	31%

Following the same criteria, we obtain Tables 4, 5 and 6 for the 8 Suggested Actions that were surveyed:

<b>Table 4. IFAE researchers strongly agree with the following suggested actions:</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
<i>II. A Welcome Package.</i>	1%	85%
<i>IV. A protocol for complaints/appeals.</i>	0%	82%
<i>VIII. Mechanisms to facilitate information about professional opportunities beyond IFAE.</i>	0%	89%

<b>Table 5. IFAE researchers don't strongly agree, but don't show significant disagreement either, with the following suggested action</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
<i>I. A Code of Best Practices, including a protocol on Information Technologies (IT) safety.</i>	7%	72%
<i>III.A Diversity Programme, including a protocol against discrimination on any grounds.</i>	10%	60%
<i>V. A protocol for sabbatical leaves.</i>	3%	62%
<i>VII. Mechanisms to improve the information about IFAE's internal rules (such as for the Industrial and Intellectual Property), protocols and decision-making or advisory bodies.</i>	6%	74%

<b>Table 6. IFAE researchers show a significant disagreement with the following suggested action:</b>	<b>1-2 answers</b>	<b>4-5 answers</b>
<i>VI. More specific rules on tele-working.</i>	25%	34%

When we cross Table 3 (gaps identified by the survey as Statements with a significant disagreement amidst IFAE researchers) with tables 4 to 6 we observe that four of the five gaps would be filled by three of the suggested actions: Statements 5 and 6 by Action VII, Statement 21 by Action VIII, and Statement 24 by Action IV. As it would be expected, IFAE researchers express a sound agreement with these three actions: Actions IV and VIII fulfil both criteria to be included in Table 4 (strong agreement) while Action VII falls only 1% short in one criteria (74% of answers 4-5, below the 75% threshold).

Thus, Actions IV, VII and VIII would tackle four of the five gaps identified by the survey. The remaining gap (Statement 1<sup>14</sup>, linked to Principle 11) requires a further action to be included in IFAE's Action Plan (next Section).

The survey also shows that IFAE researchers express a considerable agreement with four of the other five suggested actions (the exception is Action VI), in particular with the elaboration of a Welcome Package (Action II), that fulfils both “strong criteria” to be included in Table 4.

Though, according to the survey, IFAE researchers don't have strong feelings either for or against Action VI (“More specific rules on tele-working”, linked to Principle 24), it is kept in the Action Plan as a specific request by the Management Team.

The analysis of the survey did not spot additional gaps to those already identified by the HRSR Working Group in the analysis carried out before the survey (Preliminary Results). Thus, no further actions required to be implemented at IFAE were included in the Final Results of the Internal Analysis (Annex 3), which include the Unit responsible for its implementation (Who) as well as the timing (When), that led to the Action Plan.

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<sup>14</sup> “For all researchers, IFAE introduces evaluation/appraisal systems for assessing their professional performance in a transparent manner by an independent committee.”

## ACTION PLAN

### Enhancing the awareness of existing rules and practices

The internal analysis showed that a significant fraction of the researchers were not familiar enough with IFAE's institutional information, existing rules and practices, and relevant legislation. Thus, short-term specific actions are needed to familiarise researchers currently at IFAE with them. Also needed is a mechanism to keep them regularly up-to-date and to ensure that researchers entering IFAE in the future are quickly familiarised with relevant information.

1. Centralising relevant documents in a repository available to all IFAE researchers (part of the Suggested Action VII).
  - Principles: All of them
  - Who: IFAE's IT Area.
  - When: within 3 months.
  
2. Setting additional mechanisms to be held on regular basis, such as Seminars, to familiarise IFAE researchers with the key elements of institutional information (including consultation and decision-making bodies, Safety protocol and regulation on Industrial and Intellectual property) and relevant legislation (part Suggested Action VII).
  - Principles: All of them
  - Who: Working Groups appointed by the Management Team.
  - When: within 6 months.
  
3. Writing and adopting a Welcome Package (Suggested Action II).
  - Principles: 1, 4, 5, 7, 31, 35.
  - Who: Working Group appointed by the Management Team.
  - When: within 12 months.

### Writing and adopting new documents and protocols

The internal analysis also showed the need for some new documents and protocols. Once they are implemented, the actions mentioned in the previous section would ensure that all researchers at IFAE are aware of their existence and their basic contents, and can access them easily.

These new documents should be elaborated by specific Working Groups or by the Management Team itself.

4. Writing and adopting a Diversity Programme, including a protocol against discrimination on any grounds (Suggested Action III).
  - Principles: 10, 27.
  - Who: Diversity Committee appointed by the Management Team.
  - When: within 12 months.
  - This document should be submitted to the Governing Board for its approval.
  
5. Writing and adopting a protocol on Information Technologies safety (included in Suggested Action I)
  - Principles: 7.
  - Who: IT Area.
  - When: within 9 months.
  
