



CREAF



SEVERO
OCHOA
EXCELLENCE

HRS4R

Human Resources Strategy for Researchers

Action Plan 2021-2024



INDEX

01 FOREWORD

01 The European Charter of Researchers and Code of Conduct

02 The Centre

03 DESCRIPTION OF THE HRS4R PROCESS

05 DESIGNING THE 2021-2024 HRS4R ACTION PLAN

06 2021-2024 ACTION PLAN

06 Proposed Actions

10 Work chronogram

12 ANNEX 1. Reviewed GAP analysis

24 ANNEX 2. National regulations regarding Charter and Code principles

35 ANNEX 3. Self-assessment survey results

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 currently the award is in its renewal phase.

The HRS4R logo identifies research centres as providers and supporters of a stimulating and favourable working environment, and committed to developing an HR Strategy for Researchers, designed to bring the practices and procedures in line with the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code).

This document collects the 2021-2024 Action Plan and CREAF OTM-R policy inspired in all Charter and Code principles and collecting the OTM-R recommendations (Open, Transparent and Merit-based Recruitment).

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 40 principles (recommendations) can be grouped in four main areas:

A – Ethical & Professional

1. Research freedom
2. Ethical principles
3. Professional responsibility
4. Professional attitude
5. Contractual and legal obligations
6. Accountability
7. Good practice in research
8. Dissemination, exploitation of results
9. Public engagement
10. Non-discrimination
11. Evaluation/appraisal systems

B -Recruitment and Selection

12. Recruitment
13. Recruitment (Code)
14. Selection (Code)
15. Transparency (Code)
16. Judging merit (Code)
17. Variations in the chronological order of CVs (Code)
18. Recognition of mobility experience (Code)
19. Recognition of qualifications (Code)
20. Seniority (Code)
21. Postdoctoral appointments (Code)

C – Working Conditions & Social

22. Recognition of the profession
23. Research environment
24. Working conditions
25. Stability and permanence of employment
26. Funding and salaries
27. Gender balance
28. Career development
29. Value of mobility
30. Access to career advice
31. Intellectual Property Rights
32. Co-authorship
33. Teaching
34. Complaints/ appeals
35. Participation in decision-making bodies

D – Training & Development

36. Relation with supervisors
37. Supervision and managerial duties
38. Continuing Professional Development
39. Access to research training and continuous development
40. Supervision

The Centre

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 to adapt to the impacts of global change while improving communication between researchers, managers and civil society.

Through excellence in research and development, CREAM 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 composed of 187 people of whom 107 are research staff. These include 48 researchers (R3 and R4) that contractually pertain to five independent institutions: CREAM 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 17 associate researchers pertaining to other centres and universities, 27 postdoctoral and 32 predoctoral researchers.

HRS4R DEVELOPMENT

The development of the HRS4R of an institution is achieved by an internal analysis according to the Charter and Code principles, 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 this strategy, the strengthened procedure of HRS4R sets up three main phases (initial, implementation, and award renewal) with a fixed timeline of 12, 24 or 36 months respectively (Figure 1).

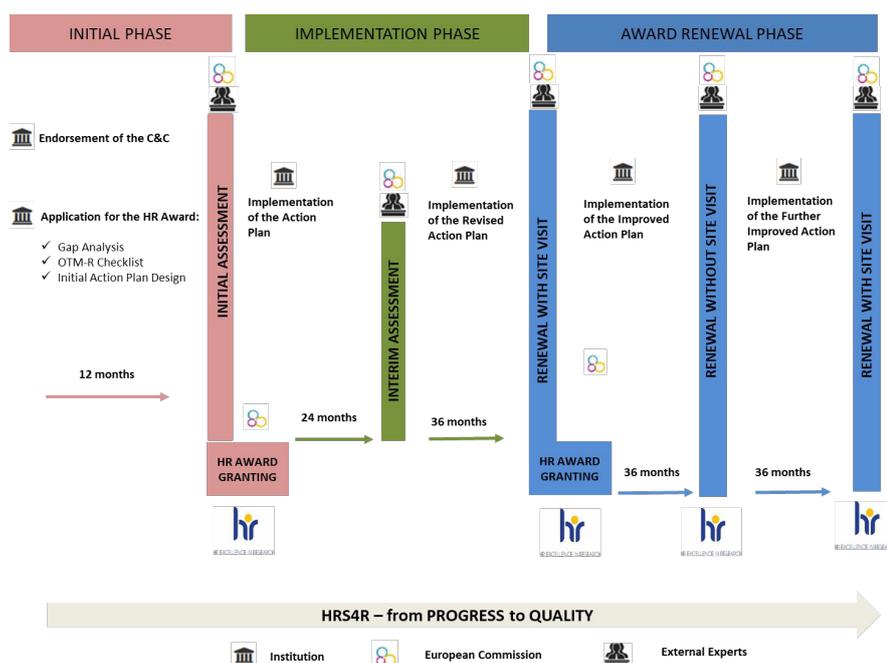


Figure 1. Timeline and actions of the main phases of the HRS4R development.

CREAF obtained the HRS4R award in May 2015. An Action Plan was designed for the 2015-2017 period, following the general guidelines of CERCA (the Agency for Research Centres of Catalonia). The Action Plan was led by CREAM's Management Team, which designated a HRS4R Working Group, representative of CREAM's staff, and composed of researchers, technical staff and the Administration Manager. The original Action Plan can be consulted at CREAM's website.

A revised 2017-2020 Action Plan was designed with the coordination of HRS4R Working Group and the Management Team, including (i) a revised gap analysis including all C&C principles and (ii) a check-list of the completed OTM-R recommendations. For the development of the 2017-2020 Action Plan, we took into account the Strategic Plan of CREAM and the recommendations received in 2016 by two external commissions representative of two main CREAM stakeholders: the international scientific community (representative for the research community) and the CERCA Commission (representative for public administration). That Action Plan included those actions from the initial action Plan 2015-2017 that were not fully implemented. The 2017-2020 Action Plan was presented and approved by the Management Team on October 2017 and can be consulted at CREAM's website.

DESIGNING THE 2021-2024 HRS4R ACTION PLAN

The 2021-2024 Action Plan has been designed with the coordination of HRS4R Working Group and CREAM's Management Team. HRS4R Working Group is composed by the Director, the Administration Manager, the Scientific Coordinator, two researchers and three people of the scientific strategy and development office. The commission has regularly met in order to oversee the strategy's development progress and to help in overcoming difficulties.

The 2021-2024 HRS4R Action Plan was set up based on a thorough review of the 40 principles of the Charter and Code summarized in a reviewed GAP analysis (Annex 1 and 2) and, similarly to the end of the implementation phase, an anonymous survey consisting of specific questions based upon the Charter's principle statements. This survey was performed online in June 2020 using the Google Forms® platform while ensuring anonymity. A total of 29 questions were asked referring to the four groups of principles included in the Charter and Code (4 on Ethical and Professional Aspects, 5 on Recruitment, 15 on Working Conditions and Social Security, and 5 on Training, Annex 3). The mean value for all answers was 3.12, a value at the middle-to-high end of the range (rate for each question from 1=very low to 5=very high). This result was similar to the 2017 Survey where the mean value for all answers was 3.34. Questions asked in the 2020 survey referred only to HRS4R issues/actions with room for improvement (*i.e.* principles already achieved with previous actions were not included) and thus, this could explain why there has not been a significant increase in the mean value compared to the 2017 survey.

In general, there were no relevant differences in responses between staff categories. Only three questions showed a mean score of less than 2.5, those referring to familiarity with recruitment legal regulations, data protection and property rights (question 3), career advice (question 14) and leadership training (question 25). These three questions were also the ones showing the highest difference between the importance and the value given by the staff and thus, new actions have been proposed for the next years. There were four more questions with a score under 3 that deserve particular attention. These referred to (1) promotion of staff mobility, both geographical and transdisciplinary, and between the public and private sectors (question 13), (2) the potential for research transfer (question 19), (3) the intellectual property policy (question 20) and (4) the gender balance in decision-making bodies (question 24). Two questions related to CREAM communication activities received the highest scores and, simultaneously, the lowest difference between their importance and the value rating: the success in raising visibility of women scientists (question 22) and the quality of seminars program CREAMTalks (question 16).

