



COMPUTER VISION CENTER

HUMAN RESOURCES STRATEGY FOR RESEARCHERS

ACTION PLAN 2015-2017

April 2015

Executive Summary

The Computer Vision Center (CVC) is a non-profit institution founded in 1995 by CIRIT (*Consell Interdepartamental de Recerca i Innovació Tecnològica*), CIDEM (*Center d'Innovació i Desenvolupament Empresarial*) and UAB (*Universitat Autònoma de Barcelona*).

It hosts approximately 100 researchers including scientists, PhD students, and post-docs from all over the world that have been selected for their excellent curriculum and who in return, have chosen the CVC because of its prestige and national leadership in this field. Prove of its growing prestige is the number of publications and projects. CVC's mission is to carry out research of renowned quality and international impact, to transfer knowledge towards companies and society, and to train high-level scientists.

In July of 2013, the CVC signed its commitment to the principles of the **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers (Charter and Code)**. The HR Strategy for Researchers will help complement several initiatives that want to be implemented at the CVC. Likewise, it provides a common framework to establish a comprehensive and coherent HR strategy adopting international best practices and high-quality standards. An institutional strategic reorientation towards human capital will also allow CVC to sustain excellence in research by reviewing, improving and consolidating policies to attract and develop academic and research support staff of the highest quality. The Excellence in HR logo will also enhance the international visibility of the CVC as a provider of an attractive workplace for researchers and will be an added value in the EU funding landscape, having an impact on the CVC as a whole.

HR Vision

The CVC believes that its personnel are a reflection of the center itself. Therefore, if they excel personally and professionally, the CVC also excels as an institution. Hence the CVC strives to recruit the best personnel and offer the best possible conditions so researchers can develop their work under equal opportunities, with the highest ethical standards, and a balance between their personal and professional life.

HR Objectives

1. Promote and enhance recruitment policies to attract top talent and train the next generation of scientists.
2. Provide a positive work environment that builds on the principles of equal opportunities and work-life balance.
3. Support talent through career development, including guidance to researchers looking for their next professional step inside and beyond the CVC.
4. Develop an integrated set of transparent HR policies and Code of Conduct to ensure ethical integrity at all levels throughout the CVC.
5. Deliver high quality and professional HR services to the CVC community.

Context

CVC is a research Center whose personnel come from different backgrounds, being the most representative two types of personnel: researchers who are recruited by the CVC, and those who are appointed to the CVC but are recruited by other universities (mostly from the *Universitat Autònoma de Barcelona*, but not exclusively).

In this particular structure, research personnel recruited by the university are expected to follow and respect those guidelines and regulations established by the university. However, the CVC is also part of the university's community and hence, CVC takes advantage of these internal regulations and applies them to its own research personnel. Specifically, the CVC takes advantage of the UAB's Code of Good Practice of Research and the Code of Good Practice of the Doctoral School.

The CVC is aware of the need of having its own written internal rules and control mechanisms (such as its own Code of Good Practice or an Equality Plan of global assessment framework) that reflect the different backgrounds of its researchers. Moreover, they should also reflect the added value of working at the Center. In this sense, the CVC is aware of the need to clearly identify the benefits of belonging to the CVC with regards to the development of the professional career, as well as a transparent assessment of the outcomes of CVC researchers (both recruited by the CVC or appointed to the CVC) in order to acknowledge the excellence in their research tasks.



The CVC is currently involved in the preparation of its Strategic Plan for 2015 to 2019. For the definition of the Strategic Plan, the center is having open discussion sessions to which all researchers are invited to participate. The center believes that by involving its research personnel, the outcome will be even better. In this context, the center aims to align its HR objectives with those set in the Charter and Code and would like to use the HRS4R as part of its HR strategy.

Definition of the Action Plan

The actions proposed in the Action Plan have been defined in an inclusive and open process which began in May 2014 and finished in April 2015.