6. Writing and adopting a protocol for sabbatical leaves (Suggested Action V).
  - Principles: 24.
  - Who: Management Team.
  - When: within 9 months.
  - This document should be submitted to the Governing Board for its approval.
  
7. Writing and adopting a Code of Best Practices establishing the basic rights and duties by which IFAE and its personnel should abide (Suggested Action I).
  - Principles: 1, 2, 3, 6, 10, 12, 13, 24, 31, 39.
  - Who: Working Group appointed by the Management Team.
  - When: within 24 months.
  - This document should be submitted to the Governing Board for its approval.
  
8. Writing and adopting a Protocol for complaints and appeals (Suggested Action IV).
  - Principles: 34.
  - Who: Working Group appointed by the Management Team.
  - When: within 24 months.
  - This document should be submitted to the Governing Board for its approval.

## Structural changes and new procedures

Documents and protocols are not the answer to everything. To fill some of the gaps unveiled by the internal analysis, IFAE needs to change some of its current practices and to establish new ones.

9. Providing greater support from the Administration Area to clarify issues (including Social Security) dealing with stays abroad.
  - Principles: 26, 29.
  - Who: HR Area.
  - When: within 3 months.
  
10. Organising, on a regular basis, talks to provide information about professional opportunities beyond IFAE (Suggested Action VIII).
  - Principles: 28, 29, 30.
  - Who: Management Team.
  - When: within 24 months.
  
11. Setting and implementing an evaluation/appraisal process, carried out on a regular basis, to assess the professional performance of the researchers.
  - Principles: 11.
  - Who: Management Team.
  - When: within 36 months.

## Other actions

The internal analysis was also the occasion to rise some occasional dysfunctions that can be tackle in this Action Plan.

12. Confirming with UAB that future PhD students fulfil academic requirements before being admitted at IFAE.
  - Principles: 19.
  - Who: Administration Area.
  - When: within 6 months.

13. Setting a mechanism to inform students and postdocs at IFAE about the possibilities of teaching at UAB.
  - Principles: 33
  - Who: supervisors of postgraduate students/postdocs
  - When: within 6 months.
  
14. Writing and adopting more specific rules on tele-working (Suggested Action VI).
  - Principles: 24.
  - Who: Management Team.
  - When: within 9 months.
  
15. Ensuring that all trips are covered by the travel insurance.
  - Principles: 7.
  - Who: Management Team.
  - When: within 12 months.

Annex 4 illustrates the timeline of this Action Plan.

## ANNEX 1: Euraxess standard template for the internal analysis

### I. Ethical and professional aspects

#### 1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

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

#### 2. Ethical principles

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

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

#### 3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research

carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

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

#### 4. Professional attitude

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

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

#### 5. Contractual and legal obligations

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

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

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## 6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

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

## 7. Good practice in research

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

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

## 8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other

research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

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

### 9. Public engagement

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

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

### 10. Non discrimination

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

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

### 11. Evaluation/ appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers,

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

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

## II. Recruitment

### 12. Recruitment

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

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

### 13. Recruitment (Code)

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

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

#### 14. Selection (Code)

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

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

#### 15. Transparency (Code)

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

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

#### 16. Judging merit (Code)

The selection process should take into consideration the whole range of experience of the

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

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

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

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

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

### **18. Recognition of mobility experience (Code)**

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

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

### 19. Recognition of qualifications (Code)

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

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

### 20. Seniority (Code)

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

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

### 21. Postdoctoral appointments (Code)

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

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

### III. Working conditions and social security

### 22. Recognition of the profession

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

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

### 23. Research environment

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

that adequate resources are provided in support of the agreed work programme.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who

<p><b>24. Working conditions</b></p> <p>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, <i>inter alia</i>, 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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who

<p><b>25. Stability and permanence of employment</b></p> <p>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 <i>EU Directive on Fixed-Term Work</i>.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who

## 26. Funding and salaries

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

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

## 27. Gender balance

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

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

## 28. Career development

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

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

### 29. Value of mobility

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

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

### 30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

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

### 31. Intellectual Property Rights

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

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

### 32. Co-authorship

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

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

### 33. Teaching

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

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

#### 34. Complains/ appeals

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

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

#### 35. Participation in decision-making bodies

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

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

#### IV. Training

##### 36. Relation with supervisors

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

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

##### 37. Supervision and managerial duties

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

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

##### 38. Continuing Professional Development

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

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

### 39. Access to research training and continuous development

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

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

### 40. Supervision

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

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

## ANNEX 2: Questionnaire submitted to IFAE researchers

**Express your degree of agreement with the following 28 statements, ranging from 1 (absolutely disagree) to 5 (absolutely agree).**

