

Gap Analysis



December 2017

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1 CONTACT DETAILS

Name of Organisation under review:	AGROTECNIO
Organisation's contact details:	<p>Professor Dr. Vicente Sanchis</p> <p>Avda. Rovira Roure, 191 - 25198 Lleida (Spain)</p> <p>Phone: 00-34-973-702535</p> <p>Fax: 00-34-973-702596</p> <p>E-mail: vsanchis@tecal.udlUdL.cat</p>
Submission date:	December 2017
Date of Charter and Code Endorsement	12/07/2017
<p>Web link to published version of organisation's HR Strategy and Action Plan:</p> <p>http://www.AGROTECNIO.org/about-us/hra/</p>	

2. THE PROCESS

2.1 People involved in the process

The implementation of the code of conduct for the researchers of AGROTECNIO is aligned with its scientific strategy and led by the management Committee, the "Scientific Strategy and Management Committee" (SSMC).

A Steering Committee was formed to monitor the process and a Working Group was appointed to implement the process and to manage the communication with EC authorities.

The Steering Committee has monitored the process and validated the final documents. It is composed of the members of the Direction Board of AGROTECNIO, and includes thirteen people:

1. Ramon Albajes (R4) Crop Protection & Acting Management Committee
2. Vicent Sanchis (R4) Applied Mycology & Acting Management Committee
3. Gustavo Slafer (R4) Crop Physiology & Acting Management Committee
4. Jordi Voltas (R4) Tree Physiology
5. Carlos Cantero (R4) Agronomy
6. Maria Jose Motilva (R4) Food Bioactive Compounds
7. Inmaculada Viñas (R4) Postharvest Microbiology
8. Joan Ramon Rosell (R4) AgrolCT
9. Joan Estany (R4) Swine Breeding and Management
10. Robert Soliva (R3) Food Technology
11. Josep Galceran (R3) Chemistry
12. Beatriz Serrano (R3) Bovine Reproduction
13. Miquel Buenestado Administration

The Working Group has been responsible for the preparation of the Gap Analysis & Action Plan, and will participate and follow up on the implementation process. It is composed of 15 people:

- | | |
|----------------------------------|--|
| 1. Vicente Sanchis (R4) Food | 9. Filippe Madeira (R2) Vegetal |
| 2. Ramon Albajes (R4) Vegetal | 10. Albert Ribas(R2) Food |
| 3. Jordi Voltas (R4) Vegetal | 11. Jordi Llorens (R2) Vegetal |
| 4. Josep Galceran (R3) Vegetal | 12. Carla Roman (R1) Vegetal |
| 5. Roxana Savin (R3) Vegetal | 13. Xenia Pascari (R1) Food |
| 6. Robert Soliva (R3) Food | 14. Helga Ochagavia (R1) Vegetal |
| 7. Ignacio Romagosa (R3) Vegetal | 15. Miquel Buenestado (Administration) |
| 8. Ramon Canela (R3) Vegetal | |

2.2 Agenda of the process

This table summarises the chronology of the 2017 milestones during the process of preparation for the HR Award application.

Table 1 Agenda

WHEN	WHAT	PEOPLE INVOLVED
March 2017	CERCA recommended AGROTECNIO to apply for the HRS4R logo. The CERCA Institute is the Government of Catalonia's technical service and its means for supervising, supporting and facilitating the activities of the research centres in the CERCA system.	Governing Board
June 2017	Several meetings at the Governing Board were held to start the process of obtaining the HRS4R award. In this meeting, the officer in charge of the process was defined, and an estimation of FTE and resources were forecasted.	Governing Board
July 2017	The Governing Board decided to start the process.	Governing Board
September 2017	Methodology definition: Working Group designation, project planning, etc. Collection of AGROTECNIO's data about staff profiles and selection of the profiles of the Working Group.	Steering Committee
July 2017	Submission and reception of the letter of the Charter and Code Endorsement.	Acting Managers at AGROTECNIO
September 2017	Message sent to all the research community, online and web communication about milestones of the procedure. Development of a specific HRS4R's repository on the AGROTECNIO's website.	All research community
September 12 th 2017	Communication: Sessions about the C&C implementation process reflecting the importance of this matter, informing about the strategy framework, inviting certain people to be members of the Working Group, and presentation of the working plan: surveying of a sample and requesting collaboration and commitment.	Acting Managers at AGROTECNIO
September 12 th 2017	Launching Survey Process: The C&C online survey was sent to all the researchers; the online OTM-R survey was sent to a specific target of eleven people from the administrative departments in charge of the recruitment processes, both opened from 12 th to 30 th September.	Working Group Research community Recruiting supporting administrative staff
September 19 th 2017	C&C survey session: More than 40 people attended to two sessions that were held to explain and analyse the 40 C&C principles, in order assure a common understanding of the principles, and so the attendees could answer the survey.	Research community

