



A Human Resources Strategy for CREA F Researchers
Incorporating the EU Charter and Code

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FOREWORD

This document describes the **Strengthened Human Resources Strategy for Researchers (HRS4R)** through which the Centre for Ecological Research and Forestry Applications (CREAF) will help its researchers and researchers' employers to incorporate all the principles of the European Charter for Researchers and of the Code of Conduct (Charter and Code) in the centre's activity. **CREAF obtained the HRS4R award in May 2015 and now is facing the interim assessment scheduled after 24 months.** The document collects **both the initial internal analysis and the interim assessment review.** It also deploys a **revised Action Plan** with a set of actions inspired in all Charter and Code principles and collecting the OTM-R recommendations (as mandatory in the Strengthened HRS4R) 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 Code of Conduct for the Recruitment of Researchers (Charter and Code; C&C) 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 are also 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. The strengthened HRS4R states that *all* C&C principles have to be considered in the associated gap analysis and action plan.

The Centre

The Centre for Ecological Research and Forestry Applications (CREAF) is a public research centre devoted to terrestrial ecology, territorial analysis and global change, pursuing excellence in the generation and transfer of knowledge, management tools and methodologies. As acknowledged in the Centre's Mission and Vision, the Centre is aimed at achieving excellence in research, developing new methodologies, being innovative, promoting transference, training and disseminating on topics related to terrestrial ecology and environmental management, and helping society adapt to the impacts of global change while improving communication between researchers, managers and civil society.

Through excellence in research and development, CREAF strives to become a reference research institution in the Mediterranean and worldwide, that pushes the frontiers of knowledge while addressing some of the largest and most complex environmental challenges faced by society in this century. It aims to pursue these goals together with the development of a researcher working environment based on the Charter and Code principles for EU researchers.

The centre is currently (2017) composed of 194 people of whom 120 are research staff. These include 43 researchers (R3 and R4) that contractually pertain to five independent institutions: CREAF itself, the Autonomous University of Barcelona (UAB), the University of Barcelona (UB), the Spanish National Research Council (CSIC) and the Catalan Institution for Research and Advanced Studies (ICREA). There are also 14 associate researchers pertaining to other centres and universities, 26 postdoctoral and 37 predoctoral researchers.

CREAF is finishing the implementation of its 2014-2017 Strategic Plan, which was preceded by a SWOT analysis (*i.e.* the evaluation of strengths, weaknesses, opportunities and threats) of the centre. This analysis identified the need to implement a research-based differentiation strategy, with the identification of new funding sources, strategic alliances and new stakeholders. This was further defined as the pursuit of excellence in ecological research in the Mediterranean region, the improvement of knowledge transfer, and a rethinking of the internal organisation to improve the use of human resources and infrastructures.

CREAF's new strategy is being developed through 5 main axes and 12 strategic objectives (SO)

1. Research:

- SO-1.1 Carry out research which is excellent, innovative, and leading

- SO-1.2 Improve the international projection of CREAM and its position as a reference centre for terrestrial ecology and landscape and global change assessment in the Mediterranean region
2. Transference
- SO-2.1 Improve the transfer of knowledge and tools to public and private sectors
 - SO-2.2 Consolidate CREAM as a centre of support for decision-making in environmental management and planning
3. Organisation
- SO-3.1 Conduct economic management which improves fundraising and is based on economic sustainability
 - SO-3.2 Set up a strategy of investment and efficient use of infrastructure and services
 - SO-3.3 Establish a strategy for efficient organization
 - SO-3.4 Improve training and skills of staff
4. Training
- SO-4.1 Promote high-level scientific training.
5. Dissemination
- SO-5.1 Promote national and international visibility of centre within scientific and technical communities, public administrations and civil society
 - SO-5.2 Improve internal communication
 - SO-5.3 Promote CREAM's brand

By the acknowledgement of the adoption of the Charter and Code, CREAM will achieve a greater level of accountability and clarity in supporting these aims, all under a clear framework of rights and responsibilities for researchers, which in turn will ensure attractive careers and working conditions. Moreover, CREAM belongs to the CERCA institution (<http://cerca.cat/en/>) of public research centres in Catalonia. Up to date, 30 out of the 41 CERCA Centres have achieved the HRS4R award. In 2014 CERCA started a specific action to promote the elaboration of HRS4R action plans, including an individual discussion with each centre to start the award application process and the evaluation of the main HRS4R actions implemented every 4 years, coinciding with a general evaluation of the centre. Finally, the individual programme-contracts between each Centre and regional public administration include the measurement of achievements regarding HRS4R.

DESCRIPTION OF THE PROCESS

The development of the HRS4R of an institution is achieved by an internal analysis according to the C&C principles and, ending with the development and publishing of the HR Strategy on the institution's website. After the EC's acknowledgement that the institution has adopted a Human Resources Strategy for Researchers, the strengthened procedure of HRS4R sets up three main phases (initial, implementation, and award renewal; Fig. 1). It has also introduced a mandatory timeframe (fixed timeline of 12, 24 or 36 months for the different phases) and shortened the general procedure to fewer phases; institutions now

enter the renewal phase after having undergone the initial and the implementation ones. It has also incorporated the recommendations of the Open, Transparent, and Merit-Based recruitment (OTM-R) working group, in form of a checklist that should be performed from the initial phase progressing towards the renewal. Moreover, the implementation phase has incorporated the requirement of ‘embedding’ the HR strategy into the institution’s HR policy.

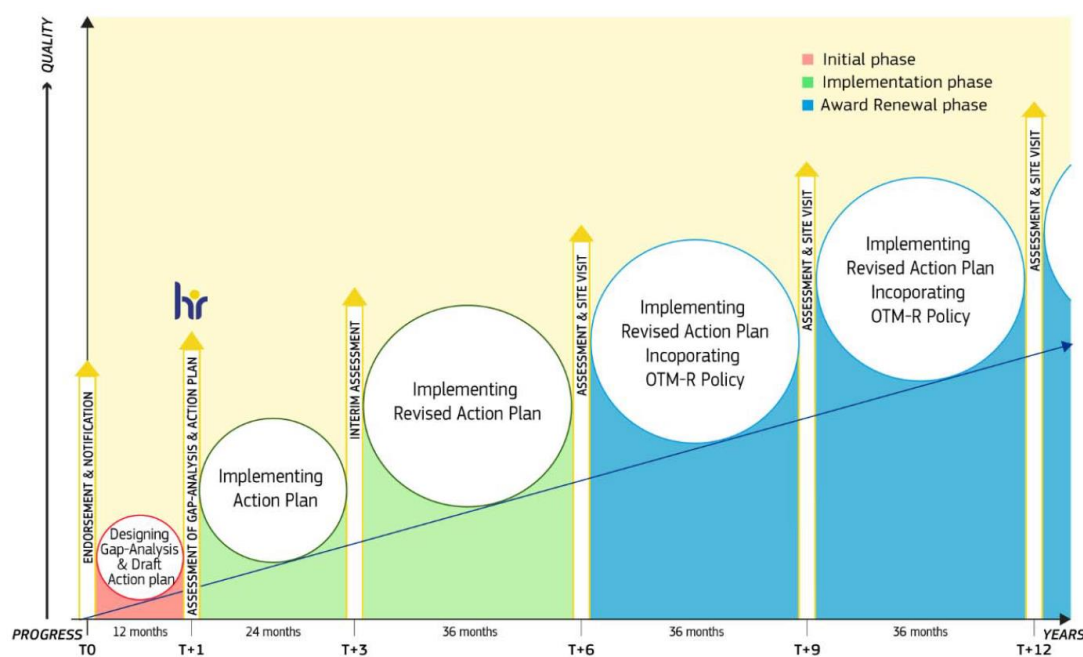


Fig. 1. Timeline and actions of the main phases of the HRS4R development.

CREAF HRS4R has reached its 24th month and, in consequence, a first interim assessment of its action plan has been performed. It should be noted that, as CREA’s HR strategy was set up *before* the implementation of the strengthened HRS4R protocol, adaptation to this last has been performed by including (i) a revised gap analysis including all C&C principles and (ii) a check-list of the completed OTM-R recommendations. The whole process, from the design and implementation, of the former HRS4R to its internal analysis is detailed below.

INITIAL INTERNAL ANALYSIS

The initial analysis of CREA at the beginning of the process in 2014 was led by the Management Team, following the general guidelines of CERCA (the Agency for Research Centres of Catalonia). The Management Team designated an HRS Commission, representative of CREA’s staff, and composed of researchers (Arnald Marcer, Maria Mayol and Joan Pino), technical staff (Anna Ramon and Anabel Sánchez) and the Administration Manager (José Antonio Fuentes). This commission has coordinated the internal analysis and the deployment of the resulting HR Strategy for Researchers from its publishing in 2015. In the future, it will coordinate the management of the associated action plan and its further self-

assessment after 2 years. Moreover, it will facilitate both the external assessments of the plan and the site visits associated to HRS4R implementation.