The reviewed GAP analysis and the self-assessment survey were used to detect outstanding tasks and were the starting point for defining the new actions proposed in the current plan to

strengthen CREAM HRS4R policies. It should be noted that special effort has been made to ensure correspondence between the new HRS4R proposed actions and those that are planned in the new CREAM Strategic Plan (2021-2024), which share common strategic objectives for research, organization and training.

2021-2024 ACTION PLAN

Proposed actions

The aim of the 2021-2024 Action Plan is to ensure that the evolution of CREAM is in line with the HRS4R standards.

The proposed actions have been grouped in four areas in alignment with the European Code and Charter: Ethical and Professional Aspects, Recruitment, Working Conditions and Social Security and Training and Career Development. This 2021-2024 Action Plan includes four actions from the previous action plan that were not implemented due to COVID pandemic and the derived lockdown which are determining some delay in achieving previous proposed goals.

A responsible unit, timeframe and indicator have been defined for each action. CREAM HRS4R Working Group will assess the implementation of the Action Plan and propose adjustments, whenever applicable and will report to the Direction Team twice a year.

<i>Title action</i>	<i>Gap Principle (s)</i>	<i>Timing (Trimester, year)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target</i>
A. ETHICAL & PROFESSIONAL				
Action 1. To develop a Research Integrity Promotion Plan to define actions for implementing the Code of Conduct	2, 4, 7, 32	T3-T4 2021	Ethics Commission	<i>CREAF's Research Integrity Promotion Plans</i>
Action 2. To develop an Impact strategy to maximize research knowledge transfer and societal impact	8,9	T4 2021	Impact officer	<i>Link to the Societal Impact Strategy</i>
Action 3. To create a position of Transfer officer	8	T4 2021	Management Team	<i>Implementation of the position of Transfer officer</i>
Action 4. To continue	9	2021-	Impact	<i>No. of ongoing collaborative, citizen</i>

promoting collaborative, citizen science projects to promote public engagement		2024	officer Communication Department	<i>science projects</i>
Action 5. To organize training on how to increase knowledge-transfer and research impact	8, 38, 39	T3-T4 2022	Impact officer and Transfer officer	<i>Number of courses, hours, participants and satisfaction survey</i>
Action 6. To develop internal guidelines for data protection for CREAM researchers	32,31,3 9	T3-T4 2022	Transfer officer	<i>New guidelines</i>
B. RECRUITMENT AND SELECTION				
Action 7. To online publish a set of result indicators of OTM-R policy of CREAM	12, 14, 15, 16, 18, 21	T4 2021 T4 2022 T4 2023	HRS4R Working Group	<i>OTM-R policy published online</i>
Action 8. To 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 2021 T4 2022 T4 2023	HRS4R Working Group	<i>Number of training courses Number of attendees</i>
Action 9. To review recruitment protocols of specific profiles to ensure that criteria and selection process are in line with the OTM-R policy	16,18, 20,21	T1-T2 2023	Managemen t Team, Talent officer and researchers commission	<i>Reviewed protocols</i>
C. WORKING CONDITIONS & SOCIAL				
Action 10. Create a mobility program for funding travels of scientists and students to attend and contribute to international forums.	29	2023- 2024	Scientific coordinator	<i>Number of researchers that have benefited from the mobility program Number of participants in the summer fellowship programme and satisfaction survey</i>

Action 11. To increase researchers participation on the design of the new Strategic Plan	23, 35	T2-T3-T4 2021	Management Team	<i>Number of workshops and attendees to participate in the design of CREAM Strategic Plan involving research staff. Number of Scientific Board meetings</i>
Action 12. To improve the intranet with all the relevant information of the centre	23	T3-T4 2021	Communication and IT Departments	<i>New internal webpage</i>
Action 13 . To ensure good laboratory practices and supervision of the maintenance of the laboratories and equipment of CREAM as well as carry out the reorganization and conditioning of the research infrastructures	23	2022	Infrastructures coordinator	<i>Link to new protocols</i>
Action 14. To renew the current Gender Equality Plan and extend concrete actions to enhance diversity beyond gender	10, 27	T1-T2 2022	Gender officer	<i>New Equality Plan</i>
Action 15. To create a Sexual Harassment Policy and Complaint/Investigation Procedure	10, 23, 27	T3 2021 T1-T2 2022	Gender officer	<i>New Policy</i>
Action 16. To increase female leadership	10,27,39	2021-2024	Management Team	<i>Number of R3 and R4 female researchers leading projects</i>
Action 17. To provide training to increase awareness about Gender bias in academia	10,27,39	T2 2021-2024	Gender officer and Equality Commission	<i>Number of courses, topics covered, hours, participants and satisfaction survey</i>
Action 18. To organize training on issues related	32, 31, 39	T3-2022 T3-	Transfer officer	<i>Number of courses, hours, participants and satisfaction survey</i>

to Intellectual Property Rights, data protection and patents		2024		
Action 19. To guide researchers on knowledge management and protection	5, 7, 8	T1-T2 2023	Transfer officer	<i>Guidelines on how to protect and share research results</i>
D. TRAINING & DEVELOPMENT				
Action 20. To implement a career development program for all research categories working in CREAM with specialized courses and seminars	28,30,37	T3-T4 2021	Talent officer	Career development program implemented Number of attendees
Action 21. To unify all CREAM trainings and procedures in a unique CREAM Training Program and to make it available for all the staff in the internal webpage	38, 39	T4 2021	CREAM Training commission	<i>Training Program, number of courses and total participants per year.</i>
Action 22. To organize training on leadership (team management, project leadership, and supervision)	38, 39	T4 2022 T4 2023	CREAM Training commission	<i>Number of courses, hours, participants and satisfaction survey</i>
Action 23. To organize training on career development	38, 39	T1 2022 T1 2023 T1 2024	Talent officer	<i>Training sessions on career development, number of hours, participants and satisfaction survey</i>
Action 24. To develop a mentoring program	37,38,40	T1 T2 2024	Talent officer	<i>Number of mentors and mentees involved in the program and satisfaction survey</i>
E. GENERAL				
Action 25. General satisfaction survey of the implementation of HRS4R Strategy in the middle of the new action plan and at the end.	23, 24,35, 7	T4 2022 T2 2024	HRS4R Working Group	<i>Satisfaction survey</i>

Work chronogram

	2021				2022				2023				2024	
	Trimester													
	1	2	3	4	1	2	3	4	1	2	3	4	1	2
A. ETHICAL & PROFESSIONAL														
Action 1. To develop a specific CREAM's Research Integrity Promotion Plan for implementing the Code of Conduct			■	■										
Action 2. To develop an Impact strategy to maximize the research societal impact				■										
Action 3. To create a position of Transfer officer														
Action 4. To continue promoting collaborative, citizen science projects to promote public engagement			■	■	■	■	■	■	■	■	■	■	■	■
Action 5. To organize training on how to increase knowledge- transfer and research impact							■							■
Action 6. To develop internal guidelines for data protection for CREAM researchers							■	■						
B. RECRUITMENT AND SELECTION														
Action 7. To online publish a set of result indicators of OTM-R Strategy of CREAM				■				■						■
Action 8. To set up a training programme on OTM-R policy for the Management Team, administrative staff and principal investigators.							■	■						
Action 9. To review recruitment protocols of specific profiles to ensure that criteria and selection process are in line with the OTM-R policy									■	■				
C. WORKING CONDITIONS & SOCIAL														
Action 10. Create a mobility program for funding travels of scientists and students to attend and contribute to international forums.									■	■	■	■	■	■
Action 11. To increase researchers participation on the design of the new Strategic Centre Plan and thus, more generally promote the participation of researchers in the governance of the centre		■	■	■										
Action 12. To improve the intranet with all the relevant information of the centre			■	■										

ANNEX 1. REVISED GAP ANALYSIS

+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers			
GAP analysis overview considering all C&C principles			
Principles		GAP	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+		<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) CREAF Statutes <p>(www.creaf.cat/sites/default/files/2010_ag_aprobacion_estatutos_creaf.pdf).</p>
2. Ethical principles	-/+	Development of specific CREAM's Research Integrity Promotion Plan for implementing the Code of Conduct	<p><i>Action. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation. Partially implemented.</i></p> <p><i>Action. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. Partially implemented</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