September 12 th to 30 th 2017	Interviews: A selection of stakeholders were interviewed to achieve a deeper understanding of several aspects, such as: Innovation, IP rights, Ethical committee, Recruitment process, IT, and Outreach and communication (Chapter 4.4)	Working Group, staff and managers
October 10 th 2017	Analysis and interpretation of the surveys. 1st Workshop: Half-day workshop evaluating and discussing part of the responses of the survey.	Working Group
October 15 th	Internal review: 1 st Meeting with part of the Steering Committee. A review of the Gap Analysis was made. An in-depth discussion about focus and scope for each of the statements was made.	Steering Committee
October 2 nd to 15 th	Training and Benchmarking: Individual evaluation of the Gap Analysis conclusions and benchmark of the Action Plan of other awarded institutions.	Working Group
October 24 th	Action Plan definition and debate. 2nd Workshop: Half-day workshop evaluating and discussing part of the responses of the survey.	Working Group
October 30 st	Internal review: 2 nd Meeting with part of the Steering Committee. A review of the Gap Analysis and its correlation with Action Plan was made. An in-depth discussion about focus and scope for each of the actions was made.	Steering Committee
November 10 th	Final internal review: 3 rd Meeting with the Steering Committee. Presentation of the Gap Analysis and Action Plan for internal approval.	Steering Committee
November 16 th	Final Presentation: 4 th Meeting with the Steering Committee for final validation.	Steering Committee, Working Group and all researchers
November 20 th	Final Presentation: 4 th Meeting with the Working Group and all the research community.	Working Group and research community
November 28 th	Presentation. Meeting with the Scientific Advisory Board.	Scientific Advisory Board
December 15 th	Submission of the AGROTECNIO proposal.	Acting Committee

2.3 Sample, Gap Analysis and Action Plan

2.3.1 Define sample and survey

The C&C online survey was sent to all 155 members of the staff; researchers (154) and administrative staff (1). Researchers include the UdL-AGROTECNIO permanent staff (R4 and R3) and temporary staff (R1 and R2).

The online survey for OTM-R was sent to a sample of ten people including AGROTECNIO senior staff and administration, and Universidad de Lleida (UdL) administration, which supports most of AGROTECNIO recruiting demands during this transitory phase in which AGROTECNIO does not have a proper HR Department.

Further information is shown in ANNEX 1. HR Department.

2.3.2 Gap Analysis and improvement actions definition

The C&C AGROTECNIO's survey asks questions about the degree of implementation of each of the 40 principles of the HRS4R, and allows participants to choose the option of being unaware of the implementation of the criterion. The survey also demands the participants to evaluate the importance of each of the 40 principles. The survey was accessible in both Spanish and English language versions, and were available on an online platform. An online platform was also used for the OTM-R survey:

- C&C Spanish: <https://es.surveymonkey.com/r/2BMS3FX>
- C&C English: <https://es.surveymonkey.com/r/9GB6Y6G>
- OTM-R: <https://es.surveymonkey.com/r/F9C2V83>

For the analysis, an average score has been calculated for each of the principles (the degree to which the researchers consider the principles have been implemented and their importance). Additionally, the information obtained in personal interviews with stakeholders was also presented and considered for further discussions to attain a more comprehensive perspective of the implementation of these principles at AGROTECNIO. More detailed Information about the interviews is provided in ANNEX 4.5.

The average scores of the degree of implementation of the 40 C&C criteria, and the interview results, were the starting point of discussion for the working group to make a general evaluation about the implementation of each of the 40 principles and define the Action Plan.

The available actions considered in other HRS4R's action plans of other institutions, including University of Lleida (UdL), available on the EURAXESS portal, were used by AGROTECNIO to identify actions for solving its current gaps. In addition, to identify best practices, AGROTECNIO performed a benchmark of national universities and research centres that had previously implemented the process.

2.3.3 Action Plan

A half-day workshop was held to diagnose the implementation of the 40 C&C principles in AGROTECNIO and to identify the main actions to improve this situation.

A detailed description of the meetings, agenda and participants is shown in ANNEX 4.

3. RESULTS

This effort provided a Gap Analysis in which 19 principles were considered implemented at the Institution. Annex 4.6 shows the analysis of the National legal framework performed to identify the laws, decrees or regulations that may limit the implementation of any of the 40 C&C principles. After reviewing nearly 40 regulations, our conclusion is that in a general sense, the National, Autonomic or Institutional legal frameworks are compatible with the integration of the C&C principles to the HR strategy of the Institution.