The internal analysis process consisted of the following steps:

<i>When</i>	<i>What</i>
April 2014	Set-up of the HRS4R Commission
May-July 2014	Preliminary review of the principles of the Charter and Code; survey design
September 2014	First institutional communication and public survey
October 2014	Gap analysis based on survey answers
November 2014-February 2015	Elaboration of the Draft Action Plan
April 2015	Approval by the Board of Trustees
May 2015	Approval by the CERCA Board
May 2015	Publication of the CREAF HR Strategy for Researchers on the Centre's website

Preliminary review of the principles

The HRS Commission performed a preliminary review of the principles of the Charter and Code and their application to CREAF's context. This review was performed in a series of meetings in which relevant legislation and internal rules enhancing or constraining the application of these principles – *i.e.* those affecting research environment, recruitment processes and working conditions - were identified and evaluated. The results of this process are summarized in Annex 1.

Survey

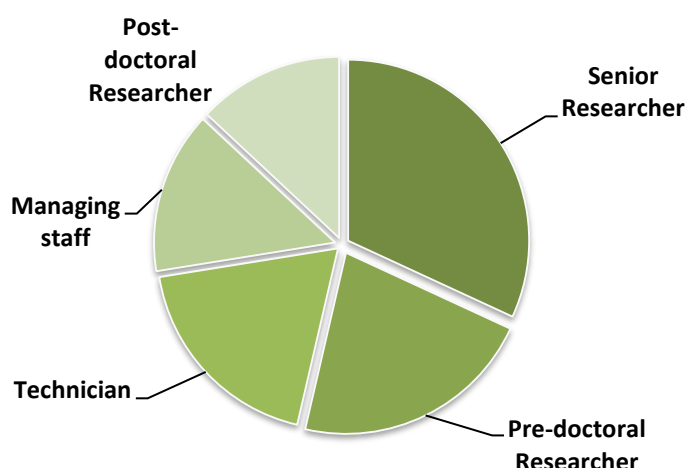
Because of the preliminary analysis, an anonymous survey consisting of specific questions based on the Charter's principle statements was performed. The survey was performed online using the *Google Forms*® platform while ensuring anonymity. Despite questions were specifically aimed at researchers, the survey was open to all CREAF staff to reflect the broadest view possible. Two basic assessments were required with each question about the Charter principles:

- How do you rate the importance of the question, from 1 (very low) to 5 (very high)
- How far is CREAF from achieving the objective, from 0 (very far) to 5 (already achieved)

A total of 30 questions were asked referring to the four groups of principles included in the Charter and Code (9 on *Ethical and Professional Aspects*, 4 on *Recruitment*, 14 on *Working Conditions and Social Security*, and 3 on *Training*).

Staff profile sample of the survey

Sixty-nine CREAM staff members answered the survey, from a total of 117 staff members (59% participation).



Category	Answer
Senior Researcher	22
Post-doctoral Researcher	9
Pre-doctoral Researcher	15
Technician	13
Managing staff	10
TOTAL	69

The results of the survey are shown in the following table. The percentage of responses, the mean value and the standard deviation obtained for each question are indicated in parentheses.

ETHICAL AND PROFESSIONAL ASPECTS

- 1 To what extent do you think CREAM researchers apply ethical and professional principles in their research (data collection and processing, publication and dissemination of results, etc.)?

Importance (98.55%, 4.84, 0.44)

Achievement (82.61%, 4.32, 0.74)

- 2 To what extent do you consider that CREAM researchers are responsible for the management (budget execution, monitoring deadlines, etc.) of research and transfer projects?

Importance (97.10%, 4.43, 0.63)

Achievement (88.41%, 4.07, 0.83)

- 3 To what extent do you consider that CREAM researchers are familiar with the legal regulations related to recruitment, Intellectual Property Rights, data protection, patents; etc.?**

Importance (100%, 4.09, 0.68) 

Achievement (85.51%, 2.85, 1.00) 

- 4 To what extent do you consider that CREAM researchers make an appropriate, transparent and accountable use of financial resources?**

Importance (100%, 4.80, 0.44) 

Achievement (89.86%, 4.26, 0.70) 

- 5 To what extent do you think that CREAM researchers adopt safe working practices regarding data protection and confidentiality of information?**

Importance (91.30%, 4.03, 0.90) 

Achievement (75.36%, 3.65, 0.84) 

- 6 To what extent do you think that CREAM researchers are involved in the eventual transfer and exploitation of their results?**

Importance (98.55%, 4.38, 0.79) 

Achievement (89.86%, 3.37, 1.16) 

- 7 To what extent do you think that CREAM researchers disseminate the results of their research to the general public and take into account their needs and concerns?**

Importance (98.55%, 4.34, 0.86) 

Achievement (91.30%, 3.37, 1.11) 

- 8 To what extent do you consider that CREAM doesn't discriminate against researchers on the basis of gender, age, language, political opinion, etc.?**

Importance (98.55%, 4.46, 1.19) 

Achievement (98.55%, 3.41, 1.01) 

- 9 To what extent do you consider that the CREAM's systems for evaluation of researchers are transparent and are well defined?**

Importance (94.20%, 4.65, 0.54)



Achievement (78.26%, 3.04, 1.06)



RECRUITMENT

- 10 To what extent do you consider that recruitment procedures of new researchers at CREAM are clearly specified with regard to the recruitment process and the selection criteria, the working conditions and entitlements, and the knowledge and competencies required?**

Importance (98.55%, 4.56, 0.58)



Achievement (88.41%, 3.33, 0.89)



- 11 To what extent do you consider that CREAM has appropriate selection committees, with enough experience and competences to guarantee a suitable selection of candidates?**

Importance (89.86%, 4.47, 0.67)



Achievement (71.01%, 3.24, 1.20)



- 12 To what extent do you think that CREAM selection / recruitment procedures take into account the whole merits of the candidates, apart from the number of publications (e.g. a diversified career, stays in other research centres, capacity of interaction and to develop independent research, etc.)?**

Importance (86.96%, 4.47, 0.70)



Achievement (66.67%, 3.43, 1.09)



- 13 To what extent do you think CREAM's rules for the appointment of postdoctoral researchers are clear enough concerning the maximum duration and the objectives of such appointments?**

Importance (85.51%, 4.37, 0.74)



Achievement (60.87%, 3.14, 1.14)



WORKING CONDITIONS AND SOCIAL SECURITY

- 14 To what extent do you consider that CREAM researchers are recognized at work and treated accordingly during all levels of their research careers?**

Importance (92.75%, 4.66, 0.60)



Achievement (91.30%, 3.49, 1.03)



15 To what extent do you consider that CREAM provides a stimulating environment for research and training?

Importance (100%, 4.77, 0.46) 

Achievement (98.55%, 4.00, 0.85) 

16 To what extent do you consider that CREAM provides appropriate facilities and equipment that ensure health and safety in research?

Importance (100%, 4.71, 0.49) 

Achievement (98.55%, 3.53, 0.95) 

17 To what extent do you consider that CREAM provides working conditions allowing the reconciliation of work and family life?

Importance (100%, 4.72, 0.59) 

Achievement (97.10%, 4.10, 0.89) 

18 To what extent do you value the professional stability offered by CREAM?

Importance (100%, 4.55, 0.68) 

Achievement (97.10%, 3.01, 1.15) 

19 To what extent do you think that CREAM has an adequate remuneration policy, sufficiently explicit and public?

Importance (91.30%, 4.65, 0.57) 

Achievement (81.16%, 3.52, 1.22) 

20 To what extent do you consider that CREAM promotes an appropriate gender balance policy at all levels of staff, including positions of major responsibility?

Importance (95.65%, 4.53, 0.64) 

Achievement (79.71%, 3.25, 1.31) 

21 To what extent do you think that CREAM values and promotes staff mobility, both geographical and transdisciplinary, and between the public and private sectors?

Importance (89.86%, 4.06, 0.81) 

Achievement (78.26%, 3.13, 1.03) 

22 To what extent do you think that CREAM provides career advice to its researchers during all stages of their careers?

Importance (88.41%, 4.30, 0.82) 

Achievement (79.71%, 2.87, 1.17) 

23 To what extent do you think that CREAM has a clear and appropriate intellectual property policy, including copyrights?

Importance (82.61%, 3.95, 0.89) 

Achievement (50.72%, 2.80, 1.45) 

24 To what extent do you think that CREAM values the collaboration of early stage researchers with other research groups (internal or external), promoting co-authorship of papers or other scientific works?

Importance (86.96%, 4.32, 0.70) 

Achievement (76.81%, 3.40, 1.34) 

25 To what extent do you think that senior researchers and PhD supervisors are involved in the scientific training of early stage researchers?

Importance (92.75%, 4.63, 0.52) 

Achievement (85.51%, 3.88, 0.91) 

26 To what extent do you think that CREAM has appropriate procedures to deal with complaints/appeals of researchers and labour dispute settlement?

Importance (100%, 4.48, 0.68) 

Achievement (84.06%, 3.09, 1.14) 

27 To what extent do you think that CREAM promotes the participation of researchers in the governance of the centre?

Importance (97.10%, 4.25, 0.70) 

Achievement (85.51%, 3.07, 1.14) 

TRAINING

28 To what extent do you think that CREAM promotes leadership training of its researchers (team management, project leadership, supervision and mentoring, transfer of knowledge, etc.)?

Importance (94.20%, 4.17, 0.65) 

Achievement (91.30%, 2.40, 1.07) 

29 To what extent do you think that CREAM stimulate the continued training of researchers through formal training, seminars, workshops, conferences or e-learning?