### ETHICAL AND PROFESSIONAL ASPECTS

- 1 I enjoy freedom of expression and research within the scope of my projects.
- 2 IFAE does not discriminate its personnel 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.
- 3 I am aware that I have to abide by fundamental ethical research practices, such as avoiding plagiarism or falsifying data.
- 4 I am aware that I am accountable towards my employers, funders and society as a whole for the efficient use of the money funding my research.
- 5 I am familiar with the strategic goals of IFAE, with its funding mechanisms and with its decision-making bodies.
- 6 I am familiar with national, sectorial and institutional regulations governing training and working conditions.
- 7 I adopt safe working practices, including the necessary precautions for health and safety.
- 8 I take the necessary measures in the context of information technologies to preserve and protect data.
- 9 The results of the research carried out at IFAE are disseminated and exploited (e.g. communicated, transferred into other research settings or, if appropriate, commercialised).
- 10 The activities carried out at IFAE are made known to society at large in such a way that they can be understood by general public.
- 11 For all researchers, IFAE introduces evaluation/appraisal systems for assessing their professional performance in a transparent manner by an independent committee.

### RECRUITMENT OF RESEARCHERS

- 12 IFAE's recruitment processes are open, efficient and transparent according to international standards. Entry and admission standards are clearly specified.
- 13 Prior to the selection, I was informed about the recruitment process and the selection

criteria, the number of available positions and career development prospects.

- 14 (Only for postdocs) IFAE established clear rules and explicit guidelines, including the maximum duration and the objective of my appointment.
- 15 (Only for permanent researchers) The level of qualifications required by IFAE were in line with the needs of the advertised position.
- 16 IFAE considers regional and institutional mobility a valuable contribution to the professional development of a researcher.

#### WORKING CONDITIONS AND SOCIAL SECURITY

- 17 I enjoy a stimulating research and training environment, which offers appropriate facilities and support for both face-to-face and remote collaboration.
- 18 I enjoy flexible working conditions (flexible working hours, part-time working, tele-working and sabbatical leave) which allow me to combine family and career.
- 19 IFAE offers me an adequate salary and Social Security provisions in accordance with existing national legislation.
- 20 IFAE aims for a representative gender balance at all levels of staff, and abides by an equal opportunity policy.
- 21 IFAE ensures that career advice and assistance with job placement within IFAE is offered to researchers at all stages of their career.
- 22 I reap the benefits of the exploitation (if any) of my R&D results through legal protection and, in particular, through appropriate Intellectual Property rights.
- 23 I am recognised and listed and/or quoted, in the context of my actual contributions, as co-author of papers, patents, etc.
- 24 IFAE offers appropriate procedures to deal with internal complaints/appeals of researchers. Such procedures provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances.

#### TRAINING

- 25 I have an easy access to means to update and expand my skills and competences.
- 26 (Only for PhD students and postdocs) I have a supervisor that guides and evaluates my professional duties and performance.
- 27 (Only for PhD students and postdocs) I have a structured relationship and regular

interactions with my supervisor(s).

- 28 (Only for PhD students and postdocs) My supervisor has the knowledge, expertise and commitment to be able to offer me the appropriate support.

**Express your degree of agreement with the following 8 suggested actions to be implemented at IFAE, ranging from 1 (absolutely disagree) to 5 (absolutely agree)**

- I* A Code of Best Practices, including a protocol on Information Technologies (IT) safety.
- II* A Welcome Package.
- III* A Diversity Programme, including a protocol against discrimination on any grounds.
- IV* A protocol for complaints/appeals.
- V* A protocol for sabbatical leaves.
- VI* More specific rules on tele-working.
- VII* Mechanisms to improve the information about IFAE's internal rules (such as for the Industrial and Intellectual Property), protocols and decision-making or advisory bodies.
- VIII* Mechanisms to facilitate information about professional opportunities beyond IFAE.

## ANNEX 3: Final Results of the Internal Analysis

<b>1. Research freedom</b>			
<p>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Article 44.2 of the Spanish Constitution</p> <p>Articles 14 and 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Articles 39 and 40 of the Spanish Royal Spanish Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU)</p>	<p>IFAE's main goal -as stated in its Bylaws- is to conduct experimental and theoretical research, as well as technological developments, at the frontier of fundamental physics.</p> <p>All IFAE personnel enjoy freedom of expression and research, within the scope of their project, only limited by budget constraints.</p>	<p>A Code of Best Practices should be written, and known by all IFAE personnel, who would have an easy access to it. This Code should establish the basic rights and duties that IFAE and its personnel should abide, including research of freedom. IFAE would explicit its commitment by having it approved by its Governing Board.</p> <p>A Welcome Package should be written. It should include a reference to the Code of Best Practices. Once the Welcome Package is approved, all IFAE personnel should be aware of its existence and contents.</p>	<p>A Working Group appointed by the Management Team should write the code of Best Practices within 24 months. It would be submitted to IFAE's next Governing Board.</p> <p>A Working Group appointed by the Management Team should create the Welcome Package within 12 months.</p>

## 2. Ethical principles

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 10 and 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Articles 53 and 54 of the Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)	IFAE researchers are expected to behave and work according to basic ethical principles and practices. So far, no conflict has arisen.	The Code of Best Practices (see Principle 1) should include the fundamental ethical principles.	See Principle 1.