			<p>Decree 63/2006 of Researchers at training stages)</p> <p><i>Action. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation. Partially implemented.</i></p>
5. Contractual and legal obligations	+/-	More training and internal guidelines are needed	<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. Draw up an internal protocol on intellectual property rights and results exploitation. Implemented.</i></p> <p><i>Action. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results. Fully implemented</i></p> <p><i>Action. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. Partially implemented.</i></p> <p><i>Action. To develop internal guidelines for data protection for CREAM researchers New action proposed</i></p> <p><i>Action. To organize training on issues related to Intellectual Property Rights, data protection and patents. New action proposed</i></p> <p><i>Action. To guide researchers on knowledge management and protection. New action proposed</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

			<ul style="list-style-type: none"> 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	-/+	Development of specific CREAM's Research Integrity Promotion Plan for implementing the Code of Conduct	<p>Action. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation. Partially implemented.</p> <p>Action. Draw up an internal protocol on data protection according to the existing national legal requirements regarding data protection and confidentiality. Fully implemented</p> <p>Action. To develop internal guidelines for data protection for CREAM researchers. New action proposed</p>
8. Dissemination, exploitation of results	+/-	increase knowledge-transfer and research impact	<p>Action. Draw up an internal protocol on knowledge transfer to potential users. Fully implemented</p> <p>Action. To develop an Impact strategy to maximize research societal impact.. New action proposed</p> <p>Action. To create a position of Transfer officer. New action proposed</p> <p>Action. To organize training on how to increase knowledge-transfer and research impact. New action proposed</p> <p>Action. To continue promoting collaborative, citizen science projects to promote public engagement. New action proposed</p>
9. Public engagement	+/-	increase knowledge-transfer and research impact	<p>Action. Improve the existing CREAM webpage, blog and newsletter with technical reports that can be used by journalists to make CREAM's research accessible and understandable to the general public. Fully implemented</p> <p>New webpage (www.cream.cat/) with documents on press & media in annual reports (www.cream.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/annual-reports) and regular newsletters (https://ddd.uab.cat/search?cc=butlletins&p=creafuab).</p>

			<p>Action. Enhance collaborative, citizen science projects to promote public engagement. Fully implemented</p> <p>Action. To develop an Impact strategy to maximize research societal impact. New action proposed</p> <p>Action. To organize training on how to increase knowledge-transfer and research impact. New action proposed</p> <p>Action. To continue promoting collaborative, citizen science projects to promote public engagement. New action proposed</p>
10. Non discrimination	+/-	enhance diversity beyond gender and need for more training	<p>Action. Produce a Strategic Equality Plan aiming to promote equality in age, disability, gender, race and religion. Fully implemented</p> <p>Action. To extend the Strategic Equality Plan based on CERCA and OTM-R frameworks. Fully implemented</p> <p>Action. To renew the current Gender Equality Plan and extend concrete actions to enhance diversity beyond gender. New action proposed</p> <p>Action. To create a Sexual Harassment Policy and Complaint/Investigation Procedure. New action proposed</p> <p>Action. To provide training to increase awareness about Gender bias in academia. New action proposed</p> <p>Action. To increase female leadership. New action proposed</p>
11. Evaluation/ appraisal systems	+		<p>Action. A new 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. Fully implemented</p> <p>Additional items:</p> <ul style="list-style-type: none"> • CREAM's research and organization are regularly evaluated by the Scientific Committee of CERCA Catalan Institution (included in CREAM's Board of Trustees), and an International

			<p>Scientific Committee (www.creaf.cat/research-innovation-and-knowledge-transfer-terrestrial-ecology/international-scientific-committee)</p> <ul style="list-style-type: none"> • CREAM's economic balance and administrative processes are regularly audited by the Catalan Government.
Recruitment and Selection			
12. Recruitment	+/-	<i>Publish a set of result indicators of CREAM's OTM-R policy online</i>	<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Fully implemented</p> <p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</p> <p>Action. Publish a set of result indicators of CREAM's OTM-R policy online. Pending</p> <p>Action. To review recruitment protocols of specific profiles to ensure that criteria and selection process are in line with the OTM-R policy. New action proposed</p>
13. Recruitment (Code)	+		<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel containing the C&C principles. Fully implemented</p> <p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</p>
14. Selection (Code)	+/-	More training on OTM-R policy for potential selection panels	<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel including the C&C principles. Fully implemented</p> <p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</p> <p>Action. Set up a training programme on OTM-R policy for the Management team, administrative staff and principal investigators. Partially implemented</p>
15. Transparency (Code)	+		<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel including the C&C principles. Fully implemented</p> <p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</p>
16. Judging merit (Code)	+		<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel including the C&C principles. Fully implemented.</p>

			<p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</p> <p>Action. Publish a set of result indicators of CREAM's OTM-R policy online. Pending</p> <p>Action. To review recruitment protocols of specific profiles to ensure that criteria and selection process are in line with the OTM-R policy. New action proposed</p>
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 <p>Additionally, CREAM's OTM-R policy takes specifically this principle into account.</p>
18. Recognition of mobility experience (Code)	+		<p>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel including the C&C principles. Fully implemented.</p> <p>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</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, CREAM's OTM-R policy takes specifically this principle into account.</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

			<ul style="list-style-type: none"> • 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, CREAM's OTM-R policy takes specifically this principle into account.</p>
21. Postdoctoral appointments (Code)	+		<p><i>Action. Draw up a new Protocol on Recruitment and Selection of CREAM personnel including the C&C principles. Fully implemented.</i></p> <p><i>Action. Publish the OTM-R Strategy of CREAM online. Fully implemented</i></p> <p>Recently, CREAM had the opportunity to hire six postdoctoral researchers within the 'Severo Ochoa project. The two recruitment processes followed the principles of Open Access, Transparency and Merit-based. Job offers can be consulted at the CREAM job board: http://www.cream.cat/work-with-us</p>
Working Conditions and Social Security			
22. Recognition of the profession	+		<p><i>Action. 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. Fully implemented.</i></p>
23. Research environment	+		<p><i>Action. Create the CREAM research staff meeting. Fully implemented</i></p> <p><i>Action. Create informal meeting spaces for researchers. Fully implemented.</i></p> <p>A set of initiatives with the same aim have been promoted since the last GAP analysis: CREAMTalks, CREAMfuture (predoctoral community), Microwebinars & Lunch (postdoctoral community), GREC (Forum on ecology and education).</p> <p><i>Action. Obtain the certificate of Quality Management System of research according to ISO 9001:2008 standards. Cancelled.</i></p>

			<p>Action. To increase researcher's participation on the design of the new CREAM's Strategic Plan. New action</p> <p>Action. To ensure good laboratory practices and supervision of the maintenance of the laboratories and equipment of CREAM as well as carry out the reorganization and conditioning of the research infrastructures. New action proposed</p>
24. Working conditions	+		<p>Action. A new Collective Bargaining Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualifying-research-oriented incentive programme. Fully implemented.</p> <p>Gender biases in working conditions and culture are addressed in the CREAM Gender Equality Plan.</p> <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>Action. A new Collective Bargaining Agreement regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a quality in-research-oriented incentive programme. Fully implemented.</p>
27. Gender balance	+/-	<p>need for more training and increasing female leadership</p>	<p>Action. To extend the Strategic Equality Plan based on CERCA and ORM-R frameworks. Fully implemented</p> <p>Action. Strengthen gender balance at selection and evaluation committees, as well as supervisory, managerial and decision-making bodies. Fully implemented.</p> <p>Action. To renew the current Gender Equality Plan and extend concrete actions to enhance</p>