Importance (97.10%, 4.48, 0.59) 

Achievement (94.20%, 3.65, 1.07) 

30 To what extent do you think that CREAM has an appropriate system of supervision of the development of doctoral theses and the relationship between PhDs and supervisors?

Importance (88.41%, 4.34, 0.68) 

Achievement (82.61%, 3.49, 1.14) 

Initial gap analysis based on the survey answers

An in-depth analysis was carried out after gathering and checking the answers. In general, there were no relevant differences in responses between staff categories. The mean achievement value for all answers was **3.34**, positioning this value at the middle-to-high end of the range. The achievement score for each question was quite similar among the four groups of principles. Only 4 questions showed a mean score of less than 3 (low), those referring to familiarity with legal regulations related to recruitment, data protection and property rights (question 3), career advice (question 22), intellectual property policy (question 23) and leadership training (question 28). Two more questions with score values close to 3 referred to transparency of evaluation systems for recruitment (question 9) and professional stability offered by CREAM (question 18).

The deficiencies detected served as the starting point for defining actions to normalize CREAM policies with the Charter and Code principles. Special effort was made to detect correspondence between these actions and those planned in the recently approved CREAM Strategic Plan (2014-2017), which belong to diverse strategic objectives for research, organization, and training. In some cases, survey question topics were not associated with an action, mostly because of the limited capacity of CREAM to promote effective actions on some of these queried topics. This was the case for question 18, which relates to professional stability (which strongly depends on public position offers), and question 24, which relates to the collaboration and co-authorship of junior researchers with other research groups (of complex regulation as it strongly depends on the particular dynamics of each research group). Other questions for which no actions were proposed are those rated with a sufficiently positive assessment, assuming that the item was already satisfactorily implemented within CREAM. This was the case for questions 2 and 4 (project management and use of financial resources by researchers) and question 17 (working conditions allowing reconciliation with family life). In contrast, the HRS Commission considered the development of the CREAM Code of Ethics and Good Scientific Practice as especially important in order to maintain the quality of research in the future, despite its related question (2) was rated with a very positive assessment by CREAM's staff. The results of this first analysis led to the first Action Plan with 19 actions covering 30 of the 40 C&C principles.

INTERIM ASSESSMENT

After the first 2-year period, it is mandatory to perform an interim assessment of the implementation of the proposed action plan that, under the strengthened HRS4R protocol, must consider all C&C Principles and the OTM-R recommendations.

The interim assessment of CREAM's HRS4R has been performed in summer-autumn 2017 by the HRS Commission in coordination with the Management Team. Assessment was based on the periodic (monthly from May 2015 to May 2017) monitoring of the HRS4R implementation by both teams. Moreover, results of two external inputs were also taken into account. In 2016, CREAM was the subject of a thorough evaluation of its research and transfer productivity, human resources policy and administrative organization, and training and dissemination issues. Evaluation was carried out by CREAM's International Scientific Committee and by the CERCA institution to which CREAM belongs. Both concluded that CREAM has achieved a good implementation of a set of previous recommendations, yet there are some major issues still to be improved: **(i) to get more internationalization of the staff, (ii) to pursue a gender-balanced recruitment, and (iii) to give a higher support to PhD mobility.** More recently (summer 2017), a second input was provided by the Severo Ochoa (SO) Evaluation Commission. SO is a highly competitive call of the Spanish Ministry of Economy, with the objective to award and fund public research centres of excellence. The accreditation process follows a thoroughly competitive call based on recent research performance and on the strategic plan on research, transfer, human resources and dissemination. CREAM applied to the Severo Ochoa 2016 call, without success. However, the SO Evaluation Commission provided a complete feedback, from which a set of points can be highlighted. As for research, it pointed out the **local origin of most researchers and their supervised PhD students, and the relatively low number of international postdocs.** They also highlighted **some lack of independence** of these junior researchers, who often publish with their mentors, **the strong gender bias especially affecting high research levels (R3 and R4)** and that even the former scientific advisory board was exclusively made up by men. Moreover, they recommended **increasing the number of world-class PIs, especially women,** and the striving for a **higher cohesion of the centre** (i.e. higher collaboration among teams) based on shared large projects.

These inputs were included on CREAM's HRS4R interim assessment, which included **(i) a revised gap analysis including all C&C principles and (ii) a check-list of the completed OTM-R recommendations.** A first conclusion of this assessment is that CREAM's priorities for the short and medium term are essentially the same as those formerly considered, and that most of these priorities are relatively well addressed with the initially proposed actions. Especially well addressed are the needs regarding the internal organization and governance (actions 9-12 on Collective Agreement, Recruitment and Selection protocols, Research Staff Meeting -Scientific Board- and informal meeting spaces), knowledge transfer (action 5) and communication and dissemination (action 6). It should be acknowledged that there is some delay in the implementation of other actions (in part due to the complex political circumstances in Catalonia for the last two years), which in turn is also determining some delay in achieving the proposed goals. It is expected that most of these goals will be achieved at the end of the HRS4R period.

In any case, the interim assessment also reflected that **some of the implemented actions should be reinforced**. Particularly, Equality Plan (action 7) is undergoing a thorough review. Its first version, mostly focused on gender inequalities, aims at: a) achieving equality in CREAM's access (through equal-gender staff selection process, and balanced representation between women and men in all professional categories and groups); b) improving hiring and remuneration (ensuring equal opportunities and remunerations between women and men in the hiring process); and c) promoting women's careers within CREAM and training and communication (promoting a culture of equal opportunities between men and women and gender equality in communication treatment). This Plan is now under review by a renewed commission, which has proposed to extend the set of actions with a set of more proactive ones based on additional funding (new proposed action 7b).

In addition, circumstances in which CREAM operates have also substantially changed. Catalonia is facing a highly unstable political period, with effects on economy and administration. Moreover, emphasis on OTM-R practices has been reinforced by local laws (i.e. the Law 19/2014 of Transparency and Access to Public Information approved by the Autonomous Government of Catalonia) and rules. Based on this, the HRS Commission has proposed the publishing online of (i) a document summarising the CREAM's OTM-R Policy and (ii) a set of indicators of its results (specific new actions in the revised HRS4R Action Plan).

To sum up, 7 additional actions have been proposed as a result of the interim assessment, to reinforce the CREAM's HRS4R strategy and to adapt it to the strengthened HRS4R policy. New actions are mostly devoted to (i) **improving the existing equality plan** as internally requested, (ii) **deploying a mentoring programme** (with the support of the Autonomous University of Barcelona, in the campus of which CREAM is based, and (iii) **deploying the OTM-R strategy of the centre** through specific documents and training courses. A pending issue is the collection of the planned **satisfaction surveys** (actions 16-18). By agreement of the HR Commission and CREAM Management Team, these surveys will be concluded with a complete survey of the overall HRS4R Strategy at the end of the period, coinciding with the external evaluation (action 23).

REVISED GAP ANALYSIS

(Considering all C&C principles. All actions from the beginning of the HRS4R implementation are included. Completed actions are marked **in brown**).

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers GAP analysis overview considering all C&C principles			
Status: to what extent does this organisation meet the following principles?	+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented	In case of -, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+		Actions not needed. Specifically covered by: <ul style="list-style-type: none"> Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación (Spanish Law 14/2011, of Science, Technology and Innovation) CREAF Statutes (www.creaf.cat/sites/default/files/2010_ag_aprobacion_estatutos_creaf.pdf).
2. Ethical principles	-/+	Ethical principles not clearly stated/regulated	<i>Action 1. Develop the CREAF Code of Ethics and Good Scientific Practice and define actions for implementation.</i>

			<p>Partially completed. CREAF has joined the general code of conduct for senior officials and staff of the Government Administration and public entities, and other measures on transparency, stakeholder and ethics</p> <p>(http://governacio.gencat.cat/ca/pgov_ambits_d_actuacio/pgov_funcio_publica/pgov_empleats_publics/pgov_carrecs_publics/codi-de-conducta-alti-carrecs-personal-directiu/)</p> <p>CERCA Institution is finishing a general Code of Conduct for Researchers of Catalan research institutions (scheduled for the end of 2017). CREAF will adapt its Code of Ethics and Good Scientific Practice to this general code.</p> <p>CREAF's Ethics Commission is working on the development of a specific Code of Ethics.</p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
3. Professional responsibility	+		<p>Actions not needed. Specifically covered by:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación (Spanish Law 14/2011, of Science, Technology and Innovation)
4. Professional attitude	+		<p>Specifically covered by:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación (Spanish Law 14/2011, of Science, Technology and Innovation) • Real Decreto 63/2006 Estatuto del personal investigador en formación (Spanish Royal Decree 63/2006 of Researchers at training stages) <p>CREAF provides a Welcome and staff manual, with a set of internal rules that partially cover this principle. Available in the internal webpage (CREAF's Intranet)</p> <p><i>Action 1. Develop the CREAF Code of Ethics and Good Scientific Practice and define actions for implementation.</i></p> <p>Partially completed. CREAF has joined the general code of conduct for senior officials and staff of the Government Administration and public entities, and other measures on transparency, stakeholder and ethics</p> <p>(http://governacio.gencat.cat/ca/pgov_ambits_d_actuacio/pgov_funcio_publica/pgov_empleats_publics/pgov_carrecs_publics/codi-de-conducta-alti-carrecs-personal-directiu/).</p> <p>CERCA Institution is finishing a general Code of Conduct for Researchers of Catalan research institutions (scheduled for the end of 2017). CREAF will adapt its Code of Ethics and Good Scientific Practice to the CERCA code.</p>