The process of defining the action plan involved an internal working group, meetings with representatives from different research professional categories and a staff meeting with all researchers of the CVC (the Center has approximately 100 researchers of all categories, hence it is feasible to hold a meeting in which everyone can participate).

The working group reviewed the rules and practices regarding HR that are currently in place at the CVC. The legislation framework used in this analysis is based on the Spanish Law 14/2011, of Science Technology and Innovation, as well as the Code of Good Practices in Research – UAB and the Code of Good Practices in the UAB Doctoral School. The working group consisted of 5 people including both researchers and administrative personnel. The working group analyzed the 40 principles of the European Charter for Researchers and identified those that were more feasible to improve in complexity and in a timely manner.

A different group of 3 researchers representing different categories (a CVC own researcher, an appointed Lecturer and an appointed Associate Professor, from which two are male and one female), were asked to review and analyze the 40 principles of the European Charter for Researchers. Their points of view and suggestions were taken into account and included in the working group study defining the gap analysis.

Finally all CVC researchers were invited to participate in a discussion meeting. In this session they were asked to identify causes-problems-consequences related to the human resources area as well as their impact within the Center.

When all this information was gathered, the gap analysis document was edited and then the action plan was drafted. The final version of the action plan, comprising 5 main actions, was refined jointly with the CVC head team.



Below is the timeline for meetings and actions taken as mentioned above:

- 16 May 14** Meeting with representatives of CERCA (Catalan Agency of Research) who are in charge of disseminating the HR Excellence Logo: Engagement in the HRS4R strategy.
- 27 May 14** First internal working group meeting: Definition of the actions and milestones.
- 2 Jun 14** UAB session explaining how was their process to obtain the HR logo: Identification of the UAB context.
- 22 Jul 14** Second internal working group meeting: Study of the 40 principles.
- 2 Sep 14** Third internal working group meeting: Discussion of the 40 principles with representatives of different research categories. Identification of fundamental axes of action.
- 19 Sep 14** CERCA seminar on the process to obtain the HR Excellence logo.
- 7 Nov 14** CVC General meeting: Open discussion of the model of research profile for the CVC.
- 2 Dec 14** Forth internal working group meeting: First draft for gap analysis document.
- 5 Dec 14** CVC General meeting: Definition of the main problems related to the HR at CVC.
- 16 Dec 14** Final gap analysis and draft of the action plan
- 18 Dec 14** Review of the final document.
- 22 Dec 14** Submission of the HRS4R application and the action plan: Publication in the CVC website.
- 29 Jan 15** Reply from the ER Team
- 9 Feb 15** Fifth internal meeting to reevaluate our proposal and distribute tasks.
- 14 Apr 15** Meeting for reaching a final version.
- 27 Apr 15** Consensus meeting regarding the final version.
- 30 Apr 15** Resubmission of our HRS4R.



Internal Gap Analysis

L1	Spanish Law 14/2011, of ScienceTechnology and Innovation
C1	Code of Good Practices in Research - UAB
C2	Code of Good Practices in the UAB Doctoral School

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	Existing Institutional rules and/or practices	Current situation	Actions required
L1- Art. 14 a), b), f)	- C1/C2		- None

2. Ethical principles

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1- Art. 10, 15	- C1/C2	- The Center does not have a written document on this regard.	- Take advantage of the European Charter for Researchers, as well as the Code of Conduct for the Recruitment of Researchers, and disseminate it within the Center. Make it accessible to everyone by uploading it to our intranet.