### 3. Professional responsibility

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 15 of the Spanish Act 14/2011 (Science, Technology and Innovation) Article 67 of the Catalan Law 1/2003 (Universities of Catalonia, LUC) Spanish Royal Decree 1/1996 (Revised text of the Intellectual Property Act)	IFAE's Regulation of Industrial and Intellectual Property. The contract programme with the Catalan Government (Generalitat) that evaluates IFAE includes indicators of scientific output. IFAE researchers are expected to respect intellectual property rights and avoid plagiarism. So far, no conflict has arisen.	The Code of Best Practices (see Principle 1) should include these aspects of professional responsibility.	See Principle 1.

#### 4. Professional attitude

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)	<p>Research activities are funded through competitive calls. No application is allowed to be submitted without the agreement of IFAE's director.</p> <p>As all research activities are funded through competitive calls, delays or redefinition of objectives are reported to the funding institution.</p> <p>IFAE's annual report, which describes the performance in all projects that IFAE takes part in, is submitted to IFAE's Governing Board.</p> <p>A meeting, open to all IFAE personnel, with an external Scientific Committee is held once a year. There is an open with an overview of IFAE (strategic goals, sources of funding, etc) given by the Director, and presentations of the status of all lines of activity.</p>	<p>The Welcome Package (see Principle 1) should include basic statements on IFAE's institutional structure, strategic goals, sources of funds and rules of professional attitude.</p>	<p>See Principle 1.</p>

### 5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectorial 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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 15, 20, 21, 22, 23, 36 and 19th additional dispositions of the Spanish Act 14/2011 (Science, Technology and Innovation)  Spanish Royal Decree 1/1996 (Revised text of the Intellectual Property Act)  Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)  Spanish Royal Decree 2/2015 (Workers' Statute, ET)  Catalan Act 8/2006 (Measures for the conciliation of personal, family and working life of the staff at the service of the public administrations of Catalonia)	IFAE's Regulation of Industrial and Intellectual Property.	The Welcome Package (see Principle 1) should inform about basic regulations, which should be easily available.	See Principle 1.

## 6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, one more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Article 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Spanish Act 19/2013 (Transparency, Access to Public Information and Good Governance)</p> <p>Catalan Act 19/2014 (Transparency, Access to Public Information and Good Governance)</p> <p>Chapter IV of the Spanish Act 38/2003 (General Subsidies)</p> <p>Spanish Royal Decree 3/2011 (revised text of the Act on Public Sector Contracts)</p>	<p>As a public consortium, IFAE undergoes each year an economic audit which is submitted to its Governing Board.</p> <p>As most of IFAE's funding comes from public R&amp;D Calls, the activity of its researchers is subject to the corresponding controls.</p> <p>Indicators of IFAE's scientific performance are evaluated once a year by a Follow Up Commission of the Generalitat.</p> <p>IFAE's annual report is published in its website. A summary of the annual report is presented to IFAE's Governing Board.</p> <p>As a CERCA research centre, IFAE is subject, once every 4 years, to an external evaluation by an international committee. The next evaluation is due by 2017.</p>	<p>The Code of Best Practices (see Principle 1) should include the fundamental ethical principles.</p>	<p>See Principle 1.</p>

### 7. Good practice in research

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Article 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Spanish Act 31/1995 (Preventing Work Risks)</p> <p>Spanish Organic Act 15/1999 (Protection of Personal Data)</p>	<p>A Safety Committee and a Safety Protocol exists, but not all personnel is aware of its existence or familiar with its content.</p> <p>A free and mandatory on-line course on basic procedures to prevent work risks is available to all personnel.</p> <p>All personnel undergo a free and compulsory medical check-up when joining IFAE. An annual, free but not compulsory, medical check-up is available from then on.</p> <p>All IFAE personnel are covered by an insurance against civil liability claims arising from professional activities.</p> <p>A travel insurance is not always included in tickets purchased.</p>	<p>The Welcome Package should include a protocol on Information Technology safety, including a backup policy. Once the protocol was established, a basic course should be offered to all IFAE personnel.</p> <p>Internal procedures to make sure all personnel is familiar with IFAE'S safety protocols.</p> <p>Travel insurances should cover all tickets purchased.</p>	<p>Welcome Package: see Principle 1.</p> <p>The Safety Committee should establish the procedures to make sure all personnel is familiar with safety protocols within 3 months.</p> <p>IFAE's Information Technology Area should write the safety protocol and offer the basic course within 9 months.</p> <p>The Management Team should make sure all tickets purchased include travel insurances within 12 months.</p>