			CREAF's Ethics Commission is working on the development of a specific Code of Ethics.
5. Contractual and legal obligations	+		<p>Specifically covered by:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación (Spanish Law 14/2011, of Science, Technology and Innovation) • Real Decreto 63/2006 Estatuto del personal investigador en formación (Spanish Royal Decree 63/2006 of Researchers at training stages) <p><i>Action 2. Draw up an internal protocol on intellectual property rights and results exploitation. Completed</i> (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 4. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results.</i></p> <p>Pending. Scheduled for the second half of the HRS4R period.</p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
6. Accountability	+		<p>Actions not needed. Specifically covered by:</p> <ul style="list-style-type: none"> • Ley 38/2003 de 17 de noviembre General de subvenciones http://www.boe.es/buscar/pdf/2003/BOEA-2003-20977-consolidado.pdf • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf • Real decreto Legislativo 3/2011 contratos del sector público. http://www.boe.es/buscar/pdf/2011/BOEA-2011-17887-consolidado.pdf • Ley 19/2014 de transparencia y Buen gobierno
7. Good practice in research	-/+	Ethical principles and good practices not clearly stated/regulated	<p><i>Action 1. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation.</i></p> <p>Partially completed. CREAM has joined the general code of conduct for senior officials and staff of the Government Administration and public entities, and other measures on transparency, stakeholder and ethics</p> <p>(http://governacio.gencat.cat/ca/pgov_ambits_d_actuacio/pgov_funcio_publica/pgov_empleats_publics/pgov_carrecs_publics/codi-de-conducta-altas-carrecs-personal-directiu/).</p>

			<p>CERCA Institution is finishing a general Code of Conduct for Researchers of Catalan research institutions (scheduled for the end of 2017). CREAF will adapt its Code of Ethics and Good Scientific Practice to the CERCA code.</p> <p>CREAF's Ethics Commission is working on the development of a specific Code of Ethics.</p> <p>CREAF also provides a Welcome and staff manual, with a set of internal rules that partially cover this principle. Available in the internal webpage (CREAF's Intranet).</p> <p><i>Action 3. Draw up an internal protocol on data protection according to the existing national legal requirements regarding data protection and confidentiality. Pending</i></p>
8. Dissemination, exploitation of results	+		<p><i>Action 5. Draw up an internal protocol on knowledge transfer to potential users. Completed.</i></p> <p>Deployed in three protocols:</p> <p>Document transfer to local stakeholders</p> <ul style="list-style-type: none"> • Document database: http://www.prisma-tic.cat/ • Transfer protocol available in the internal webpage (CREAF's Intranet). <p>Document transfer to international community of researchers and managers</p> <ul style="list-style-type: none"> • Document database: http://ddd.uab.cat/collection/creaf?ln=en • Transfer protocol available in the internal webpage (CREAF's Intranet). <p>Specific transfer sessions: CREAF regularly collaborates in the Annual Plan of Technology Transfer (PATT) of public Catalan administration</p> <p>(http://agricultura.gencat.cat/ca/ambits/formacio-innovacio/dar_transferencia_tecnologica/dar_patt/)</p>
9. Public engagement	+		<p><i>Action 6. Improve the existing CREAF webpage, blog and newsletter with technical reports that can be used by journalists to make CREAF's research accessible/ understandable to the general public. Completed.</i></p> <p>New webpage (www.creaf.cat/) with documents on press & media in annual reports (www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/annual-reports) and regular newsletters (https://ddd.uab.cat/search?cc=butlletins&p=creafuab).</p> <p><i>Action 6bis. Enhance collaborative, citizen science projects to promote public engagement.</i></p> <p>New proposed action.</p>
10. Non discrimination	+/-	Lack of proactive actions	<p><i>Action 7. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion. Completed.</i></p>

			<p>A first version available (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 7b. To extend the Strategic Equality Plan based on CERCA and OTM-R frameworks.</i></p> <p>New proposed action. In progress by a specific equality commission.</p>
11. Evaluation/ appraisal systems	+/-	Need of updated evaluation systems for researchers	<p><i>Action 9. A new Company Agreement of CREAF regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualityin-research-oriented incentive programme. Partially completed.</i></p> <p>It will be translated to English after definitive approval by the Board of Trustees.</p> <p>Additional items:</p> <ul style="list-style-type: none"> • CREAF's research and organization are regularly evaluated by the Scientific Committee of CERCA Catalan Institution (included in CREAF's Board of Trustees), and an International Scientific Committee (www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/international-scientific-committee) • CREAF's economic balance and administrative processes are regularly audited by the Catalan Government.
Recruitment and Selection			
12. Recruitment	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAF personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAF web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy)).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAF online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAF's OTM-R policy online. New proposed action</i></p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
13. Recruitment (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAF personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAF web. These protocols keep with the principles of Open Access, Transparency and Merit-based</p>

			<p>recruitment (OTM-R; www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p>
14. Selection (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAM web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAM's OTM-R policy online. New proposed action</i></p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
15. Transparency (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAM web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAM's OTM-R policy online. New proposed action</i></p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
16. Judging merit (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAM web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAM's OTM-R policy online. New proposed action</i></p>

			<i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i>
17. Variations in the chronological order of CVs (Code)	+		<p>Actions not needed, as this principle is warranted by these laws</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación. Sección II y Capítulo II Art. 26 • Real Decreto 1/1995 de 24 de marzo, Ley del Estatuto de los trabajadores. Art. 11
18. Recognition of mobility experience (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Completed.</i></p> <p>A set of specific protocols for diverse recruitment cases have been posted on the CREAM web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAM's OTM-R policy online. New proposed action</i></p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
19. Recognition of qualifications (Code)	+		<p>Actions not needed in an academic context, as this principle is warranted by these laws:</p> <ul style="list-style-type: none"> • Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 1.2 y Art. 8.2 • Real Decreto 778/1998 de 30 de abril por el que se regula el tercer ciclo de estudios universitarios, la obtención y expedición del título de Doctor y otros estudios de postgrado • Real Decreto 56/2005 Estudios Universitarios Oficiales de Postgrado • Real Decreto 1393/2007 Ordenación de las enseñanzas Universitarias oficiales • Real decreto 1837/2008 reconocimiento de cualificaciones profesionales. <p>Additionally. A set of specific protocols for diverse recruitment cases has been posted on the CREAMs web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p>

20. Seniority (Code)	+		<p>Actions not needed in an academic context, as this principle is warranted by these laws and rules</p> <ul style="list-style-type: none"> • Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 1.2 y Art. 8.2 • Real Decreto 778/1998 de 30 de abril por el que se regula el tercer ciclo de estudios universitarios, la obtención y expedición del título de Doctor y otros estudios de postgrado • Real Decreto 56/2005 Estudios Universitarios Oficiales de Postgrado • Real Decreto 1393/2007 Ordenación de las enseñanzas Universitarias oficiales • Real decreto 1837/2008 reconocimiento de cualificaciones profesionales.
21. Postdoctoral appointments (Code)	+		<p><i>Action 10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Completed</i></p> <p>At present, CREAM has no opportunities for hiring postdoctoral researchers apart from official calls. Thus, a set of specific protocols for postdoctoral researchers addressed to these calls (i.e. Juan de la Cierva, Marie Curie, Ramon y Cajal) has been posted on the CREAMs web. These protocols keep with the principles of Open Access, Transparency and Merit-based recruitment (OTM-R; www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 21. Publish the OTM-R Strategy of CREAM online. New proposed action</i></p> <p><i>Action 22. Publish a set of result indicators of CREAM's OTM-R policy online. New proposed action</i></p> <p><i>Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. New proposed action</i></p>
Working Conditions and Social Security			
22. Recognition of the profession	+		<p><i>Action 9. A new Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualityin-research-oriented incentive programme. Partially completed.</i></p> <p>A new Company Agreement has been produced, still only in local (Catalan) language. I will be translated to English after definitive approval by the Board of Trustees.</p>
23. Research environment	+		<p><i>Action 11. Create the CREAM research staff meeting. Completed</i> (Scientific Board thereafter) creation act is available in public web (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy). Minutes are available in the internal webpage (CREAM's Intranet).</p> <p><i>Action 12. Create an informal meeting space for researchers. Completed.</i></p> <p>A set of initiatives have been promoted, limited by the lack of appropriate facilities</p>

			<ul style="list-style-type: none"> • CAFEu: Forum on EU opportunities (6 sessions) • Boscos: Forum on forest ecology (biweekly sessions) • GREC: Forum on ecology and education (recent) <p><i>Action 13. Obtain the certificate of Quality Management System of research according to ISO 9001:2008 standards.</i></p> <p>Pending (scheduled by 2018; yet its usefulness is now under discussion in the HRS4R Commission)</p>
24. Working conditions	+		<p><i>Action 9. A new Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualityin-research-oriented incentive programme. Partially completed.</i></p> <p>A first version of the New Company Agreement Is available in local (Catalan) language in the internal webpage (CREAF's Intranet). English version is pending of ratification by the Board of Trustees</p> <p>Gender biases in working conditions and culture are addressed in the CREAM Equality Plan</p> <ul style="list-style-type: none"> • <i>Action 7. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion. Completed.</i> A first version available (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy). • <i>Action 7b. To extend the Strategic Equality Plan based on CERCA and OTM-R frameworks. New proposed action.</i> In progress by a specific equality commission. <p>This principle is also warranted by these laws and rules:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14-j • Ley Orgánica 3/2007 de 22 de marzo para la igualdad efectiva de mujeres y hombres. Art. 44,51 & 56 .
25. Stability and permanence of employment	+		<p>Actions not needed. This principle is warranted by these laws and rules:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14-j • Ley Orgánica 3/2007 de 22 de marzo para la igualdad efectiva de mujeres y hombres. Art. 44,51 & 56 .