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	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 15	- C1/C2		- None
4. Professional attitude Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 6		- This is already implemented in the Center.	- None
5. Contractual and legal obligations Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.21	- Appointment agreements - IPR agreement (template)	- As most of our researchers come from universities, the CVC has signed appointment agreements with these universities. Thus, there are different frameworks. - However, in their contracts it is well established their obligations with the Center. - There is annual report in which all scientific production of researchers (articles, patents, projects, etc.) is presented. - The Center has a KTT officer who is in charge of IPR. She is available for all researchers in case they need advice on these matters.	- None
6. Accountability Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required



L1-Art. 15	<ul style="list-style-type: none"> - Research statement (RS) - Coneix (internal managing software) 	<ul style="list-style-type: none"> - The Research Statement is a personal commitment of each researcher related to his/her goals. Research outcomes are accessible to everyone. - Coneix allows researchers to manage their projects more efficiently and to have a transparent accounting analytics. 	- None
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7. Good practice in research

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
	<ul style="list-style-type: none"> - C1/C2 - Fire alarm tests - Workplace hazard prevention measures - Backup policy regarding shared servers 	<ul style="list-style-type: none"> - Evacuation drills are not done properly. - Each researcher is responsible of his/her personal backups. - Every person that is given access to the Center has to sign a confidentiality agreement. 	- None

8. Dissemination, exploitation of results

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.15.c	<ul style="list-style-type: none"> - C1/C2 - Publications and technology transfer actions are posted in our website 	<ul style="list-style-type: none"> - Information is not well structured in the web according to the CVC structure. - Results with really good potential are not being exploited. 	<ul style="list-style-type: none"> - Improve accessibility of our website - Define and implement a proper KTT strategy linking research and technological transfer, identifying internal value and external opportunities

9. Public engagement

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required



L1-Art.15.c	- C1/C2 - CVC has accounts in Twitter, Facebook and Youtube. - All activities are posted in the website	- There is an effort in communication with society and its implantation across the country through agreements with public institutions.	- None
10. Non discrimination Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 14.d		- The Center is currently writing an Equality plan	- Dissemination and implementation of the plan
11. Evaluation/ appraisal systems Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
	- CVC score system based on researchers indicators - The Strategic Plan includes a section where it is defined how to assess researchers.	- Right now, information is implicit. There are no written reports and little feedback is given by the Direction of the Center regarding suitability of results.	- Deploy evaluation methods with explicit targets - Define incentives

II. Recruitment

12. Recruitment Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 16			- None



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	Existing Institutional rules and/or practices	Current situation	Actions required
	- Individual international calls template	- Although there is not a written manual, we do have a standard procedure for calls. This includes posting the position in EU webs such as Euraxess and our website.	- None.

14. Selection (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 16	- Brief description of the selection process explained to the selection committee	- We use selection committees for our own positions (most of our researchers have been recruited by the university, which has its own selections processes).	- None

15. Transparency (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 16.2b		- All relevant information regarding the process is explained in the call. - A short report made by the Scientific Advisory Committee is provided to all candidates.	- None



16. Judging merit (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		- Candidates' merits are evaluated following widely accepted criteria based on publications and participation in projects, as well as leadership skills.	- None

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

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

18. Recognition of mobility experience (Code)

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

19. Recognition of qualifications (Code)

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

20. Seniority (Code)

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

21. Postdoctoral appointments (Code)

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required



		- There is no written document regarding all these principles. However, the Center strongly believes in everything stated in the above mentioned principles.	- Take advantage of the Charter and Code and disseminate this information to all research personnel.
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III. Working conditions and social security

22. Recognition of the profession

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.14		- The Center recognizes its researchers as professionals no matter the level in which they are. However, the absence of a clear definition of the career progression may generate, in some cases, some confusion about their commitment and obligations at each position level.	- Define (revise) a career progression plan.

23. Research environment

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.14		- The Center promotes mobility and collaboration with other research Centers around Europe and America. - The Center does different activities such as reading groups, seminars, workshops.	- None



24. Working conditions

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 14		- The Center is adapted for people with physical disabilities. - The Center promotes, when possible, flexible working hours, part-time working, and tele-working.	- None

25. Stability and permanence of employment

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 25		- The Center abides with the Spanish legislation regarding this matter.	- None

26. Funding and salaries

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art. 25		- Salaries are categorized and standardized. The information is available to everyone on the intranet. - The Center abides with the Spanish legislation regarding this matter.	- None



27. Gender balance

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		- Our Equality Plan covers this point. It was recently approved.	-Disseminate and implement Equality Plan.