**8. Dissemination, exploitation of results**

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 14, 15, 28, 36 and 19th additional disposition of the Spanish Act 14/2011 (Science, Technology and Innovation) Article 18 of the Spanish Act 38/2003 (General Subsidies)	IFAE's Regulation of Industrial and Intellectual Property.  The contract programme with the Catalan Government (Generalitat) that evaluates IFAE includes indicators of publications, presentations at international conferences, participation in international committees and knowledge and technology transfer activities.  Researchers are encouraged to present their work and achievements both within IFAE (Pizza Seminars held once a week) and outside IFAE (international meetings).	No further actions required.	

### 9. Public engagement

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 38 of the Spanish Act 14/2011 (Science, Technology and Innovation)	<p>A task force within IFAE fosters Outreach activities, in addition to related activities within projects.</p> <p>Outreach activities are carried out throughout the year. Activities such as open conferences, talks at schools, museums and non-profit associations; as well as supervision of research projects of Secondary Education students and gifted science project participants.</p> <p>The contract programme with the Catalan Government (Generalitat) that evaluates IFAE includes an indicator of outreach activities.</p>	No further actions required.	

<b>10. Non discrimination</b>			
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.			
<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Articles 2 and 16 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Articles 10 and 63 of the Spanish Organic Act 3/2007 (Effective Equality of Men and Women)</p> <p>Article 37 of the Catalan Law 1/2003 (Universities of Catalonia, LUC)</p> <p>Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)</p> <p>Spanish Royal Decree 2/2015 (Workers' Statute, ET)</p> <p>Catalan Act 8/2006 (Measures for the conciliation of personal, family and working life for staff at the service of the public administrations)</p> <p>Spanish Royal Decree 1/2013 (merged text of the Act for Social Integration of Handicapped People)</p> <p>Catalan Decree 86/2015 (Employment of people with a disability)</p> <p>Catalan Act 5/2008 (Right of women to eradicate male violence)</p>	<p>No discrimination takes place at IFAE, but there is no written Code of Conduct or a Diversity Programme approved by its Governing Board.</p>	<p>A Diversity Programme, including a protocol against discrimination on any grounds, should be established and approved by IFAE's Governing Board. This Programme should include a basic training course to identify situations of risk.</p> <p>The Code of Best Practices (see Principle 1) should include the principle of no discrimination. And a reference to the Diversity Programme.</p>	<p>A Diversity Committee appointed by the Management Team should elaborate the Diversity Programme within 12 months. It would be submitted to IFAE's next Governing Board.</p> <p>Code of Best Practices: see Principle 1.</p>

### 11. Evaluation/appraisal systems

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Articles 4 and 15 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Titles V and IX of the Spanish Royal Spanish Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU)</p> <p>Articles 4, 19, 119 140, 146 of the Catalan Law 1/2003 (Universities of Catalonia, LUC)</p> <p>Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)</p> <p>Spanish Royal Decree 2/2015 (Workers' Statute, ET)</p>	<p>PhD students undergo an annual follow up, according to the protocol of Universitat Autònoma de Barcelona (UAB).</p> <p>The work of IFAE researchers is evaluated with a broad set of indicators, such as impact factors of their publications, invitations to plenary talks in international conferences.</p> <p>Currently, running external evaluations on regular basis is very much limited by the economic context that does not allow to establish economic incentives.</p>	<p>A protocol for such evaluations, establishing the scope, mechanisms and periodicity of these evaluations.</p>	<p>The Management Team will approve a protocol. The first evaluations should start within 36 months.</p>

**12. Recruitment**

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Article 16 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Title IX and 11th and 24th additional dispositions of the Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU)</p> <p>Articles 5 and 69 of the Spanish organic Act 3/2007 (Effective Equality of Men and Women)</p> <p>Title II and 10th additional disposition of the Catalan Law 1/2003 (Universities of Catalonia, LUC)</p> <p>Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)</p> <p>Spanish Royal Decree 2/2015 (Workers' Statute, ET)</p>	<p>All recruitments follow these principles, but there isn't any written protocol establishing them.</p>	<p>The Code of Best Practices (see Principle 1) should include these principles of the European Charter and Code for Researchers.</p>	<p>See Principle 1.</p>

### 13. Recruitment (Code)

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 16 of the Spanish Act 14/2011 (Science, Technology and Innovation) Article 62 of the Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP) Spanish Royal Decree 2/2015 (Workers' Statute, ET)	All recruitments follow these principles, but there isn't any written protocol establishing them. Candidates in the short list are informed about prospects of career development, but this information is not included in the job advertisements.	The Code of Best Practices (see Principle 1) should include these principles of the European Charter and Code for Researchers.	See Principle 1.