			<p><i>diversity beyond gender. New action proposed</i></p> <p><i>Action. To create a Sexual Harassment Policy and Complaint/Investigation Procedure. New action proposed</i></p> <p><i>Action. To provide training to increase awareness about Gender bias in academia. New action proposed</i></p> <p><i>Action. To increase female leadership. New action proposed</i></p>
28. Career development	+/-	<p>Career development implementation and evaluation (analysis needs and design already done)</p> <p>Need for more proactive actions</p>	<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. To implement a career development program for all research categories at CREAM which include specialized courses and seminars, in agreement with the UAB mentoring program.</i></p> <p>Partially implemented</p> <p><i>Action. To organize training on career planning. New action proposed</i></p> <p><i>Action. To develop a mentoring program. New action proposed</i></p>
29. Value of mobility	+/-	<p>Need for more actions</p>	<p><i>Action. Increase collaboration of researchers with different expertise in highly integrative research projects in order to take advantage of the multidisciplinary of CREAM and its partners.</i></p> <p>Fully implemented</p> <p><i>Action. Draw up a researcher exchange programme to attract foreign researchers and facilitate abroad stays for CREAM researchers. Fully implemented</i></p> <p><i>Action. Create a mobility program which include travel funds for scientists and students to attend and contribute to international forums. New action proposed</i></p>
30. Access to career advice	+/-	<p>Need for more proactive actions</p>	<p><i>Action. Provide training sessions on the strategic vision, governance and structure of CREAM for all professional categories. Number of courses and people trained. Participant feedback (satisfaction survey) Fully implemented</i></p>

			<p>Action. To implement a career development program for all research categories working in CREAM with specialized courses and seminars. Partially implemented.</p> <p>Action. To develop a mentoring program. New action proposed</p> <p>Action. To organize training on career planning. New action proposed</p>
31. Intellectual Property Rights	+/-	Need for more training and internal guidelines	<p>Action. Draw up an internal protocol on intellectual property rights and results exploitation. Fully implemented</p> <p>Action. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results. Fully implemented.</p> <p>Action. Training on issues related to Intellectual Property Rights, data protection and patents. New action proposed</p> <p>Action. To guide researchers on knowledge management and protection. New action proposed</p>
32. Co-authorship	+/-	Rules not sufficiently clearly stated and more trainings	<p>Action. Develop the CREAM Code of Ethics and Good Scientific Practice and define actions for implementation. Partially implemented.</p> <p>Action. Train on issues related to intellectual property rights regulations, new products development and patents, data protection, publications and transfer of results. Fully implemented</p> <p>Action. Training on issues related to Intellectual Property Rights, data protection and patents. New action</p> <p>Action. To guide researchers on knowledge management and protection. New action proposed</p>
33. Teaching	+		<p>Actions not needed.</p> <p>CREAM only has teaching responsibilities in the PhD Program on Terrestrial Ecology, in which CREAM researchers are encouraged to participate as PhD supervisors and members of Academic Tribunals of PhD Theses (http://www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=13456574229084)</p>

			Teaching activities of researchers are encouraged by the <i>Ley 14/2011 de 1 de junio de la Ciencia, la Tecnología y la innovación Art. 31</i>
34. Complains/ appeals	+		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). Complaint procedures in selection processes are dealt within CREAM's OTM-R policy <i>Action. Create the CREAM research staff meeting. Fully implemented</i>
35. Participation in decision-making bodies	+/-	Increase participation	<i>Action. Create the CREAM research staff meeting. Fully implemented</i> <i>Action. To increase researcher's participation on the design of the new CREAM's Strategic. New action proposed</i>
Training and Development			
36. Relation with supervisors	+		<i>Action. Improve the annual evaluation and review of doctoral theses of the CREAM's PhD programme. Fully implemented.</i> Protocol available at www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=1345657422908
37. Supervision and managerial duties	-/+	Need for more training Need to develop a mentoring program	<i>Action. Provide specialized training sessions on team management and group leadership for researchers. Fully implemented</i> <i>Action. Training on leadership (team management, project leadership, and supervision). New action proposed</i> <i>Action. To implement a career development program for all research categories including specialized courses and seminars. Partially implemented</i> <i>Action . To develop a mentoring program New action proposed</i>
38. Continuing Professional Development	+/-	Need for more career development	<i>Action. A new Collective Bargaining Agreement of CREAM regarding professional categories, salaries and pathways for internal promotion, including clear and transparent appraisal systems and a qualifying-research-oriented incentive programme. Fully implemented.</i> <i>Action. Set up a seminar program to increase their quantity and quality and those of specialized</i>

		support	<p>training courses offered by CREAM. Fully implemented</p> <p>Action. To implement a career development program for all research categories working at CREAM with specialized courses and seminars. Partially implemented</p> <p>Action. To develop a mentoring program. New action proposed</p> <p>Action. To organize training on career planning. New action proposed</p>
39. Access to research training and continuous development	+/-	Need for more training and careers development support	<p>Action. Set up a seminar program to increase their quantity and quality and those of specialized training courses offered by CREAM. Fully implemented</p> <p>Action. To implement a career development program for all research categories working at CREAM with specialized courses and seminars. Partially implemented</p> <p>Action. To unify all CREAM trainings and procedures in a unique CREAM Training Program and to make it available for all the staff at CREAM's intranet. New action proposed</p> <p>Action. To organize training on leadership (team management, project leadership, and supervision) New action proposed</p> <p>Action. To organize training on issues related to Intellectual Property Rights, data protection and patents. New action proposed</p> <p>Action. To organize training on how to increase knowledge-transfer and research impact. New action proposed</p>
40. Supervision	+		<p>Action. Improve the annual evaluation and review of doctoral theses of the CREAM PhD programme. Fully implemented.</p> <p>Protocol available at www.uab.cat/web/postgraduate/phds/all-phd-programmes/general-information/terrestrial-ecology-1345467765430.html?param2=1345657422908</p>
Additional issues			
Perception on implementation of HRS4R	-		<p>Action. General satisfaction survey of the implementation of HRS4R Strategy. Fully implemented</p> <p>Action. General satisfaction survey of the implementation of HRS4R Strategy at midterm of the new action plan and at the end. New action proposed</p>

ANNEX 2. National regulations regarding the principles contained in the Charter and Code.

<u>Relevant legislation</u>	<u>Link</u>
I. ETHICAL AND PROFESSIONAL ASPECTS	
1. Research freedom	
Spanish Constitution (arts. 20.1, 44.2)	http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
2. Ethical principles	
Spanish Royal Legislative Decree 5/2015, of October 30, approving the revised text of the Law of the Basic Statute of Public Employees) (arts. 52-54)	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
3. Professional responsibility	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
4. Professional attitude	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	https://www.boe.es/buscar/act.php?id=BOE-A-2019-3700&p=20190315&tn=2

5. Contractual and legal obligations	
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statute	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	https://www.boe.es/buscar/act.php?id=BOE-A-2019-3700&p=20190315&tn=2
Spanish Royal Decree 1/1996, of 12 April, Law of Intellectual Property	BOE.es - BOE-A-1996-8930 Real Decreto Legislativo 1/1996, de 12 de abril, por el que se aprueba el texto refundido de la Ley de Propiedad Intelectual, regularizando, aclarando y armonizando las disposiciones legales vigentes sobre la materia.
Spanish law 24/2015, of 24 July, of Patents	BOE.es - BOE-A-2015-8328 Ley 24/2015, de 24 de julio, de Patentes.
Spanish Royal Decree 55/2002, of 18 January, on use of inventions by public research institutions	BOE.es - BOE-A-2002-1754 Real Decreto 55/2002, de 18 de enero, sobre explotación y cesión de invenciones realizadas en los entes públicos de investigación, de conformidad con lo establecido en el artículo 20 de la Ley 11/1986, de 20 de marzo, de Patentes.
6. Accountability	
Spanish law 38/2003, of 17 November, General of Grants)	BOE.es - BOE-A-2003-20977 Ley 38/2003, de 17 de noviembre, General de Subvenciones.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.

Spanish law 9/2017, of 8 November, of Public Sectors Contracts	BOE.es - BOE-A-2017-12902 Ley 9/2017, de 8 de noviembre, de Contratos del Sector Público, por la que se transponen al ordenamiento jurídico español las Directivas del Parlamento Europeo y del Consejo 2014/23/UE y 2014/24/UE, de 26 de febrero de 2014.
Catalan law 19/2014, of 29 December, of transparency, access to public information and good governance	Diari Oficial de la Generalitat de Catalunya (gencat.cat)
7. Good practice in research	
Spanish law 31/1995, of 8 November, of occupational risks prevention	BOE.es - BOE-A-1995-24292 Ley 31/1995, de 8 de noviembre, de prevención de Riesgos Laborales.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
REGULATION (EU) 2016/679 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL, of 27 April 2016, on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)	L_2016119EN.01000101.xml (europa.eu)
Spanish Organic law 3/2018, of 5 December, of Protection of Personal Data and guarantee of digital rights	BOE.es - BOE-A-2018-16673 Ley Orgánica 3/2018, de 5 de diciembre, de Protección de Datos Personales y garantía de los derechos digitales.
8. Dissemination, exploitation of results	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish law 24/2015, of 24 July, of Patents	BOE.es - BOE-A-2015-8328 Ley 24/2015, de 24 de julio, de Patentes.