Presently AGROTECNIO do not have a complete administrative structure or proper norms ruling administrative issues, duties and processes. The Lerida University (UdL), provides provisionally assistance in these aspects until AGROTECNIO sets its own administrative support. The written agreement between AGROTECNIO and UdL, for enabling AGROTECNIO the use of UdL's policies is shown in annex 4.7.

Down below, the Gap Analysis of the 40 C&C and the 23 OTM-R principles are presented.

3.1 Gap Analysis: Charter & Code

Table 2 presents the Gap Analysis of the HRS4R criteria at the Institution. 19 out of 40 criteria have been considered "fully implemented"; 15 "almost but not fully implemented"; 4 "partially implemented"; and the remaining 2 "insufficiently implemented".

Notes:

- 1) To show the implementation of already-undertaken initiatives, links to the web pages of the public documents were provided.

Table 2: Gap Analysis

Criteria and Level of Implementation	Indication of the actual "gap"	Initiatives already undertaken and/or suggestions for improvement	Action
1. Research Freedom Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> AGROTECNIO's staff is under work-contractual agreement with the UdL. UdL norms recognise research freedom. <ul style="list-style-type: none"> Commitment of Good Practices of Doctorate School (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Commitment-of-Good-Practices-of-Doctorate.pdf Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf 	<ul style="list-style-type: none"> Not necessary.
2. Ethical Principles Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> AGROTECNIO's staff follows the current ethical policy of the UdL. <ul style="list-style-type: none"> Ethical Code (Governing Council, 29/10/2009) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Ethical-Code-UDL.pdf Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf The ethical committee examines and approves the animal testing experiments and the human dietary intervention studies described in the research projects, prior to its submission to the Catalan Regional Government for final approval. The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Publish AGROTECNIO UdL ethical code on the web. Include the ethical code policy in the Welcome Manual.
3. Professional Responsibility Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> The institution subscribes the IP and personal responsibility norms of the UdL. <ul style="list-style-type: none"> Doctorate school norms: http://web.UdL.es/rectorat/sg/bou/bou141/acord104.htm IP norms: http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Intelectual-propiety-UDL.pdf The UdL provides the use of antiplagiarism software URKUND, which is used for reviewing Master and Doctorate theses. Once a paper is submitted, the scientific journals' publishing protocols include an antiplagiarism revision. 	<ul style="list-style-type: none"> Mention and disseminate professional responsibility issues in the Welcome Manual.

		<ul style="list-style-type: none"> The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	
4. Professional Attitude Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> The strategic research objectives are planned by the senior researchers. R1 and R2 scientists are informed in the contract that is signed before starting the research project. R1 scientists must include a quarterly summary of their research on RAPI virtual platform, which is reviewed by a senior scientist of UdL. Both R1 and R2 researchers should provide a summary of their research when requested by their funding institution. The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Information concerning the presentation of research results to internal or external funding organisations will be included in the Welcome Manual.
5. Contractual and Legal Obligations Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> AGROTECNIO shares the policy with the UdL in terms of contractual obligations and IP. http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Intelectual-propiety-UDL.pdf Each grant for R1 and R2 includes a description of the contractual obligations of the researcher, including IP rights. R3 and R4 researchers' contractual obligations follow the policy written in the public employees' law. UdL provides IP rights courses regularly. The Working Group considers useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Information concerning contractual and legal obligations will be distributed to the newcomers in the Welcome Manual.
6. Accountability Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> Each grant or call has a well-established accountability obligation, which researchers must follow. UdL provides the RAPI platform for the follow-up of the R1s' research projects. This platform is accessed by entering the researcher's personal accreditation and password. External professional auditors perform Project Audits on a regular basis. UDL provides: <ul style="list-style-type: none"> Support for European project management: 	<ul style="list-style-type: none"> Not necessary.

http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/Normativa_gestio_projectes_europeu_xCG_27gener2011x.pdf

- And other international projects:
http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/Normativa_gestio_projectes_internacionals_xCG_17-12-2014x.pdf
- No EC project management:
<http://www.UdL.es/ca/en/research/activities/>
- Information about research projects calls:
<http://convocatories.UdL.es/bepj/>
- And research calls:
http://convocatories.UdL.es/cgi-bin/buscar.cgi?G_ENTORN=CEMA