26. Funding and salaries	+		<p><i>Action 9. A new Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualityin-research-oriented incentive programme. Partially completed.</i></p> <p>A first version of the New Company Agreement Is available in local (Catalan) language in the internal webpage (CREAF's Intranet). The translation into the English version is pending on obtaining ratification by the Board of Trustees.</p>
27. Gender balance	+/-	Need for more proactive actions	<p><i>Action 7. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion. Completed.</i></p> <p>A first version available (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 7b. To extend the Strategic Equality Plan based on CERCA and ORM-R frameworks.</i></p> <p>New proposed action. In progress by a specific equality committee.</p> <p><i>Action 8. Strengthen gender balance at selection and evaluation committees, as well as supervisory, managerial and decision-making bodies of CREAM. Completed.</i></p> <p>International Scientific Committee of CREAM has been completed with women www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/international-scientific-committee.</p> <p>Specific actions for selection committees have been included in selection Protocols (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p>Specific actions for increasing gender balance in senior researchers and decision-making bodies will be included in the improved Equality Plan (Action 7b).</p>
28. Career development	+/-	Insufficient tools for ensuring career development	<p>This principle is warranted by these laws and rules:</p> <ul style="list-style-type: none"> • Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 6 / 12/ 13 /14 y 25 • Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público. Cap. II Derecho a la Carrera profesional y a la promoción interna. <p><i>Action 20. To implement a career development program for all research categories working in CREAM with specialized courses and seminars, in agreement with the UAB mentoring program.</i></p> <p>New proposed action. This action is also supported by the Strategic Plan of CREAM (www.creaf.cat/sites/default/files/pla_estrategic_creaf_2014-2017.pdf; OO333), which foresees specific mentoring actions for the career development of junior researchers.</p>

29. Value of mobility	+/-	Need for more proactive actions	<p><i>Action 14. Increase collaboration of CREAM researchers with different expertise in highly integrative research projects that take advantage of the multidisciplinary of CREAM and its partners. Pending.</i></p> <p>Scheduled for the second half of the HRS4R period. Some proposals already in progress:</p> <ul style="list-style-type: none"> • CREAM Scientific Board is promoting a transversal initiative on forests, global change and ecosystem services • CREAM is also applying the Severo Ochoa call (Spanish Government) devoted to research centers, in which a big integrative project is included. <p><i>Action 15. Draw up a researcher exchange programme to attract foreign researchers and facilitate stays abroad for CREAM researchers. Pending.</i></p> <p>Scheduled by the second half of the HRS4R period.</p> <p>CREAM is using mobility funds for researchers of ALTER-Net Research Network, in which CREAM takes part.</p>
30. Access to career advice	+/-	Need for more proactive actions	<p><i>Action 16. Provide training sessions on the strategic vision, governance and structure of the Centre for all professional categories. Number of courses and people trained. Participant feedback (satisfaction survey) In progress.</i></p> <p>A presentation, open to all staff, of the CREAM Strategic Plan is yearly performed by the Management Team.</p> <p>A first course on career advice has been performed at the end of 2015 (7 attendees) Satisfaction survey pending.</p> <p><i>Action 20. To implement a career development program for all research categories working in CREAM with specialized courses and seminars, in agreement with the UAB mentoring program. New proposed action.</i> This action is also supported by the Strategic Plan of CREAM (www.cream.cat/sites/default/files/pla_estrategic_cream_2014-2017.pdf; OO333), which foresees specific mentoring actions for the career development of junior researchers.</p>
31. Intellectual Property Rights	+		<p><i>Action 2. Draw up an internal protocol on intellectual property rights and results exploitation. Completed</i> (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p><i>Action 4. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results. Pending.</i></p> <p>Scheduled for the second half of the HRS4R period.</p>

32. Co-authorship	+/-	Rules not sufficiently clearly stated	<p><i>Action 1. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation. Partially completed.</i></p> <p>CREAF has joined the general code of conduct for senior officials and staff of the Government Administration and public entities, and other measures on transparency, stakeholder and ethics (http://governacio.gencat.cat/ca/pgov_ambits_d_actuacio/pgov_funcio_publica/pgov_empleats_publics/pgov_carrecs_publics/codi-de-conducta-altas-carrecs-personal-directiu/)</p> <p>CREAF's Ethics Commission is working on the development of a specific Code of Ethics.</p> <p>CERCA Institution is finishing a general Code of Conduct for Researchers of Catalan research institutions (scheduled for the end of 2017). CREAM will adapt its Code of Ethics and Good Scientific Practice to this general code.</p> <p><i>Action 4. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results. Pending.</i> Scheduled for the second half of the HRS4R period.</p>
33. Teaching	+		<p>Actions not needed.</p> <p>CREAF has only teaching responsibilities in the PhD Program on Terrestrial Ecology, to which CREAM researchers are encouraged to participate as PhD supervisors and members of Academics Tribunals of each PhD Thesis (http://www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=13456574229084)</p> <p>Teaching activities of researchers are encouraged by the Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 31</p>
34. Complaints/appeals	+		<p>Complaints on working conditions, both individual and collective, are addressed by CREAM's Union. This procedure is supported by the Spanish Law (Real Decreto 1/1995 de 24 de marzo, Ley del Estatuto de los trabajadores).</p> <p>Particular complaint procedures in selection processes are foreseen in selection protocols (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy)</p> <p><i>Action 11. Create the CREAM research staff meeting. Completed</i> (Scientific Board thereafter) creation act is available in public web (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy). Minutes are available in the CREAM internal webpage (CREAF's Intranet). It can be used to address collective complaints regarding research and organization.</p>
35. Participation in decision-making bodies	+		<p><i>Action 11. Create the CREAM research staff meeting. Completed</i> (Scientific Board thereafter) Creation act is available on CREAM's public webpage (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy)</p>

			plans-annual-reports-and-otm-r-policy). Minutes are available on the internal webpage (CREAF's Intranet).
Training and Development			
36. Relation with supervisors	+		<p><i>Action 19. Improve the annual evaluation and review of doctoral theses of the CREAF PhD programme. Completed.</i></p> <p>Protocol available at www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=1345657422908</p>
37. Supervision and managerial duties	-/+	Need for more training and basic tools	<p><i>Action 17. Provide specialized training sessions on team management and group leadership for researchers.</i></p> <p>In progress. 4 courses devoted to leadership and team management performed over the first half of the HRS4R project (44 attendees). Satisfaction survey is pending.</p> <p><i>Action 20. To implement a career development program for all research categories working in CREAF with specialized courses and seminars, in agreement with the UAB mentoring program..</i></p> <p>New proposed action. Managerial duties will be addressed in this program.</p> <p>This action is also supported by the Strategic Plan of CREAF (www.creaf.cat/sites/default/files/pla_estrategic_creaf_2014-2017.pdf), which foresees specific mentoring actions for the career development of junior researchers.</p>
38. Continuing Professional Development	+		<p><i>Action 9. A new Company Agreement of CREAF regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualityin-research-oriented incentive programme. Partially completed.</i></p> <p>It will be translated to English after definitive approval by the Board of Trustees. It encourages training in all professional categories.</p> <p><i>Action 18. Set up a seminar program to increase the quantity and quality of the seminars and specialized training courses offered by CREAF.</i></p> <p>Almost completed. Seminars (CREAF's talks) regularly posted www.creaf.cat/TalksPending</p> <p>Implementation of satisfaction survey is pending</p>
39. Access to research training	+		<p><i>Action 18. Set up a seminar program to increase the quantity and quality of the seminars and specialized training courses offered by CREAF.</i></p>

and continuous development			Almost completed. Seminars (CREAF's talks) regularly posted www.creaf.cat/TalksPending Implementation of satisfaction survey is pending
40. Supervision	+		<i>Action 19. Improve the annual evaluation and review of doctoral theses of the CREAF PhD programme. Completed.</i> Protocol available at www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=1345657422908
Additional issues			
Perception on implementation of HRS4R	-		<i>Action 24. General satisfaction survey of the implementation of HRS4R Strategy.</i> New proposed action

OTM-R CHECKLIST

	Open	Trans- parent	Merit- based	Answer: ++ Yes, completely +/- Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	-/+	-+	-+		<p>There is not a single document of CREAf OTM-R Policy. Currently, it is found scattered within a set of documents available on the webpage (e.g. transparency, protocols, etc.). A new action will compile the OTM-R relevant aspects included in these documents in a single one, which will summarize CREAf's OTM-R Policy.</p> <p>As other public administrations in Catalonia, CREAf has a Transparency Portal in which main details of its OTM-R policy are provided (http://www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology) Specific protocols of recruitment and selection are also included (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p>
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	++	++	++		<p>[OCT 2017]</p> <p>There is a set of specific protocols (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p>
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	--	--	--		No. A training programme on OTM-R policy for the Management Team, administrative staff and principal investigators has been proposed as new action.
4. Do we make (sufficient) use of e-recruitment tools?	++	++	++		All the stages of the recruitment process are based on e-tools