Spanish Royal Decree 55/2002, of 18 January, on use of inventions by public research institutions	BOE.es - BOE-A-2002-1754 Real Decreto 55/2002, de 18 de enero, sobre explotación y cesión de invenciones realizadas en los entes públicos de investigación, de conformidad con lo establecido en el artículo 20 de la Ley 11/1986, de 20 de marzo, de Patentes.
9. Public engagement	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
10. Non-discrimination	
Spanish Constitution (Arts. 1.1, 9.2, 14, 23.2 y 35.1)	http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statute	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish Organic law 3/2007, of 22 March, for the equality of women and men	BOE.es - BOE-A-2007-6115 Ley Orgánica 3/2007, de 22 de marzo, para la igualdad efectiva de mujeres y hombres.
Catalan law 19/2020, of 30 December, of equal treatment and non-discrimination	LLEI 19/2020, del 30 de desembre, d'igualtat de tracte i no-discrimina (gencat.cat)
Spanish Royal Decree 901/2020, of 13 October, of equality plans	BOE.es - BOE-A-2020-12214 Real Decreto 901/2020, de 13 de octubre, por el que se regulan los planes de igualdad y su registro y se modifica el Real Decreto 713/2010, de 28 de mayo, sobre registro y depósito de convenios y acuerdos colectivos de trabajo.
Spanish Royal Decree 902/2020, of 13 October, of salary equality	BOE.es - BOE-A-2020-12215 Real Decreto 902/2020, de 13 de

between women and men)	octubre, de igualdad retributiva entre mujeres y hombres.
11. Evaluation / appraisal systems	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
II. RECRUITMENT	
12. Recruitment	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
13. Recruitment (Code)	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
14. Selection (Code)	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la

Innovation	Ciencia, la Tecnología y la Innovación.
15. Transparency (Code)	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Catalan law 19/2014, of 29 December, of transparency, access to public information and good governance	Diari Oficial de la Generalitat de Catalunya (gencat.cat)
16. Judging merit (Code)	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
17. Variations in the chronological order of CVs (Code)	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
18. Recognition of mobility experience (Code)	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
19. Recognition of qualifications (Code)	
Spanish law 14/2011, dated 1 June, of Science, Technology and	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la

Innovation)	Ciencia, la Tecnología y la Innovación.
Spanish Royal Decree 581/2017, of 9 June, on the recognition of professional qualifications	BOE.es - BOE-A-2017-6586 Real Decreto 581/2017, de 9 de junio, por el que se incorpora al ordenamiento jurídico español la Directiva 2013/55/UE del Parlamento Europeo y del Consejo, de 20 de noviembre de 2013, por la que se modifica la Directiva 2005/36/CE relativa al reconocimiento de cualificaciones profesionales y el Reglamento (UE) n.º 1024/2012 relativo a la cooperación administrativa a través del Sistema de Información del Mercado Interior (Reglamento IMI).
Spanish Royal Decree 1393/2007, of 29 October, establishing the organization of official university education	BOE.es - BOE-A-2007-18770 Real Decreto 1393/2007, de 29 de octubre, por el que se establece la ordenación de las enseñanzas universitarias oficiales.
20. Seniority (Code)	
21. Postdoctoral appointments (Code)	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
III. WORKING CONDITIONS AND SOCIAL SECURITY	
22. Recognition of the profession	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation)	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
23. Research environment	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
24. Working conditions	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation)	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.

Spanish Organic law 3/2007, of 22 March, for the equality of women and men	BOE.es - BOE-A-2007-6115 Ley Orgánica 3/2007, de 22 de marzo, para la igualdad efectiva de mujeres y hombres.
25. Stability and permanence of employment	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
26. Funding and salaries	
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statute	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	https://www.boe.es/buscar/act.php?id=BOE-A-2019-3700&p=20190315&tn=2
27. Gender balance	
Spanish Constitution (art.14)	http://www.boe.es/buscar/act.php?id=BOE-A-1978-31229
Spanish Organic law 3/2007, of 22 March, for the equality of women and men	BOE.es - BOE-A-2007-6115 Ley Orgánica 3/2007, de 22 de marzo, para la igualdad efectiva de mujeres y hombres.
Spanish Royal Decree 901/2020, of 13 October, of equality plans	BOE.es - BOE-A-2020-12214 Real Decreto 901/2020, de 13 de octubre, por el que se regulan los planes de igualdad y su registro y se modifica el Real Decreto 713/2010, de 28 de mayo, sobre registro y depósito de convenios y acuerdos colectivos de trabajo.
28. Career development	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la

Innovation	Ciencia, la Tecnología y la Innovación.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statute	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
29. Value of mobility	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
30. Access to career advice	
31. Intellectual Property Rights	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Decree 1/1996, of 12 April, Law of Intellectual Property	BOE.es - BOE-A-1996-8930 Real Decreto Legislativo 1/1996, de 12 de abril, por el que se aprueba el texto refundido de la Ley de Propiedad Intelectual, regularizando, aclarando y armonizando las disposiciones legales vigentes sobre la materia.
Spanish law 24/2015, of 24 July, of Patents	BOE.es - BOE-A-2015-8328 Ley 24/2015, de 24 de julio, de Patentes.
Spanish Royal Decree 55/2002, of 18 January, on use of inventions by public research institutions	BOE.es - BOE-A-2002-1754 Real Decreto 55/2002, de 18 de enero, sobre explotación y cesión de invenciones realizadas en los entes públicos de investigación, de conformidad con lo establecido en el artículo 20 de la Ley 11/1986, de 20 de marzo, de Patentes.
Spanish law 20/2003, of 7 July, on Legal Protection of Industrial Design	BOE.es - BOE-A-2003-13615 Ley 20/2003, de 7 de julio, de Protección Jurídica del Diseño Industrial.

33. Teaching	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
35. Participation in decision-making bodies	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
IV. TRAINING	
36. Relation with supervisors	
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	BOE.es - BOE-A-2019-3700 Real Decreto 103/2019, de 1 de marzo, por el que se aprueba el Estatuto del personal investigador predoctoral en formación.
37. Supervision and managerial duties	
38. Continuing professional development	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statute	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	BOE.es - BOE-A-2019-3700 Real Decreto 103/2019, de 1 de marzo, por el que se aprueba el Estatuto del personal investigador predoctoral en formación.

39. Access to research training and continuous development	
Spanish law 14/2011, dated 1 June, of Science, Technology and Innovation	BOE.es - BOE-A-2011-9617 Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.
Spanish Royal Legislative Decree 5/2015, of 30 October, approving the revised text of the Law of the Basic Statute of Public Employees	BOE.es - BOE-A-2015-11719 Real Decreto Legislativo 5/2015, de 30 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto Básico del Empleado Público.
Spanish Royal Legislative Decree 2/2015, of 23 October, approving the revised text of the Law of Workers Statut	BOE.es - BOE-A-2015-11430 Real Decreto Legislativo 2/2015, de 23 de octubre, por el que se aprueba el texto refundido de la Ley del Estatuto de los Trabajadores.
Spanish Royal Decree 103/2019, of March 1, approving the Statute of pre-doctoral research staff in training	BOE.es - BOE-A-2019-3700 Real Decreto 103/2019, de 1 de marzo, por el que se aprueba el Estatuto del personal investigador predoctoral en formación.
40. Supervision	

ANNEX 3. SELF-ASSESSMENT SURVEY RESULTS

An anonymous survey consisting of specific questions based on the Charter's principle statements was performed online in June 2020 using the *Google Forms*® platform while ensuring anonymity.

A total of 29 questions were asked referring to the four groups of principles included in the Charter and Code (4 on Ethical and Professional Aspects, 5 on Recruitment, 15 on Working Conditions and Social Security, and 5 on Training).