<p>7. Good Practice in Research Almost but not fully implemented</p>	<ul style="list-style-type: none"> • IT data security is not fully implemented 	<ul style="list-style-type: none"> • Dissemination of risk-protection obligations and protocols is achieved by compulsory courses. In addition, instructional posters are placed in presumably dangerous zones or common facilities. A technical staff member of UdL oversees the risk protection of AGROTECNIO, also organising training and periodical fire drills. • A member of each Area oversees the supervision of the dangerous waste disposal. • Most of AGROTECNIO's facilities were built 20 years ago and were designed as laboratory facilities, accomplishing all the ergonomic and risk-protection obligations. The usual preventive maintenance is accomplished by external contractors. • IT security and electronic data storage is dependent on the researcher's perspective. There are not any common recommendations or guidelines for avoiding electronic data loss. The UdL will start offering its staff a virtual disk with a capacity of 5 Gigabits per user that will guarantee the security of the data storage. • AGROTECNIO scientific activities do not demand the use and management of sensitive personal data. • The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> • Include information about risk-protection in the Welcome Manual. • Write recommendations of good practices in IT security and electronic data storage, and include them in the Welcome Manual.
<p>8. Dissemination, Exploitation of Results</p>	<ul style="list-style-type: none"> • No gap. 	<ul style="list-style-type: none"> • The publication of research on scientific forums or in papers in high quality journals is achieved. 	<ul style="list-style-type: none"> • Include the technology transfer mechanisms and

Fully implemented		<ul style="list-style-type: none"> The TT office of the UdL assists AGROTECNIO on TT issues. There is a fluent and cooperative relationship between both institutions. http://www.UdL.es/ca/en/research/oficina_eng/ UdL regularly provides tech transfer and IP rights courses. The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	supports in the Welcome Manual .
9. Public Engagement Almost but not fully implemented	<ul style="list-style-type: none"> There is not a clear dissemination strategy or plan in the Institution. Only a few actions are undertaken, but can be potentiated. 	<ul style="list-style-type: none"> Outreach activities are performed on a regular basis, for example, short laboratory stays (2 months) for high school students are done during the summer; TV or radio interviews of the researchers are frequently held. Latest scientific publications are published on the website: http://www.AGROTECNIO.org/publications/ AGROTECNIO Annual Report is published on the website: http://www.AGROTECNIO.org/annual-report/ The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Define an Outreach Action Plan to be implemented. Write and send the most relevant AGROTECNIO's news or contributions to a mail distribution list including both internal and external (industrial, academic etc.) contacts. Include priorities of the Outreach Action Plan in the Welcome Manual.
10. Non-discrimination Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> There is no evidence of discrimination based on sex, age, ethnicity, national or social origin, religion or beliefs, sexual orientation, language, disability, political opinions, and social or economic status. AGROTECNIO subscribes <ul style="list-style-type: none"> The UdL's "Gender equity plan" and "Equal opportunity plan": http://www.UdL.es/export/sites/universitat-lleida/ca/serveis/centredolorspiera/.galleries/docs/II_PlaigualtatUdL.pdf The UdL "Inclusion plan": http://www.UdL.es/export/sites/universitat-lleida/ca/.galleries/docs/UdL/Pla-inclusio-persones-diversitat-funcional-2014-2019.pdf 	<ul style="list-style-type: none"> Include information about non-discrimination in the Welcome Manual.

- Regulations of the equal opportunity centre and women promotion:
http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/serveis_univ/xReglament_Centre_Igualtat_Oportu_i_prom_donesx.pdf

- The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual.

**11. Evaluation/
Appraisal Systems**
Almost but not fully
implemented

- AGROTECNIO does not presently have possibilities of hiring R3 or R4 researchers.
- There is not a merit's evaluation guide.

- A scientific advisory board evaluates the Institution's research biannually. It evaluates each Area independently.
- R1 Scientists enter their progress reports of research on the RAPI platform of the UdL annually. His/her report is agreed upon with his/her supervisor. The supervisor must write a second report on his/her own. A committee composed of 5 researchers evaluates the progress of the research, his/her scientific achievements, together with the students' implication in other academic activities such as participation in scientific meetings, seminars, etc.
- Most R2 Scientists are evaluated by the external committee designed by the grant-funding authority.
- R3 and R4 researchers are evaluated externally from the UdL, in agreement with the public employees STAFF law from the UdL, by the CNEAI (National Research Activity Evaluation Commission) in "Sexenios", 6-year term research productivity. Temporary workers are evaluated by AQU Catalunya (Agència per a la Qualitat del Sistema Universitari de Catalunya).
- Policy of Academic Staff at the University of Lleida (2012-2020).
<http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf>