28. Career development

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.28	- CVC's Strategic Plan includes a Personal Research Statement in the context of leadership of Lines of Excellent Research.	- Specific career development strategies are not developed within the framework of human resources management, but individually in the context of mentors.	- Follow up and assessment of the Personal Research Statement.

29. Value of mobility

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		Researchers of all levels at the Center: - Do internships with companies - Work in trans-disciplinary research groups - Do research stays	- None



30. Access to career advice Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		The Center offers: - Innovation labs for the creation of spin-off companies - Doctoral committees	- None
31. Intellectual Property Rights Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
L1-Art.14	- C1 - CVC's IPR agreement template	- There is an IPR agreement, although it is not well known among researchers - The Center also has a person in charge of KTT. She is available to assist all research personnel and is in charge of IPR matters.	- None
32. Co-authorship Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).			
Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
	- C1	- Co-authorship is a welcomed practice. However, there is not a standard policy on how to sign the papers.	- Define a set of recommendations on how to sign papers



33. Teaching

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		- Teaching is common practice among researchers of all levels.	- None

34. Complain/ appeals

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		- Complaints are addressed by the Direction	- Appoint someone to be in charge of addressing complaints and/or suggestions. - Write a guideline on how to proceed in case of a complaint.

35. Participation in decision-making bodies

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		- All researchers participate in regular R&D meetings in an open assembly. PhD students do not participate in the debates.	- Create a PhD committee, so they can participate in these meetings.



IV. Training

36. Relation with supervisors

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

37. Supervision and managerial duties

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

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.

40. Supervision

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

Relevant legislation	Existing Institutional rules and/or practices	Current situation	Actions required
		The Center believes that a good relation between PhD students and their supervisors is one of the most important things when pursuing a doctorate. Hence, the Center has always recommended to PhD students and supervisors to meet on a regular basis. Supervisors devote a good deal of time to their students so they can finish their doctorates.	- None



Conclusions

Taking into consideration the remarks made by the ER Team on our initial submission, we have addressed our analysis in this conclusion section. Below is a thorough explanation of all the principles that need to be taken care of, as well as the actions needed to be performed in order to improve our weaknesses.

After carrying out the Gap Analysis, we have found that our Center abides most of the principles of the Charter and Code. However, we have detected that we need to improve in some aspects. As the Center is small in comparison to other research Centers (approximately 100 people including researchers and support personnel), we have not had the need to have all common practices in writing, since everyone has access to consult or ask in a direct way. Nevertheless, we are aware of the need of having in writing all these common practices in order to have standardized processes.

Ethical and professional aspects

In this section, we have detected that Principle 2 can be fulfilled by making more visible the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers to all research personnel. In this sense, the center has already signed its commitment to the Charter and Code. We now need to disseminate throughout all members these principles and create awareness of their value as a human resources tool that can help them in their professional careers. In general, visibility and accessibility to this and all the available documents is one of the actions to be implemented within the Action Plan, and in this sense both the improvement of both the CVC website and the intranet tools are expected to facilitate this task.

In this line, and particularly linked to Principle 8, we see the need improve our website in order to make it more accessible so that information related to projects, publications and all the CVC assets can be easily accessible, not only to the general public but also to our own researchers. Likewise, we propose the use all social media tools to have the most possible exposure of our researchers and their achievements. Regarding the exploitation of the results, though we have a proper KTT strategy that links research and technological transfer, the identification of internal value and external opportunities is inefficient at this moment, since researchers are not always aware of the channels to give added value to their outcomes. This is part of the KTT strategy, which is also linked to our Strategic Plan for the next four years and the action needed are both the explicit exposure of these protocols to the researchers and the implementation of the innovation vigilance protocol by the KTT officer.