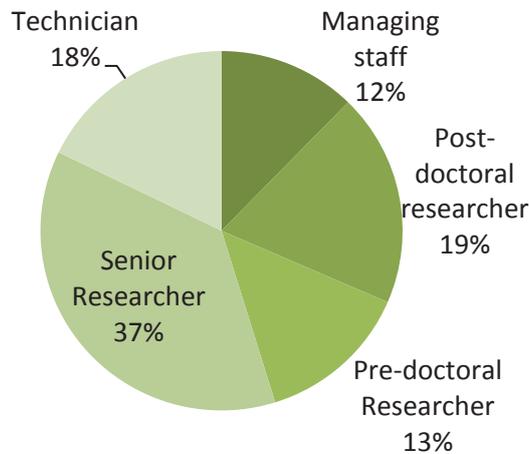
Two basic assessments were required for each question:

(a) how do you rate the importance of the question, from 1 (very low) to 5 (very high)

(b) how far is CREAM from achieving the objective, from 0 (very far) to 5 (already achieved).

Staff profile sample of the survey

Despite that questions were specifically aimed at researchers, the survey was open to all CREAM staff to reflect the broadest view possible. Seventy-three CREAM staff members answered the survey, from a total of 187 staff members (**39.07%** participation).



Category	Answer
Senior Researcher	27
Post-doctoral Researcher	14
Pre-doctoral Researcher	10
Technician	13
Managing staff	9
TOTAL	73

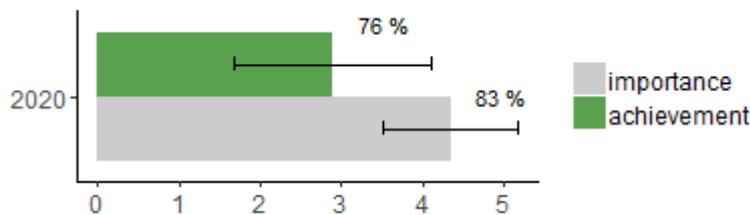
Survey results

The results of the 2020 survey are shown in the following figures. The mean score value for each question is shown. Two basic assessments were required to rate for each question: the importance of the question (from 1 (very low) to 5 (very high)) and the degree of achievement (from 0 (very far) to 5 (already achieved)).

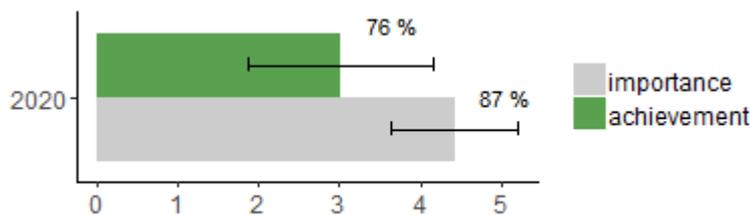
Error bars indicate standard deviation from the mean. The percentage of participation for each question is shown next to each bar. When available, results from 2017 survey regarding the same question are also depicted.

ETHICAL AND PROFESSIONAL ASPECTS

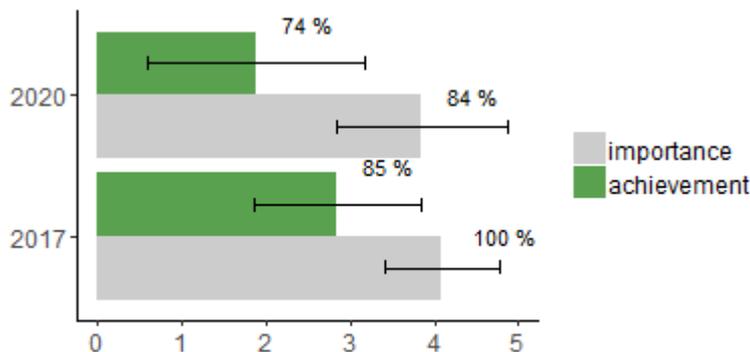
1. Do you consider that the CREAM's systems for evaluation of researchers are well defined?



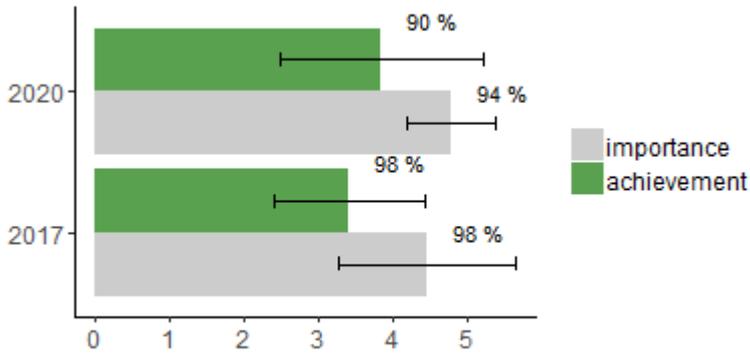
2. Do you consider that the CREAM's systems for evaluation of researchers are transparent enough?



3. Do you consider that CREAM researchers are familiar with the legal regulations related to recruitment, Intellectual Property Rights, data protection, patents; etc.?

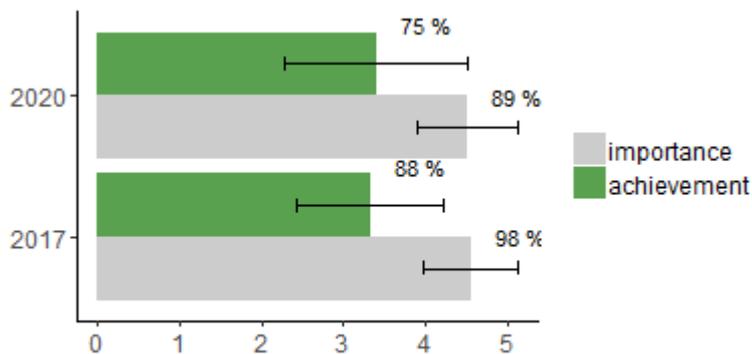


4. Do you consider that CREAM offers equal opportunities to researchers independently of gender, age, language, political opinion, etc.?

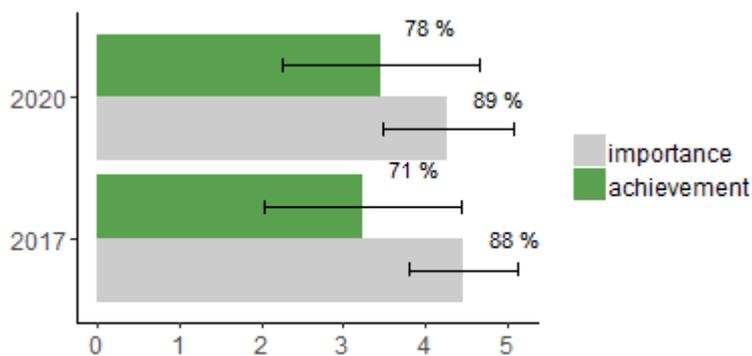


RECRUITMENT

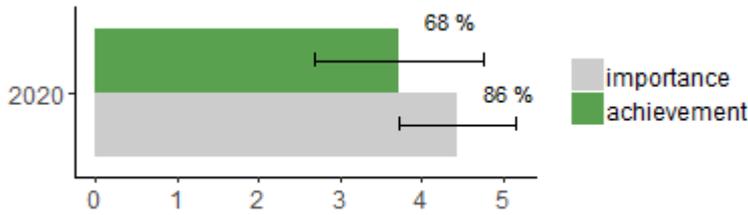
5. Do you consider that recruitment procedures of new researchers at CREAM are clearly specified with regard to the recruitment process and the selection criteria, the working conditions and entitlements, and the knowledge and competencies required?



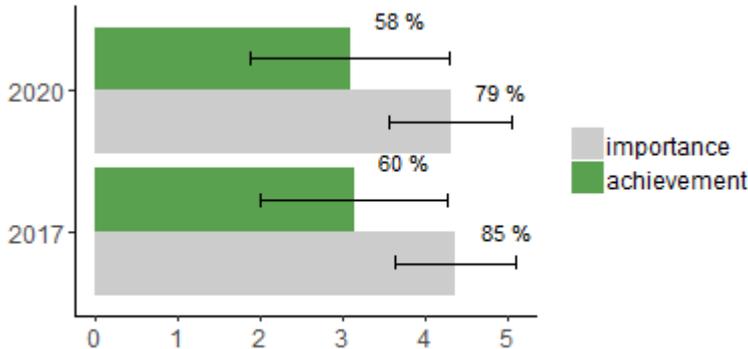
6. Do you consider that CREAM has appropriate selection committees, with enough experience and competences to guarantee a suitable selection of candidates?