- Design and implement a scientific merits' **evaluation guide, in agreement with the Doctorate school of the UdL (for R1).**

12. Recruitment
Almost but not fully
implemented

- AGROTECNIO will start hiring R2 researchers in the near future.
- There is not a **standard procedure for hiring**

- The recruitment of researchers belonging to disadvantaged groups is facilitated, according to the present national legislation.
- Presently AGROTECNIO does not perform direct recruitment of researchers, although it is planned to start in the near future.
- UdL recruitment procedures are well-established:
 - University of Lleida and AGROTECNIO Statutes
<http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf>

- Write a **guide for staff's recruiting and selection**, including procedures, criteria and recruiter's guidelines, in collaboration with **UdL**. This procedure will be applied provisionally, until AGROTECNIO sets up its own

	<p>researchers at AGROTECNIO.</p> <ul style="list-style-type: none"> There is not a guide for staff's recruiting and selection. 	<p>http://www.AGROTECNIO.org/wp-content/uploads/2017/10/5.aEstatuts-AGROTECNIO-últims.pdf</p> <ul style="list-style-type: none"> Regulations of scholarship recipients who perform their activity at the University of Lleida (Governing Council, 16/09/2015) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9.Reglament_becaris_UdL-DOGC6957-16-09-2015.pdf Regulations on the procedure governing the recruitment of postdoctoral researchers from the University of Lleida (Governing Council, 24/02/2011). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9a.Procediment_contractacio_investiga-modif.24-02-2011x.pdf There are written norms regarding the recruitment of technicians and Post Doc technical research staff: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xModif Post Doc recruitment norm: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xProcediment_contractacio_investiga-modif.24-02-2011x.pdf. Long-term recruitment of researchers funded by external sources: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xNormativa_contractes_de_llarga_durada_slx.pdf 	<p>HR Department and differentiated recruitment and selection procedures are written.</p>
<p>13. Recruitment (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> AGROTECNIO does not have its own standard procedure for recruiting researchers, nor a guide for staff recruiting and selection. The researchers follow the UdL's recruiting 	<ul style="list-style-type: none"> There is a recruiting platform in the UdL used by R4 and R3 researchers to benchmark junior staff candidates (R1 and R2), but this is not the only recruitment tool available (EURAXESS, CSIC). For researchers funded by European projects the recruitment is performed through the EURAXESS platform. The latest calls for researchers are being performed using local and international digital platforms (EURAXESS). CERCA institutes, Including AGROTECNIO, will present a COFOUND project for recruiting R2 researchers. The candidate evaluation will be performed externally by AGAUR (Agència de Gestió d'Ajuts Universitaris i de Recerca). Recruitment regulations: 	<ul style="list-style-type: none"> Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and

	<p>procedures for the candidates to be hired by the Institution for each research project. AGROTECNIO's procedures will include OTM-R principles.</p> <ul style="list-style-type: none"> • Coordination between UdL and AGROTECNIO in the recruiting process for researchers recruited with UdL assistance could be improved. 	<ul style="list-style-type: none"> ○ University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf ○ Regulations of scholarship recipients who perform their activity at the University of Lleida (Governing Council, 16/09/2015) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9.Reglament_becaris_UdL-DOGC6957-16-09-2015.pdf ○ Regulations on the procedure governing the recruitment of postdoctoral researchers from the University of Lleida (Governing Council, 24/02/2011) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9a.Procediment_contractacio_investiga-modif. 24-02-2011x.pdf 	<p>selection procedures are written.</p> <ul style="list-style-type: none"> • All open calls for recruitment of researchers will be published on EURAXESS.
<p>14. Selection (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> • At present, AGROTECNIO does not have the possibility of hiring R3 or R4 researchers. • AGROTECNIO does not have its own standard procedure for the selection of researchers. The researchers select the candidates to 	<ul style="list-style-type: none"> • Selection of R3 and R4 researchers is performed under the current processes of Royal decree 5/2015 Consolidated for public employee statute. • Present procedures of R1 selection include a CV evaluation and a personal interview. • Each external call has its own recruitment characteristics. • Selection regulations: <ul style="list-style-type: none"> ○ University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf ○ Regulations of scholarship recipients who perform their activity at the University of Lleida (Governing Council, 16/09/2015). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9.Reglament_becaris_UdL-DOGC6957-16-09-2015.pdf 	<ul style="list-style-type: none"> • Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written.