					<p>Web-based calls: EURAXESS and CREAM's webpage www.cream.cat/work-with-us</p> <p>E-tools of the UAB also are regularly used for posting calls.</p>
5. Do we have a quality control system for OTM-R in place?	+/-	+/-	+/-		<p>There is not an unique specific control system (e.g. OTM-R Commission) but a set of complementary ones, including:</p> <p>Regular audit of administrative procedures by Public Administration (Board of Trustees)</p> <p>Periodic assessment of the CERCA institution (to which CREAM belongs)</p> <p>Specific procedures of recruitment protocols</p>
6. Does our current OTM-R policy encourage external candidates to apply?	++	++	++		<p>Ratio of applicants from outside the organisation in calls of two last years: 57%</p> <p>It should be noted that CREAM is in a university hub (UAB) and MSc. students of the UAB have been considered as <i>inside</i> applicants.</p>
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	+/-	+/-	+/-		<p>Ratio of applicants from abroad in calls of the two last years: 8.5%</p> <p>Specific actions are proposed in the current Strategic Plan of CREAM. It should be noted that comparatively low salaries in Spain often discourage high level candidates from abroad.</p> <p>Specific initiatives to overcome these constraints, such as a project proposal for the Severo Ochoa (Spanish Government) call, are being pursued.</p>
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	+/-	+/-	+/-		<p>Ratio of women in calls of the two last years: 46%</p> <p>Recommendations for achieving gender balance are included in the Equality Plan and in the recruitment procedures (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).</p> <p>Gender policy will be strengthened in a new Equality plan</p>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	+/+	+/+	+/+		<p>Ratio of applicants from outside the organisation in calls of the two last years: 57%</p> <p>It should be noted that CREAM is in a university hub (UAB) and university students have been considered as <i>inside</i> applicants.</p>

10. Do we have means to monitor whether the most suitable researchers apply?	--	--	--		Not considered because of lack of funding. A benchmarking of potential candidates for EU junior and senior researcher has been included in the <i>Severo Ochoa</i> proposal of CREA (2017)
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	++	++	++		Job adverts are regularly posted at <ul style="list-style-type: none"> The CREA (page) for both local and international adverts, at least in local –Catalan and Spanish– languages; www.crea.cat/work-with-us) The EURAXESS webpage (international calls)
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	+/-	+/-	+/-		Depending on case
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	+/-	+/-	+/-		25-33% of job adverts (mostly regarding international projects and grants) are regularly posted on EURAXESS, Ratio of applicants from outside the organisation in calls of the two last years: 57% Ratio of applicants from abroad in calls of the two last years: 8.5%
14. Do we make use of other job advertising tools?	++	++	++		CREA's webpage has a specific job advert section (www.crea.cat/work-with-us)
15. Do we keep the administrative burden to a minimum for the candidate?	++	++	++		Yes. Totally. CREA admits transmission of supporting documents by electronic means, via e-mail.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		+/-	+/-		General rules have been included in specific protocols recently set up (www.crea.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).
17. Do we have clear rules concerning the composition of selection committees?		+/-	+/-		General rules have been included in specific protocols recently set up (www.crea.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).
18. Are the committees sufficiently gender-balanced?		-/+	-/+		Committees are not yet gender-balanced because of the comparatively low number of women in R3 and R4 research categories A specific equality plan is aimed at increasing gender balance in research staff and, to extent possible, in selection committees.

19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			++		Selection guides are included in specific protocols recently set up and available on the CREAM's web (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		++			Personally, to each candidate, via e-mail from Direction
21. Do we provide adequate feedback to interviewees?		++			Via e-mail from Direction
22. Do we have an appropriate complaints mechanism in place?		++			Supported by Public Administration rules. Also, the centre accounts for a set of complain mechanisms for different purposes: General mechanisms for CREAM's staff <ul style="list-style-type: none"> • CREAM's Union • Psycho-social risk protocols Complaint mechanisms on recruitment processes (www.cream.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy). Complaint mechanisms for the public in general contacte@cream.uab.cat ; http://www.cream.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/access-public-information There have been no complaints in the last 2 years
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	--	--	--		Not yet. We are preparing a website with basic result indicators of OTM-R policy at CREAM (New proposed action)

REVISED ACTION PLAN

Actions included in the Human Resources Strategy for CREA researchers, their planned schedule and executor, and the proposed measurable indicator of their progress. Scheduling is indicated in trimesters (T1 to T4) of the corresponding years (in **bold**, modified scheduling). Completed actions are marked in **brown**.

<i>Title action</i>	<i>C&C Principles</i>	<i>Timing (Trimester, year)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target</i>	<i>Current status</i>
<i>Action 1. To develop the CREA Code of Ethics and Good Scientific Practice and define actions for implementation.</i>	2, 4, 7, 32	T1 2017 T2 2018	Ethics Commission	<i>Code of Ethics and Good Scientific Practice</i>	Partially completed. CREAF has joined the general code of conduct for senior officials and staff of the Government Administration and public entities, and other measures on transparency, stakeholder and ethics (http://governacio.gencat.cat/ca/pgov_ambits_d_actuacio/pgov_funcio_publica/pgov_empleats_publics/pgov_carrecs_publics/codi-de-conducta-alts-carrecs-personal-directiu/) CERCA Institution is finishing a Code of Conduct for Researchers of Catalan research institutions (scheduled for the end of 2017). CREA will adapt its Code of Ethics and Good Scientific Practice to the CERCA code. CREAF's Ethics Commission is working on the development of a specific Code of Ethics.
<i>Action 2. Drawing up an internal regulation on Intellectual Property Rights and Results Exploitation.</i>	5, 31	T2 2017	CREAF Managing Staff	<i>Protocol on Intellectual Property Rights</i>	Completed www.crea.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy

Action 3. Drawing up an internal protocol on Data Protection according to the existing national legal requirements regarding data protection and confidentiality.	7	T2 2017 T1 2018	CREAF Managing Staff	Protocol on Data Protection and Confidentiality	Pending
Action 4. Training on issues related to Intellectual Property Rights regulations, new products development and patents, data protection, publications and transfer of results.	5, 31, 32	T4 2017 / T4 2018	Administration Manager	Number of courses and people trained. Participants feedback (Satisfaction survey)	Pending Scheduled by the second half of the HRS4R period, after implementing Action 3.
Action 5. Drawing up an internal protocol on Knowledge Transfer to potential users.	8	T3 2017	Knowledge Transfer Comission	Protocol on Knowledge Transfer	Completed. Deployed in three protocols: Document transfer to local stakeholders Document database: http://www.prisma-tic.cat/ Transfer protocol (CREAF's Intranet). Document transfer to international community of researchers and managers Document database: http://ddd.uab.cat/collection/creaf?ln=en Transfer protocol (CREAF's Intranet). Specific transfer sessions: Annual Plan of Technology Transfer (PATT) of Catalan administration (http://agricultura.gencat.cat/ca/ambits/formacio-innovacio/dar_transferencia_tecnologica/dar_patt/)
Action 6. Improve the existing CREAF webpage, blog and newsletter with technical reports that can be used by journalists to make CREAF's research accessible/understandable to the public.	9	T3 2015	Communicatio n Department	Documentation & number of references in the trade press and mass media	Completed CREAF's Blog (http://blog.creaf.cat/en/). Documentation on press & media in annual reports (www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/annual-reports).

					Newsletters (https://ddd.uab.cat/search?cc=butlletins&p=creafuab).
<i>Action 6bis. Enhance collaborative, citizen science projects to promote public engagement</i>	9	T4 2018	CREAF Managing Staff	<i>No. of collaborative, citizen science projects</i>	New proposed action
<i>Action 7. To produce a Strategic Equality Plan aiming to promote equality in Age, Disability, Gender, Race and Religion.</i>	10, 24, 27	T4 2015	Equality Commission	<i>Strategic Equality Plan</i>	Completed (first version) www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy
<i>Action 7b. To extend the Strategic Equality Plan based on CERCA and OTM-R frameworks.</i>	10, 24, 27	T2 2018	Equality Commission	<i>Revised Strategic Equality Plan</i>	New proposed action , based on the results of a previous survey (Genera project) and the CERCA Equality framework (2014)
<i>Action 8. Strengthen gender balance at selection and evaluation committees, as well as supervisory, managerial and decision-making bodies of CREAM.</i>	27	2018	CREAF Managing Staff	<i>Ratio male/females in Advisory Boards and evaluation committees</i>	Completed International Scientific Committee complemented with the incorporation of two women www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/international-scientific-committee Specific actions for selection committees included in selection Protocols www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy Specific actions for increasing gender balance in senior researchers and decision-making bodies will be included in the improved Equality Plan (Action 7b)