#### 14. Selection

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 16 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Articles 51 and 53 of the Spanish Organic Act 3/2007 (Effective Equality of Men and Women)  Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)  Spanish Royal Decree 2/2015 (Workers' Statute, ET)	Diverse expertise and gender balance are taken into consideration, but people from the private sector are seldom requested to be members of the Selection Committees.  Selection processes include personal interviews.  For PhD students and postdoctoral positions, selection processes involve internal committees at the institute or project level. For senior level, committees usually include participation of external experts.	No further measures required.	

### 15. Transparency

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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 16 of the Spanish Act 14/2011 (Science, Technology and Innovation) Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU) Catalan Law 1/2003 (Universities of Catalonia, LUC)	Candidates are fully informed about the recruitment process, selection criteria, number of available positions and career development prospects.  Strengths and weaknesses of the applicants are only reported under request.	No further actions required, since some of the advertised positions receive over a hundred applications, to answer all unsuccessful applications with an individual report including a SWOT would require a workload that IFAE and its evaluators are in no conditions to take.	

### 16. Judging merit

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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Spanish Act 14/2011 (Science, Technology and Innovation) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)	All selection processes take into consideration the overall potential of the candidates as researchers. Bibliometric indices are balanced with other merits.  Candidates from an industrial background are hardly found.	No further rules or practices required.	

### 17. Variations in the chronological order of CVs

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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 16 and 18 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Articles 56 and 57 of the Spanish Organic Act 3/2007 (Effective Equality of Men and Women)	A wide range of qualifications and achievements is taken into consideration.  Mobility between sectors or scientific domains is not penalised.	No further measures required.	

### 18. Recognition of mobility experience

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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 14 and 17 of the Spanish Act 14/2011 (Science, Technology and Innovation)	We consider geographical and virtual mobility as a plus.  Researchers at IFAE are encouraged to submit applications to calls funding stays abroad.	No further measures required.	

**19. Recognition of qualifications**

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
	Our evaluators are fully familiar with the above qualifications.	For postgraduate students -with a degree issued by a foreign university- candidates to do a PhD at Universitat Autònoma de Barcelona (UAB), one should request from UAB a confirmation that the student fulfils the academic requirements to register to the UAB Doctoral School before being admitted at IFAE.	IFAE's Administration Area, within 6 months.

## 20. Seniority (Code)

The levels of qualifications required should be in line with 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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 16 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)	This consideration is taken into account in all calls made so far.	No further measures required.	

### 21. Postdoctoral appointments

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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 61 of the Catalan Law 1/2003 (Universities of Catalonia, LUC)	These considerations are taken into account in all postdoctoral positions offered by IFAE, though they are not established on a written document.  Postdoctoral positions are internationally advertised, through relevant journals and related websites.	No further measures required.	

**22. Recognition of the profession**

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation) Articles 2, 40 and 68 of the Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU) Catalan Law 1/2003 (Universities of Catalonia, LUC) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP) Spanish Royal Decree 2/2015 (Workers' Statute, ET)	IFAE already abides by this rule.	No further measures required.	

### 23. Research environment

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Article 5 of the Spanish Act 31/1995 (Preventing Work Risks)	IFAE offers a satisfactory working environment, including meeting rooms, video meeting facilities and space for coffee breaks.  Furthermore, IFAE enjoys the environment of the UAB's university campus, and IFAE's personnel have access to some of its facilities, such as libraries and sport facilities, in the same terms as UAB's personnel.	No further measures required.	

#### 24. Working conditions

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>11th additional disposition of the Catalan Law 1/2003 (Universities of Catalonia, LUC)</p> <p>Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)</p> <p>Spanish Royal Decree 2/2015 (Workers' Statute, ET)</p> <p>Catalan Act 8/2006 (Measures for the conciliation of personal, family and working life of the staff at the service of the public administrations of Catalonia)</p>	<p>No software control to record attendance at IFAE.</p> <p>Flexible working hours and tele-working are a common practice at IFAE, but there are no specific rules and it is not established anywhere.</p> <p>There is flexibility for stays of research outside IFAE.</p> <p>No protocol for sabbatical leaves.</p> <p>Children of personnel from IFAE have access to UAB's sports facilities in the same terms as UAB's personnel.</p>	<p>The Code of Best Practices (see Principle 1) should include a reference to these aspects of professional responsibility.</p> <p>Need to establish a protocol for sabbatical leaves and for more specificity on tele-working rules.</p>	<p>Code of Best Practices: see Principle 1.</p> <p>The Management Team should establish a protocol for sabbatical leaves and more specific rules for tele-working within 9 months.</p>

### 25. Stability and permanence of employment

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)  Spanish Royal Decree 2/2015 (Workers' Statute, ET)	IFAE supports the applications of its researchers to public calls for stable positions (such as ICREA or Ramón y Cajal).  IFAE's own calls for permanent positions are subject to the economic context.	No further measures required.	