	<p>be recruited using the UdL guidelines.</p> <ul style="list-style-type: none"> • No selection committees were used in the recruitment process of researchers funded by research projects. 		
<p>15. Transparency (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> • At present, AGROTECNIO does not have the possibility of hiring R3 or R4 researchers. • AGROTECNIO does not have its own standard procedure for recruiting researchers, nor a code of transparency. 	<ul style="list-style-type: none"> • This criterion is already applied in all European, national and regional grant calls. (Ramon y Cajal, Juan de la Cierva, Beatriu de Pinós, Marie Curie, Flagship projects, etc.) • Transparency regulations: <ul style="list-style-type: none"> ○ Regulations on the procedure governing recruitment of postdoctoral researchers from the University of Lleida (Governing Council, 24/02/2011) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9a.Procediment_contractacio_investiga-modif._24-02-2011x.pdf ○ Collaboration agreement between Secretary of Universities and Research of the Department of Economy and Knowledge and the Catalanian Public Universities to coordinate advertising and selection procedure for the recruitment of academic staff within the plan Jaume Serra Hunter (14/12/2012). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/12.-Serra-Hunter-agreement.pdf 	<ul style="list-style-type: none"> • Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written.
<p>16. Judging Merit (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> • At present, AGROTECNIO does not have the possibility of hiring R3 or R4 researchers. 	<ul style="list-style-type: none"> • The specific call guidelines for R1 or R2, or the evaluation criteria described at the specific public employees' law, (R3 and R4), determine the merit's valorisation criteria. The resolution of the evaluation is published. • Merit evaluation regulations: <ul style="list-style-type: none"> ○ University of Lleida and AGROTECNIO Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf 	<ul style="list-style-type: none"> • Write a guide for staff's evaluation, including procedures, criteria and evaluators' guidance in agreement with the Doctorate school of the UdL (for R1 researchers).

- The valorisation of the merits is mainly **dependent on the call's guidelines.**
- AGROTECNIO does not have its **own standard procedure for recruiting** researchers, nor a code for judging merits.
 - <http://www.AGROTECNIO.org/wp-content/uploads/2017/10/5.aEstatuts-AGROTECNIO-últims.pdf>
 - Regulations on the procedure governing the recruitment of postdoctoral researchers from the University of Lleida (Governing Council, 24/02/2011) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9a.Procediment_contractacio_investiga-modif._24-02-2011x.pdf
 - Collaboration agreement between Secretary of Universities and Research of the Department of Economy and Knowledge and the Catalanian Public Universities to coordinate advertising and selection procedure for the recruitment of academic staff within the plan Jaume Serra Hunter (14/12/2012). <http://www.AGROTECNIO.org/wp-content/uploads/2017/11/12.-Serra-Hunter-agreement.pdf>

17. Variations in the Chronological Order of CVs (Code)
Partially Implemented

- AGROTECNIO does not have its **own standard procedure for the evaluation** of researchers. The researchers select the candidates to be recruited using the UdL guidelines.
- AGROTECNIO does not have its **own standard procedure for recruiting** researchers, nor a code for the variations in the chronological order of CVs.
- The evaluation of the merits is mainly dependent on the call's guidelines, and multidisciplinary careers are not often considered positively.
- Write a **guide for staff recruiting and selection**, including procedures, criteria and recruiter's guidelines, in collaboration with **UdL**. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written.

<p>18. Recognition of Mobility Experience (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> • The evaluation of the merits is mainly dependent on the call's guidelines. • AGROTECNIO does not have its own standard procedure for recruiting researchers, nor a code for the recognition of mobility experience. 	<ul style="list-style-type: none"> • Although the evaluation of this criterion is dependent on the calls, UdL and AGROTECNIO promote mobility experiences for research stays in international institutions. • Regulations for visiting researchers: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Organitzacio_interna/Normativa_personal_visitant_xCG_25-6-2014x.pdf 	<ul style="list-style-type: none"> • Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidance, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written. • Write a guide for staff evaluation, including procedures, criteria and evaluators' guidelines, in agreement with the Doctorate school of the UdL (for R1 researchers).
<p>19. Recognition of Qualifications (Code) Almost but not fully implemented</p>	<ul style="list-style-type: none"> • Candidates' qualifications were defined in the call's guidelines. • AGROTECNIO does not have its own standard procedure for recruiting researchers, nor a code for the recognition of qualifications. 	<ul style="list-style-type: none"> • Academic degrees should be validated following: <ul style="list-style-type: none"> ○ The Education Office criteria: https://www.mecd.gob.es/servicios-al-ciudadano-mecd/eu/catalogo/educacion/gestion-titulos/estudios-universitarios/titulos-extranjeros/equivalencia-educacion-superior.html ○ Validation of Academic accreditations norm: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Ordenacio_academica/xNormativa_homologacio_titols_extranjer_actual_i_grau_doctorx.pdf ○ Accepted Language certifications should be from official sources. (e.g.: Criteria for the prioritization of research staff for l'Agaur call). http://www.agrotecnio.org/wp-content/uploads/2017/11/Criteris_prioritzacio_FI.pdf • Additional regulations: 	<ul style="list-style-type: none"> • Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written.