Action 9. Revise the current Company Agreement of CREAM regarding professional categories, salaries and ways of internal promotion, including clear and transparent appraisal systems and a quality-in-research-oriented Incentive Programme.	11, 22, 24, 26, 38	T2 2016	CREAF Managing Staff	New Company Agreement	Pending. A first version of the New Company Agreement is available in local (Catalan) language on the internal webpage (CREAF's Intranet). It will be translated into English after definitive approval by the Board of Trustees.
Action 10. Drawing up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.	12, 13, 14, 15, 16, 18, 21	T4 2015	CREAF Managing Staff	New Protocols on Recruitment and Selection of Researchers	Completed. A set of protocols are available (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy).
Action 11. Create the CREAM Research Staff Meeting.	23, 34, 35	T3 2015	Staff Meeting Commission	Research Staff Meeting minutes and Creation Act	Completed (renamed as CREAM Scientific Board) Creation act (www.creaf.cat/transparency/strategic-plans-annual-reports-and-otm-r-policy). Minutes available in the internal webpage (CREAF's Intranet).
Action 12. Create an informal meeting space for researchers.	23	T4 2017	Staff Meeting Commission	Informal meeting space created	Completed. A set of initiatives have been promoted CAFEu: Forum on EU opportunities (6 sessions) Boscós: Forum on forest ecology (biweekly sessions) GREC: Forum on ecology and education (recent) Limited by the lack of appropriate facilities
Action 13. Obtain the certificate of Quality Management System of research according to ISO 9001:2008 standards.	23	T4 2018	Administration Manager	Certificate of Quality Management System	Pending. Scheduled for the second half of the HRS4R period Debate about its convenience is open as CREAM is subjected to yearly audits of public management processes

Action 14. Increase the collaboration of CREAM researchers with different expertise in highly integrative research projects that take advantage of the multidisciplinary of CREAM and its partners.	29	T4 2018	Scientific Coordinator	Number of highly integrative projects	Pending. Scheduled for the second half of the HRS4R period CREAF Scientific Board is promoting a transversal initiative on forests, global change and ecosystem services CREAF is applying for the Severo Ochoa call (Spanish Government) devoted to research centers, in which a big integrative project is included.
Action 15. Draw up a Researcher Exchange Programme to attract foreign researchers and facilitate stays abroad of CREAM researchers.	29	T2 2018	Scientific Coordinator	Researcher Exchange Programme	Pending. Scheduled by the second half of the HRS4R period CREAF is planning to use mobility funds for researchers of ALTER-Net Research Network, to which CREAM belongs.
Action 16. Provide training sessions on the strategic vision, governance and structure of the Centre for all professional categories.	30	2015-2018	Administration Manager	Number of courses and people trained. Participants feedback (Satisfaction survey)	In progress The Management Team yearly performs presentation of the CREAM Strategic Plan open to all staff. A first course (2015) devoted to strategy of the Centre (7 attendees) Satisfaction survey is pending
Action 17. Provide specialized training sessions on team management and group leadership for researchers.	37	T2 2016	CREAF Managing Staff	Number of courses and people trained. Participants feedback (Satisfaction survey)	In progress 4 courses devoted to leadership and team management performed over the first half of the HRS4R project (44 attendees) Satisfaction survey is pending
Action 18. Set up a seminar program to increase the quantity and quality of the seminars and specialized	38, 39	T4 2016	Seminar Coordinator	Number of seminars and training courses. Participants	Almost completed. Seminars (CREAF's talks) regularly posted www.cream.cat/TalksPending

training courses offered by CREAM.				feedback (Satisfaction survey)	Implementation of satisfaction survey is pending
Action 19. Improve the Annual Evaluation and Review of Doctoral Theses of the CREAM PhD Programme.	36, 40	T2 2016	PhD Programme Coordinator	New procedures to supervise Doctoral Theses of the CREAM PhD Programme	Completed. Protocol available at www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=1345657422908
Action 20. To implement a career development program for all research categories working in CREAM with specialized courses and seminars, in agreement with the UAB mentoring program.	28, 30, 37	T4 2018	CREAF Managing Staff	Career development program implemented Number of attendees	New proposed action
Action 21. To online publish the OTM-R Strategy of CREAM	12, 13, 14, 15, 16, 18, 21	T2 2018	CREAF Managing Staff	OTM-R Strategy published online	New proposed action
Action 22. To online publish a set of result indicators of OTM-R Strategy of CREAM	12, 14, 15, 16, 18, 21	T2 2018	CREAF Managing Staff	OTM-R Strategy published online	New proposed action
Action 23. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators.	2, 5, 12, 14, 15, 16, 18, 21	T4 2018	CREAF Managing Staff	Number of training courses Number of attendees	New proposed action
Action 24. General satisfaction survey of the implementation of HRS4R Strategy		T4 2018	HRS Commission	Satisfaction survey performed	New proposed action

ANNEX 1. National regulations and proposed actions regarding the principles contained in the Charter and Code. Regulations are reported in their original language. English translations are provided for the most relevant regulations only in the first citation. Only the principles accounting for regulations are included. See Action Plan for a complete description of actions.

I. ETHICAL AND PROFESSIONAL ASPECTS			
1. Research freedom			
Relevant legislation	Existing Institutional rules and/or practices	Link	Proposed actions
Constitución Española Art. 44, 20, 149 (Spanish Constitution)		http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229	
	CREAF Statutes	http://dogc.gencat.cat/es/pdogc_canals_interns/pdogc_resultats_fitxa/index.html?action=fitxa&documentId=549259&language=ca_ES&newLang=es_ES	
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación (Spanish Law 14/2011, of Science, Technology and Innovation)		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
2. Ethical principles			
Ley 7/2007 del Estatuto Básico del Empleado Público Cap. IV (Spanish Law 7/2007, Statute of Public Officials)		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	

Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	1. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation.
3. Professional responsibility			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
4. Professional attitude			
Real Decreto 63/2006 Estatuto del personal investigador en formación (Spanish Royal Decree 63/2006 of Researchers at training stages)		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
5. Contractual and legal obligations			
Real decreto legislativo 1/1995 de 24 de marzo, Ley del Estatuto de los trabajadores (Spanish Royal Decree 1/1995, Workers Statute)		http://www.boe.es/boe/dias/1995/03/29/pdfs/A09654-09688.pdf	2. Draw up an internal regulation on intellectual property rights and results exploitation.
Real Decreto 63/2006 Estatuto del personal investigador en formación		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
Ley 11/86 de 20 de marzo de Patentes (Spanish Law 11/86, of patents)		http://www.boe.es/boe/dias/1986/03/26/pdfs/A11188-11208.pdf	
Real decreto 55/2002 de 18 enero sobre explotación y cesión de invenciones		http://www.boe.es/boe/dias/2002/01/30/pdfs/A03691-03692.pdf	

(Spanish Royal Decree 55/2002 on use of inventions by public research institutions)			4. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results.
6. Accountability			
Ley 38/2003 de 17 de noviembre General de subvenciones		http://www.boe.es/buscar/pdf/2003/BOE-A-2003-20977-consolidado.pdf	
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Real decreto Legislativo 3/2011 contratos del sector público.		http://www.boe.es/buscar/pdf/2011/BOE-A-2011-17887-consolidado.pdf	
Ley 19/2014 de transparencia y Buen gobierno		http://portaldogc.gencat.cat/utisEADOP/PDF/6780/1395384.pdf	
7. Good practice in research			
Constitución Española Art. 40,2		http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229	3. Draw up an internal protocol on data protection according to the existing national legal requirements regarding data protection and confidentiality.
Ley 31/1995 de 8 de noviembre de prevención de riesgos laborales (Spanish Law 31/1995, of prevention of workplace risks)		http://www.boe.es/boe/dias/1995/11/10/pdfs/A32590-32611.pdf	
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	

Ley Orgánica 15/1999 de 13 de diciembre de Protección de datos de Carácter personal		http://www.boe.es/boe/dias/1999/12/14/pdfs/A43088-43099.pdf	
	CREAF Workplace Risk Prevention Plan		
8. Dissemination, exploitation of results			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	5. Draw up an internal protocol on knowledge transfer to potential users.
Real decreto 55/2002 de 18 de enero sobre explotación y cesión de invenciones		http://www.boe.es/boe/dias/2002/01/30/pdfs/A03691-03692.pdf	
9. Public engagement			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	6. Improve the existing CREAM webpage, blog and newsletter with technical reports that can be used by journalists to make CREAM's research accessible/ understandable to the public.
10. Non-discrimination			
Constitución española Art. 14/9,2/35,1		http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229	7. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion.
Real Decreto 1/1995 de 24 de Ley del Estatuto de los trabajadores. Sección 2ª Art. 4,2 & 17,1		http://www.boe.es/boe/dias/1995/03/29/pdfs/A09654-09688.pdf	
Ley 7/2007 del Estatuto Básico del Empleado Público Ch. I Art. 14		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	

Ley Orgánica 3/2007 de 22 de marzo para la igualdad efectiva de mujeres y hombres. (Spanish Organic Law 3/2007, for the equality of women and men)		http://www.boe.es/boe/dias/2007/03/23/pdfs/A12611-12645.pdf	
11. Evaluation / appraisal systems			
Ley 38/2003 de 17 de noviembre. General de subvenciones Art. 22		http://www.boe.es/buscar/pdf/2003/BOE-A-2003-20977-consolidado.pdf	9. Revise the current Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a quality-in-research-oriented incentive programme.
RD 887/2006 de 21 julio, por el que se aprueba el Reglamento de la ley 38/2003 General de Subvenciones		http://www.minhap.gob.es/Documentacion/Publico/NormativaDoctrina/Control%20Publico/REAL%20DECRETO/REAL%20DECRETO%20887-2006%20%20REVISADO%20%2013-3-2012.pdf	
Ley 7/2007 del Estatuto Básico del Empleado Público Cap. II Art. 20		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	
Ley 14/2011 de la ciencia y tecnología Art. 5,16 y 25,5 y disposición transitoria 5ª Sistemas de evaluación del desempeño		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
	2010 Company Agreement		
II. RECRUITMENT			