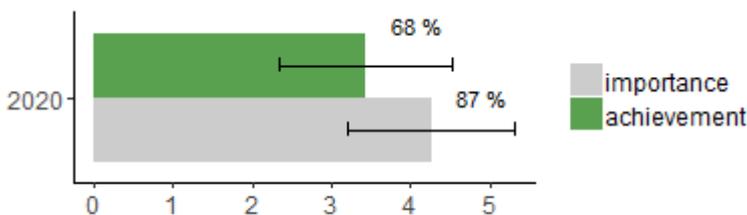
7. Do you consider that CREAM has improved the process of selection and recruitment of researchers (new protocols) following Open, Transparent and Merit-based principles (including gender equality aspects)?



8. 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?

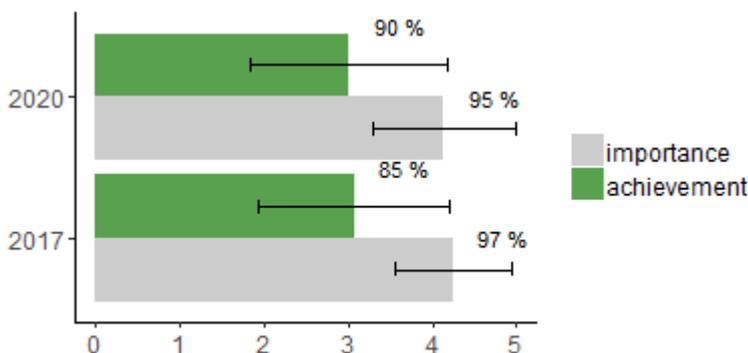


9. Do you consider that CREAM has strengthened gender balance at selection and evaluation committees?

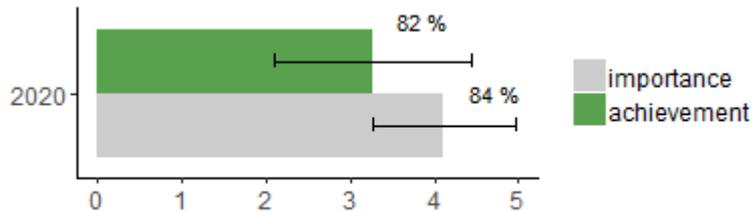


WORKING CONDITIONS AND SOCIAL SECURITY

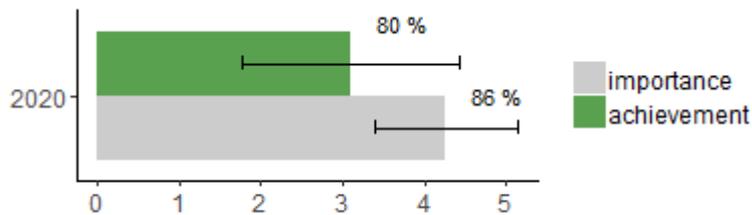
10. Do you think that CREAM promotes the participation of researchers in the governance of the centre?



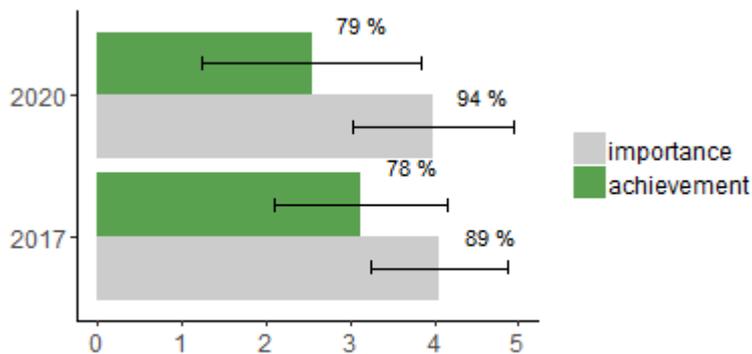
11. Do you consider that CREAM has improved the participation of researchers in the governance of the centre through the creation of CREAM Scientific Board (“el claustre científico”)?



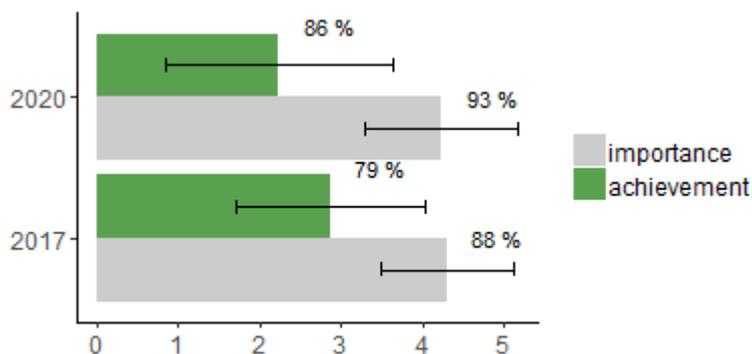
12. Do you think the CREAM Scientific Board represents in a proper way the research related staff of CREAM?



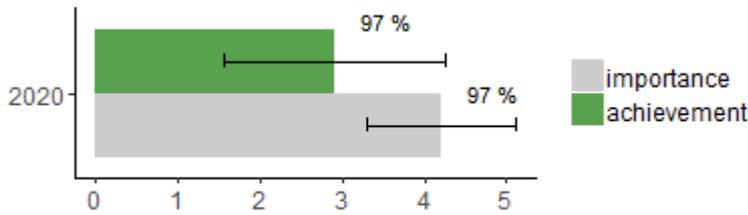
13. Do you think that CREAM values and promotes staff mobility, both geographical and transdisciplinary, and between the public and private sectors?



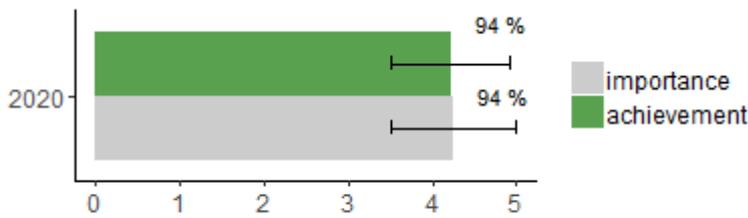
14. Do you think that CREAM provides career advice to its researchers during all stages of their careers?



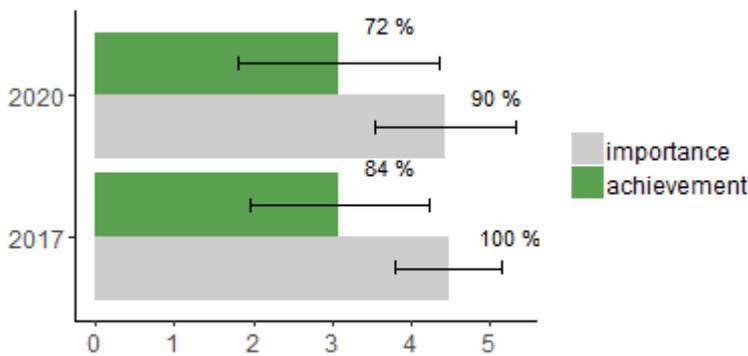
15. Do you feel that CREAM offers initiatives to promote the internal collaboration of the staff (informal meetings, forums, etc.)?



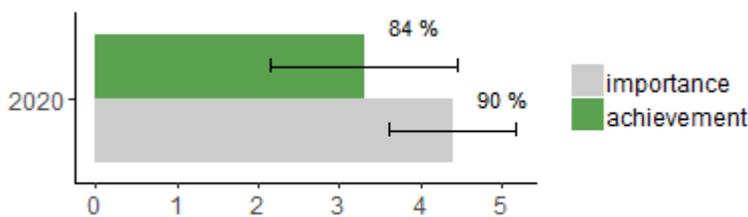
16. Do you think that CREAMTalks offer a good program of seminars in terms of quantity and quality?