	<ul style="list-style-type: none"> • In order to join AGROTECNIO, UdL Researchers must meet a set of defined excellency criteria. 	<ul style="list-style-type: none"> ○ University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf ○ Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf ○ Collaboration agreement between Secretary of Universities and Research of the Department of Economy and Knowledge and the Catalanian Public Universities to coordinate advertising and selection procedure for the recruitment of academic staff within the plan Jaume Serra Hunter (14/12/2012). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/12.-Serra-Hunter-agreement.pdf 	<ul style="list-style-type: none"> • Write a guide for staff evaluation, including procedures, criteria and evaluators' guidelines, in agreement with the Doctorate school of the UdL (for R1 researchers).
20. Seniority (Code) Almost but not fully implemented	<ul style="list-style-type: none"> • The valorisation of merits is mainly dependent on the call's guidelines. • AGROTECNIO does not have its own standard procedure for the evaluation of researchers, nor a code for seniority. The researchers select the candidates to be recruited using the UdL guidelines. • In order to join AGROTECNIO, UdL Researchers must meet a set of 	<ul style="list-style-type: none"> • Seniority evaluation regulations: • University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf • Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf 	<ul style="list-style-type: none"> • Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written. • Write a guide for staff evaluation, including procedures, criteria and evaluators' guidelines in agreement with the Doctorate school of the UdL (for R1 researchers).

	defined excellency criteria.		
21. Postdoctoral Appointments (Code) Partially Implemented	<ul style="list-style-type: none"> AGROTECNIO does not have its own standard procedure for the recruiting of researchers, nor a code for postdoctoral appointments, although it follows UdL norms. The senior researchers select the candidates to be recruited using the UdL guidelines. 	<ul style="list-style-type: none"> The present economic situation makes impossible to guarantee the stabilisation of research positions for R2 within AGROTECNIO. Regulations concerning this topic: <ul style="list-style-type: none"> Regulations on the procedure governing the recruitment of postdoctoral researchers from the University of Lleida (Governing Council, 24/02/2011) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/9a.Procediment_contractacio_investiga-modif._24-02-2011x.pdf Procedure governing long-term contracts for R&D staff at University of Lleida with external funding (Governing Council, 24/11/2010) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/10.-xNormativa_contractes_de_llarga_durada_slx.pdf Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf Postdoctoral recruiting norm: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xProcediment_contractacio_investiga-modif._24-02-2011x.pdf 	<ul style="list-style-type: none"> Write a guide for staff recruiting and selection, including procedures, criteria and recruiter's guidelines, in collaboration with UdL. This procedure will be applied provisionally, until AGROTECNIO sets up its own HR Department and differentiated recruitment and selection procedures are written. Write a guide for staff evaluation, including procedures, criteria and evaluators' guidelines, in agreement with the Doctorate school of the UdL (for R1 researchers). Development of a guidance plan and professional support strategy for researchers at the end of the PhD and the beginning of the postdoctoral period
22. Recognition of the Profession Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> The recognition of the profession is enforced at a national level by Law 14/2011. Additional regulations: <ul style="list-style-type: none"> University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf 	<ul style="list-style-type: none"> Not necessary.

- Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016)
<http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitica-Academic-Staff.pdf>

23. Research Environment
Fully implemented

- No gap.
- The Institution participates in several national and international research networks.
- Presently, AGROTECNIO is a member of CERCA Centres, implementing its access to research infrastructures.
- Additional policies:
 - UDL established a space-allocation norm:
http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Organitzacio_interna/xReglament_gestio_e_spais_modif-CG_27-05-08x.pdf
 - UDL established a risk-prevention norm:
 - http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Organitzacio_interna/Modificacix_Estructura_preventiva_i_emergencies_CG_18-07-2008.pdf
 - UDL established a security and health department norm:
http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/serveis_univ/xNormativa_interna_de_funcionament_del_Comite_de_Seguretat_i_Salutx.pdf
- The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual.
- Include information about research environment in the **Welcome Manual**.