12. Recruitment			
Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público. Art. 61		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 16 y Art. 25		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 8		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
13. Recruitment (Code)			
Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público. Art.55.2 y 61		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 16 y Art. 25		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 8		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
	2010 Protocol on Recruitment and Selection of Researchers		
14. Selection (Code)			
Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público Art. 60		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	

Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 5.2 y Art. 15		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
	2010 Protocol on Recruitment and Selection of Researchers		
15. Transparency (Code)			
Ley 7/2007, de 12 de abril EBEP. Art. 55.2		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 5		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Ley 38/2003 de 17 de noviembre. General de subvenciones Art. 8 / 9 / 17 / 23 /		http://www.boe.es/buscar/pdf/2003/BOE-A-2003-20977-consolidado.pdf	
Ley 19/2014 de transparencia y Buen gobierno			
16. Judging merit (Code)			
Constitución Española Art. 44.2 y 149.1		http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 26		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Ley 38/2003 de 17 de noviembre. General de subvenciones Art. 23,2 y 24.3.b		http://www.boe.es/buscar/pdf/2003/BOE-A-2003-20977-consolidado.pdf	

RD 887/2006 de 21 julio, por el que se aprueba el Reglamento de la ley 38/2003 General de Subvenciones Art. 60		http://www.boe.es/boe/dias/2006/07/25/pdfs/A27744-27775.pdf	
17. Variations in the chronological order of CVs (Code)			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación. Sección II y Capítulo II Art. 26		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Real Decreto 1/1995 de 24 de marzo, Ley del Estatuto de los trabajadores. Art. 11		http://www.boe.es/boe/dias/1995/03/29/pdfs/A09654-09688.pdf	
18. Recognition of mobility experience (Code)			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación. Art. 37		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Real Decreto 1/1995 de 24 de marzo. Ley del Estatuto de los trabajadores. Art. 12 y 15.		http://www.boe.es/boe/dias/1995/03/29/pdfs/A09654-09688.pdf	
19. Recognition of qualifications (Code)			
Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 1.2 y Art. 8.2		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
Real Decreto 778/1998 de 30 de abril por el que se regula el tercer ciclo de estudios universitarios, la obtención y expedición del título de Doctor y otros estudios de postgrado		http://www.boe.es/boe/dias/1998/05/01/pdfs/A14688-14696.pdf	

Real Decreto 56/2005 Estudios Universitarios Oficiales de Postgrado		http://www.boe.es/boe/dias/2005/01/25/pdfs/A02846-02851.pdf	
Real Decreto 1393/2007 Ordenación de las enseñanzas Universitarias oficiales		http://www.boe.es/boe/dias/2007/10/30/pdfs/A44037-44048.pdf	
Real decreto 1837/2008 reconocimiento de cualificaciones profesionales.		http://www.mecd.gob.es/dms-static/d0696916-b19a-492f-a629-4820e0b6c59d/2010-1837-2008-pdf.pdf	
20. Seniority (Code)			
	2010 Company Agreement		
21. Postdoctoral appointments (Code)			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 20 / 21 / 22		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	10. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles.
Real Decreto 63/2006 Estatuto del personal investigador en formación. Disposición Adicional sexta		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
III. WORKING CONDITIONS AND SOCIAL SECURITY			
22. Recognition of the profession			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14 / 25 / 27		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	9. Revise the current Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a

			quality-in-research-oriented incentive programme.
	2010 Company Agreement		
23. Research environment			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación. Disposición adicional octava		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	11. Create the CREAF research staff meeting. 12. Create an informal meeting space for researchers. 13. Obtain the certificate of Quality Management System of research according to ISO 9001:2008 standards.
24. Working conditions			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14-j		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Ley Orgánica 3/2007 de 22 de marzo para la igualdad efectiva de mujeres y hombres. Art. 44,51 & 56		http://www.boe.es/boe/dias/2007/03/23/pdfs/A12611-12645.pdf	
25. Stability and permanence of employment			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 20 y Art. 25		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Directiva 1999/70/CE de 28 de junio de 1999 sobre el trabajo de duración determinada.		http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:1999:175:0043:0048:ES:PDF	
26. Funding and salaries			

Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 5		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	9. Revise the current Company Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a quality-in-research-oriented incentive programme..
Real Decreto 1/1995. Ley del Estatuto de los trabajadores. Art. 11.e) Contratos formativos. Art. 26.3 del Salario, Art. 37 Descanso semanal, fiestas y permisos.		http://www.boe.es/boe/dias/1995/03/29/pdfs/A09654-09688.pdf	
Real Decreto 1/1994 de 20 de junio. Ley General de la Seguridad Social Art. 124, Capitulo IV Bis, Titulo III Protección por desempleo. Art. 205 &206		http://www.boe.es/boe/dias/1994/06/29/pdfs/A20658-20708.pdf	
	2010 Company Agreement		
27. Gender balance			
Constitución Española, Art. 14		http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229	7. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion.
Ley Organica 3/2007 de 22 de marzo para la igualdad efectiva de mujeres y hombres. Art. 5 TITULO V (Spanish Organic Law 3/2007, for the equality of women and men)		http://www.boe.es/boe/dias/2007/03/23/pdfs/A12611-12645.pdf	8. Strengthen gender balance at selection and evaluation committees, as well as supervisory, managerial and decision-making bodies of CREAM.
28. Career development			

Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 6 / 12/ 13 /14 y 25		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	
Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público. Cap. II Derecho a la Carrera profesional y a la promoción interna.		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	
29. Value of mobility			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 17 de la movilidad del personal investigador.		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	<p>14. Increase collaboration of CREAM researchers with different expertise in highly integrative research projects that take advantage of the multidisciplinary of CREAM and its partners.</p> <p>15. Draw up a researcher exchange programme to attract foreign researchers and facilitate stays abroad for CREAM researchers.</p>
30. Access to career advice			
			16. Provide training sessions on the strategic vision, governance and structure of the Centre for all professional categories.
31. Intellectual Property Rights			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 35		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	

RD legislativo 1/1996 de 12 de abril. Ley de Propiedad Intelectual. (Libro I. Art. 7 y. 10) (Spanish Royal Decree 1/1996. Law of Intellectual Property)		http://www.boe.es/boe/dias/1996/04/22/pdfs/A14369-14396.pdf	2. Draw up an internal regulation on intellectual property rights and results exploitation.
Ley 11/86 de 20 de marzo de patentes. Art. 1,2,3,4,5. Disposición Adicional 1ª y 2ª y Disposición T. Única.		http://www.boe.es/boe/dias/1986/03/26/pdfs/A11188-11208.pdf	
Ley 20/2003 de 7 de julio de Protección Jurídica del Diseño Industrial y su Reglamento de Ejecución		http://www.boe.es/boe/dias/2003/07/08/pdfs/A26348-26368.pdf	
Real Decreto 55/2002 de 18 de enero, sobre explotación y cesión de invenciones		http://www.boe.es/boe/dias/2002/01/30/pdfs/A03691-03692.pdf	
33. Teaching			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 31		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	17. Provide specialized training sessions on team management and group leadership for researchers.
35. Participation in decision-making bodies			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación, Art. 8,9,10		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	11. Create the CREAF research staff meeting.
IV. TRAINING			
36. Relation with supervisors			

RD 63/2006 de 27 de enero por el que se aprueba el Estatuto del personal investigador en formación. Art. 7 (D. Adicional 6ª)		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	19. Improve the annual evaluation and review of doctoral theses of the CREAM PhD programme.
37. Supervision and managerial duties			
			16. Provide training sessions on the strategic vision, governance and structure of the Centre for all professional categories. 17. Provide specialized training sessions on team management and group leadership for researchers.
38. Continuing professional development			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14.1-k		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	18. Set up a seminar program to increase the quantity and quality of the seminars and specialized training courses offered by CREAM.
Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público. Art. 14.1-g		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	
Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 4 & 5		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
39. Access to research training and continuous development			
Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 14.1-k		http://www.boe.es/boe/dias/2011/06/02/pdfs/BOE-A-2011-9617.pdf	

Ley 7/2007, de 12 de abril Estatuto Básico del Empleado Público Art. 14.1-g		http://www.boe.es/boe/dias/2007/04/13/pdfs/A16270-16299.pdf	18. Set up a seminar program to increase the quantity and quality of the seminars and specialized training courses offered by CREAM.
Real Decreto 63/2006 Estatuto del personal investigador en formación. Art. 4 & 5		http://www.boe.es/boe/dias/2006/02/03/pdfs/A04178-04182.pdf	
40. Supervision			
	Annual evaluation and review of thesis development	(http://www.uab.cat/web/postgraduate/phds/all-phd-programmes/review/evaluation-and-review/terrestrial-ecology-1345467765260.html?param2=1345657422908)	19. Improve the annual evaluation and review of doctoral theses of the CREAM PhD programme.