Principle 10 is related to non discrimination. In March 2015 our Equality Plan was approved by the Governing Board of the CVC. The next step is to disseminate the plan among our personnel so it can be implemented, including the identification of an Equality Agent and the definition of a protocol for complaints. We have attached a copy of the Equality Plan in the

annexes (now in Catalan language, to be translated it into English so it can be accessible to everyone –this is also linked to Principle 27).

Although the CVC presents evaluation methods with explicit targets in a regular basis, as mentioned in Principle 11, we have identified that there is not a clear perception about the impact of getting a “very positive” or “very negative” evaluation result, being the general feeling that assessments are not relevant. Once again, linked to one of the tasks related to the ongoing strategic plan is the explicit implementation of a list of consequences and incentives regarding the evaluation processes that are to be perceived by the workers in clear way.

Recruitment

Principles 17 to 21 are abide by the center. We have no written document of these regards, so explaining the Charter and Code to researchers point by point can make them aware of the benefits of the center’s acknowledgement of these principles, and hence we identify a task in this line.

Regarding dissemination, the CVC posts its jobs offers in its website as well as a mailing list. All EU funded posts are also posted in the Euraxess Job website. They are also advertised in social media (Facebook, Twitter and LinkedIn).

Working conditions and social security:

The center abides with all current legislation on working conditions and social security. Moreover, the center has recently approved its Equality Plan, which will add value to our HR strategy. Nonetheless, the center has to improve its feedback mechanisms so researchers know their situation within the center.

Particularly regarding Principle 22, we identified the need of explaining more clearly the career plan to the researchers in the center, including it as a part of the welcome pack for both senior researchers and PhD students. In the line of Principle 28, these commitments are to be integrated in a clear way in contracts, and a transparent policy of authorship that does not allow abuses in authorship as stated in Principle 32, are expected to be present in these documents.

Although the addressing of complaints is not perceived as a particular problem in the CVC, in the case of equality issues, our Equality Plan covers this matter, explaining the steps to formulate a complaint and the designation of a person in charge of handling these matters, as stated in Principle 32.

Training

Although there is always room for improvement, we have considered that in this section, the Center abides to all principles. Hence, for this first implementation of the HRS4R we do not consider we need to take any critical measures on these regards.



ACTION PLAN 2015 – 2017

The CVC has already started working on the implementation of many of these actions. The current timeframe of the Action Plan are two years: 2015 and 2016, after which we will do an internal assessment and propose new actions that can be taken over starting in 2017.

Related principles	Action	How	Responsible	Time frame
8,11	Improve website and intranet tools to increase awareness among researchers about their results.	Develop the current tools and edit documents, which make clear statements of commitments.	Marketing + Communications office	Q3 2015
2, 17-21	Disseminate the Charter and Code to all research personnel, so everyone in the Center knows about the benefits of the HRS4R.	Organize a general meeting where the HRS4R is explained. All information regarding the HRS4R and the Charter and the Code should be available through the intranet as well as the Center's website.	Marketing and Communications office + HR officer	Q3 2015
27,10	Disseminate the Equality Plan to all personnel	The Equality Plan has been recently approved by the Governing Board of the Center. Do a brief meeting with all the staff to present this new plan. Within our Equality Plan we have already addressed the need of having a guideline and a person in charge of complaints.	HR officer	Q4 2015

Related principles	Action	How	Responsible	Time frame
8	Implement a KTT innovation vigilance protocol and inform all research personnel about it in order to ensure correct dissemination and exploitation.	Develop the Center's Strategic Plan for 2015-2019, in which a KTT strategy is taken into account.	KTT officer	Q4 2015
11, 22, 28	Improve the follow-up mechanism of the career progression of researchers .	Define an explicit career plan and explain it in a written document to all the personnel. Define and explain clearly the consequences of a very good or a very bad evaluation (aligned with the strategic plan).	Associate director	Q4 2016
13, 35	Improve the recruitment guideline	Definition of a welcome pack, which includes pointers to all written documents that a researcher must know at CVC.	Associate director	Q2 2016