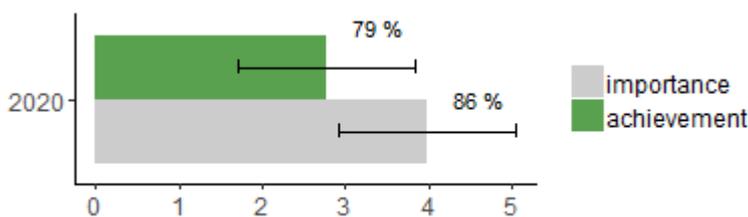
17. Do you think that CREAM has appropriate procedures to deal with complaints/appeals of researchers and labour dispute settlement?



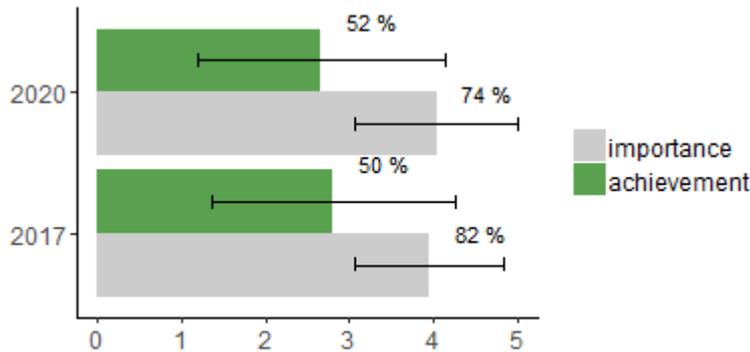
18. Do you consider that CREAM promotes an effective knowledge transfer strategy?



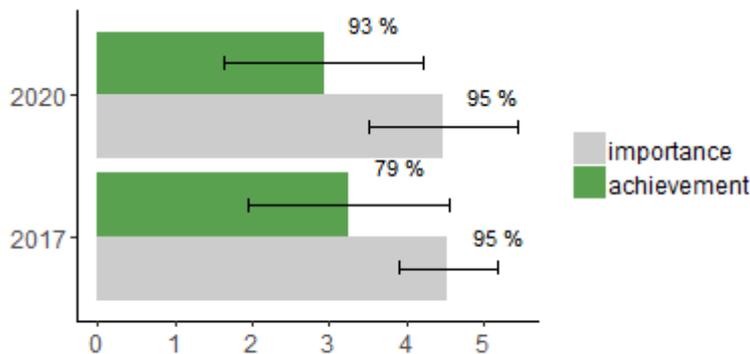
19. Do you think that your research has the potential to be transferred as services, patents, products or others?



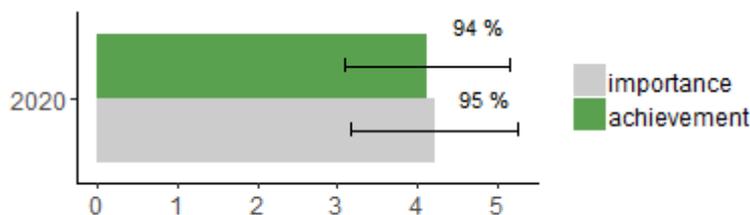
20. Do you think that CREAM has a clear and appropriate intellectual property policy, including copyrights?



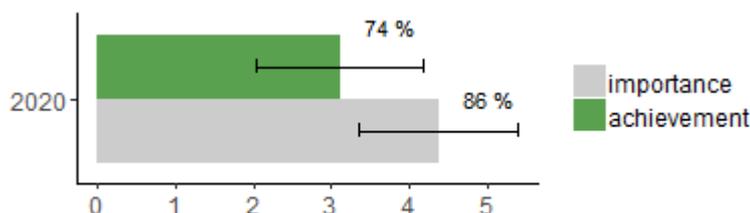
21. Do you consider that CREAM promotes an appropriate gender balance policy at all levels of staff, including positions of major responsibility?



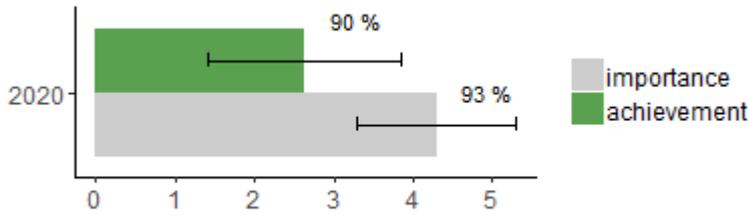
22. Do you consider that CREAM communication activities are raising visibility of women scientists?



23. Do you consider that CREAM has strengthened gender balance in advisory boards? (International Scientific Committee, ESD, CREAM Scientific board...)

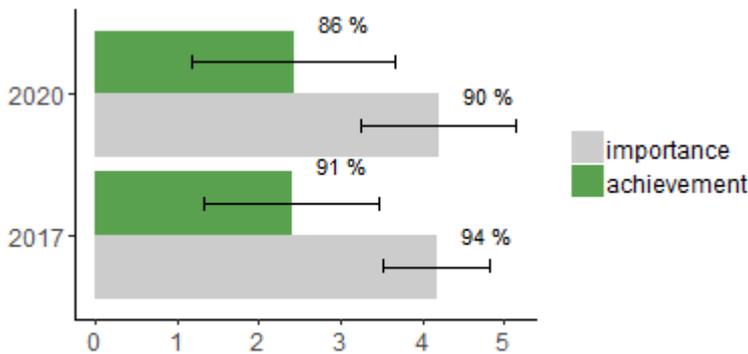


24. Do you consider that CREAM has strengthened gender balance in decision-making bodies (Director, scientific coordinator, managing director, Governing Council ...)?

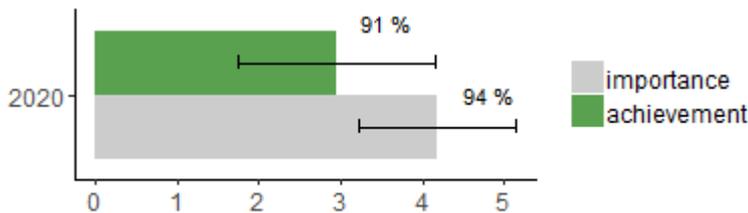


TRAINING

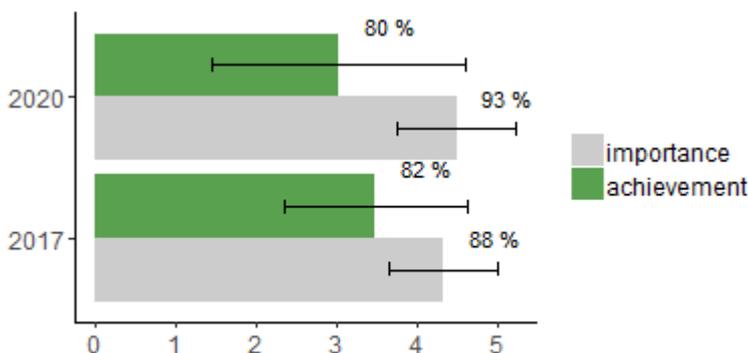
25. Do you think that CREAM promotes leadership training of its researchers (team management, project leadership, supervision and mentoring, transfer of knowledge, etc.)?



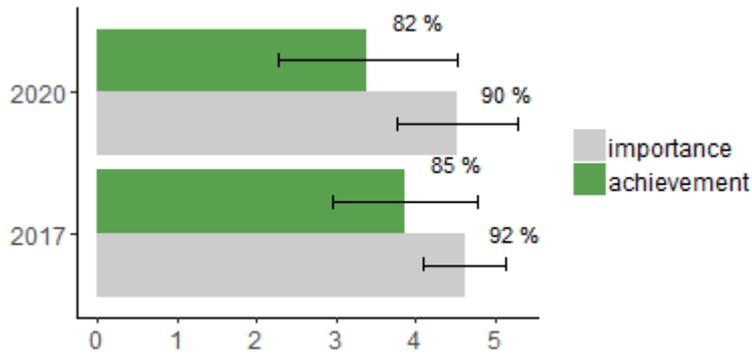
26. Do you think CREAM offers a good programme of specialised courses for scientific staff?



27. Do you think that CREAM has an appropriate system of supervision of the development of doctoral theses and the relationship between PhDs and supervisors?



28. Do you think that senior researchers and PhD supervisors are involved in the scientific training of early stage researchers?



29. Do you consider that the training courses CREAM is offering on gender perspective (Recruitment and non-sexist language) are appropriate to fight against the inequalities existing at CREAM and to improve the working environment?