## 26. Funding and salaries

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 25 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)  Spanish Royal Decree 2/2015 (Workers' Statute, ET)	Salaries are competitive with the ones offered by top research centres within Spain.  Following the Spanish legal framework, Social Security provisions are compulsory. Social security benefits include sickness, parental and unemployment benefits, as well as pension rights. However, in case of long term stays abroad it is not clear what the situation is; for instance, after 2 years at CERN the Social Security rights cannot anymore be translated to the foreign country.	Social Security issues regarding long term stays abroad should be clarified.	Human Resources Area within 3 months.

**27. Gender balance**

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and material 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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation) Articles 5, 27, 41, 50, 51 and 60 of the Spanish organic Act 3/2007 (Effective Equality of Men and Women) Article 72 of the Catalan Law 1/2003 (Universities of Catalonia, LUC) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP) Spanish Royal Decree 2/2015 (Workers' Statute, ET)	There is no gender discrimination, yet IFAE lacks a written protocol dealing with gender issues as part of the general Diversity Plan. Selection and promotions are evaluated solely on the base of scientific criteria. Only 20% of IFAE's researchers are women. This is not due to a discriminating policy against women or a bias in selection processes but to an overall trend in research, particularly in the Physics and Engineering domain: only 16% of the applications submitted to the European Research Council, and 14% of the funded projects, in this domain correspond to female researchers.	Recommendation to attain gender balance should be included in the Diversity Programme. These recommendation should include actions aimed at encouraging women researchers to apply for research positions at IFAE.	See Principle 10.

## 28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personnel 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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Articles 25 and 26 of the Spanish Act 14/2011 (Science, Technology and Innovation)</p> <p>Articles 40, 41, 42, 43, 76 and 14th additional disposition of the Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU)</p> <p>Article 46 of the Spanish organic Act 3/2007 (Effective Equality of Men and Women)</p> <p>Academic degree preamble of the Catalan Law 1/2003 (Universities of Catalonia, LUC)</p> <p>Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)</p>	<p>There are no regulations regarding support and guidance for the personnel and professional development of researchers.</p> <p>Postgraduate students have a mentor from the Universitat Autònoma de Barcelona (UAB).</p> <p>Though there is no explicit rule specifying it, in practice the Principal Investigator of each project mentors his/her postdocs.</p>	<p>Actions to facilitate information about professional opportunities beyond IFAE. Former IFAE researchers could be a valuable source of information and guidance.</p>	<p>Management Team, within 24 months.</p>

### 29. Value of mobility

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 17 of the Spanish Act 14/2011 (Science, Technology and Innovation)  Articles 30 and 111 of the Catalan Law 1/2003 (Universities of Catalonia, LUC)	We consider geographical and virtual mobility a plus.  Stays outside IFAE are quite common.  Inter- and trans-disciplinary research is considered a strategic line of action.	Mobility between the public and the private sector should be fostered. Actions leading to facilitate information about professional opportunities beyond IFAE. Former IFAE researchers could be a valuable source of information and guidance.  Need for improved administrative support dealing with stays abroad.	Information about professional opportunities beyond IFAE: see Principle 28.  IFAE's Human Resources Area should enhance the administrative support for stays abroad, within 3 months.

### 30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
	Information on calls, both within Spain and abroad, is offered, but in unstructured and "non regular" ways. There is no professional guidance.	Actions to facilitate information about professional opportunities beyond IFAE. Former IFAE researchers could be a valuable source of information and guidance.	See Principle 28.

### 31. Intellectual Property Rights

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 14, 36 and 19th additional disposition of the Spanish Act 14/2011 (Science, Technology and Innovation)  Articles 67 of the Catalan Law 1/2003 (Universities of Catalonia, LUC)  Spanish Royal Decree 1/1996 (Revised text of the Intellectual Property Act)	IFAE's Regulation of Industrial and Intellectual Property, but some researchers are not aware of its existence.	The Code of Best Practices and the Welcome package must include a reference to IFAE's regulation of Industrial and Intellectual Property.  A specific training in order to make sure all researchers are fully aware of the legal framework and IFAE's rules.	Code of Best Practices: see Principle 1.  Welcome package: see Principle 1.  Specific training: IFAE's KTT unit within 6 months.

### 32. Co-authorship

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

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Spanish Royal Decree 1/1996 (Revised text of the Intellectual Property Act)	International collaboration, and thus co-authorship, is IFAE's usual practice.  IFAE's Regulation of Industrial and Intellectual Property.	No further actions required.	

### 33. Teaching

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation) Catalan Act 21/1987 (Incompatibilities of personnel at the service of the Administration of the Government of Catalonia)	IFAE is not a higher education institution, but it has reached various agreements with Universitat Autònoma de Barcelona (UAB) regarding this issue: <ul style="list-style-type: none"> <li>○ Agreement for the adscription to IFAE of UAB staff.</li> <li>○ Agreement for official postgraduate teaching (remunerated).</li> <li>○ Some postgraduate students have specific agreements allowing them teaching at UAB up to 15 hours per academic year.</li> </ul>	To enhance the information that PhD students and postdocs at IFAE have about the possibilities of teaching at UAB.	Supervisors of postgraduate students, within 6 months.

**34. Complaints/appeals**

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers. 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.

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 66 of the Spanish Royal Decree 14/2012 (modified text of the Organic Act for Universities, LOMLOU)  Spanish Royal Decree 2/2015 (Workers' Statute, ET)  Article 30 of the Catalan Law 20/1992 (Legal regime for Public administrations and Common administrative procedure)	There isn't a protocol establishing such figures and procedure. Complaints and appeals are addressed, directly or indirectly, to IFAE's director.	Need to establish a written protocol for complaints and/or appeals, including the regulation of an ombudsman-type figure. The protocol should be approved by IFAE's Governing Board.	Working Group appointed by the Management Team within 24 months. It would be submitted to IFAE's next Governing Board.

**35. Participation in decision-making bodies**

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
	<p>The Director of IFAE is a senior researcher.</p> <p>The Director of IFAE is member of the Governing Board, along with three members nominated by the Government of Catalonia and three by Universitat Autònoma de Barcelona.</p> <p>Senior researchers also make the two information and consultation bodies within IFAE: the Management Group (which meets once a week) and the Advisory Group (which meets once a month).</p> <p>Personnel at IFAE is not familiar with the composition and running of these bodies and with the content of its meetings.</p>	<p>A reference to this decision-making bodies should be included in the Welcome Package.</p> <p>To inform about the issues to be debated by the Advisory Group and, when suitable, to promote the participation of IFAE personnel at large.</p> <p>Mechanism to report about the decisions of these bodies.</p>	<p>Welcome Package: see Principle 1.</p> <p>Measures to inform on the issues to be debated and to report on its decisions: Management Team, within 3 months.</p>

### 36. Relation with supervisors

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Spanish Royal Decree 99/2011 (Regulation of PhD Studies)	PhD students from IFAE have, in addition to a Universitat Autònoma de Barcelona (UAB) tutor, a supervisor from IFAE's research staff. Since IFAE does not issue titles, the structure and terms of this relationship is fully satisfied through the UAB.	No further measures required.	

### 37. Supervision and managerial duties

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
	Senior researchers are fully committed to activities such as undergraduate and postgraduate supervision, coordination of international projects or managing roles in Evaluation Committees.	No further actions required.	

### 38. Continuing Professional Development

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP)	Researchers at all career stages are very active in a wide range of such activities. IFAE regularly organises seminars, conferences and workshops.	No further actions required.	

### 39. Access to research training and continuous development

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Article 14 of the Spanish Act 14/2011 (Science, Technology and Innovation) Spanish Act 7/2007 (Basic Public Employee Statute, EBEP) Spanish Royal Decree 2/2015 (Workers' Statute, ET)	Information on courses, conferences, schools, workshops and seminars are regularly displayed at IFAE, and widely announced by e-mail.	The Code of Best Practices should refer to this existence practice as a "must".	See Principle 1.

#### 40. Supervision

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

<b>Relevant legislation</b> (permitting or impeding the implementation of this principle)	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
Articles 11, 12 and 13 of the Spanish Royal Decree 99/2011 (Regulation of PhD Studies)	In all areas, internal meetings with all researchers involved are held on a regular basis.  All postgraduate students have a supervisor to report to.	No further measures required.	

## ANNEX 4: Timeline of IFAE's Action Plan

	2016			2017				2018				2019
	2T	3T	4T	1T	2T	3T	4T	1T	2T	3T	4T	1T
1. Centralising relevant documents in a repository	■											
2. Setting additional mechanisms to familiarise researchers with key information	■	■										
3. Welcome Package	■	■	■	■								
4. Diversity Programme	■	■	■	■								
9. Greater support from the Administration Area for issues dealing with stays abroad	■											
12. Confirming that PhD students fulfil academic requirements	■	■										
13. Mechanisms to inform PhD students and postdocs about teaching at UAB	■	■										
5. Protocol on Information Technologies safety		■	■									
6. Protocol for sabbatical leaves		■	■									
14. More specific rules on tele-working		■	■									
15. Ensuring that all trips are covered by a travel insurance		■	■	■								
7. Code of Best Practices				■	■	■	■	■				
8. Protocol for complaints and appeals				■	■	■	■	■				
10. Talks about professional opportunities beyond IFAE				■	■	■	■	■				
11. Setting an evaluation/appraisal process							■	■	■	■	■	■