24. Working Conditions
Fully implemented

- There is a framework for working conditions included in **the contract**.
- **Flexibility exists** in all the Areas and laboratories of AGROTECNIO,
- The whole Institution provides the flexibility deemed for successful research performance in accordance with the existing legislation.
 - Policy of work leaves, permissions and permits:
http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Personal_academic/xNormativa_de_baixes_x_permisosx_llicencies_i_comissions_de_serveis_personal_academic_UdL_inclou_modif._CG_30-10-2013x.pdf
- **Information** about working conditions will be included in the **Welcome Manual**.

	although the explicit details are not concisely written.	<ul style="list-style-type: none"> ○ Policy of sabbatical periods for the academic staff: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Personal_academic/Normativa de Periodes Sabxtics xCG 25-11-2015x.pdf ○ Policies concerning the nursing period: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Personal_academic/xRegulacio periode la ctancia en jornades completesx.pdf ○ Plan of Equality Between Woman and Men of the University of Lleida (Governing Council, 27/04/2016) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/6.-FutlletolIPalguatUdL.pdf ○ Inclusion Plan for people with functional diversity of the University of Lleida (Governing Council, 29/10/2014 http://www.AGROTECNIO.org/wp-content/uploads/2017/11/7b.-Pla-inclusio-persones-diversitat-funcional-2014-2019.pdf • The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	
25. Stability and Permanence of Employment Insufficiently implemented	<ul style="list-style-type: none"> • AGROTECNIO hasn't got the possibility of stabilisation of researchers. 	<ul style="list-style-type: none"> • The present economic situation makes impossible to guarantee the stabilisation of research positions for R1 and R2 within AGROTECNIO. <ul style="list-style-type: none"> ○ Procedure governing long-term contracts for R&D staff at University of Lleida with external funding (Governing Council, 24/11/2010) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/10.-xNormativa_contractes de llarga durada slx.pdf ○ University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf ○ Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitica-Academic-Staff.pdf 	<ul style="list-style-type: none"> • Development of a guidance plan and professional support strategy for researchers at the end of the PhD and the beginning of the postdoctoral period.
26. Funding and Salaries	<ul style="list-style-type: none"> • Salaries were dependent upon the economic 	<ul style="list-style-type: none"> • AGROTECNIO will soon launch its first funded calls for R2 researchers, in which the salary offer will be higher than equivalent contracts provided by UdL. 	<ul style="list-style-type: none"> • This procedure will be applied provisionally, until AGROTECNIO sets up its own

Partially implemented	conditions of the grant.	<ul style="list-style-type: none"> There is a norm for remuneration system for associate professors. http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Personal_academic/xNORMATIVA_RETRIBUCIONS_ASSOCIATS_11_NOV_09-slx.pdf 	<p>HR Department and differentiated recruitment and selection procedures are written.</p> <ul style="list-style-type: none"> Write a guide for staff's evaluation, including procedures, criteria and evaluators' guidelines, in agreement with the Doctorate school of the UdL.
27. Gender Balance Fully implemented	<ul style="list-style-type: none"> Both the SAB and AGROTECNIO staff are gender-balanced, although for historical and demographic reasons, AGROTECNIO senior R4 positions are gender-unbalanced. (M/F 75/25). 	<ul style="list-style-type: none"> There is not a major concern about gender inequalities at the Institution. AGROTECNIO subscribes to the gender plan of the UdL. Plan of Equality between Woman and Men of the University of Lleida (Governing Council, 27/04/2016). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/6.-FutlletolIPlaigualtatUdL.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Information about gender will be included in the Welcome Manual.
28. Career Development Partially implemented	<ul style="list-style-type: none"> The Institution has not implemented a formal mentorship program for the support and guidance of the personal and professional development of 	<ul style="list-style-type: none"> The mentorship responsibility of the PI is accepted by both student and supervisor, and works well at the organisation. UdL's Doctorate school organises workshops about professional development. Present policy: <ul style="list-style-type: none"> University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016) 	<ul style="list-style-type: none"> Design and implement a mentorship support guide. Include mentorship support guide in the Welcome Manual.

	researchers. This responsibility falls upon the senior supervising researcher.	http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf	
29. Value of Mobility Almost but not fully implemented	<ul style="list-style-type: none"> There is limited mobility between academy and industry for researchers working in some AGROTECNIO's research areas, due to the absence of a research-driven industrial network in Lleida. The PI doesn't always consider mobility in an industrial environment as an important aspect in the training plans for junior scientists. 	<ul style="list-style-type: none"> Industrial doctorates are highly valued in AGROTECNIO. http://doctoratsindustrials.gencat.cat/es The Institution offers information about UdL funding for mobility: <ul style="list-style-type: none"> Mobility grants for R1 of the UdL http://www.UdL.cat/ca/recerca/convoca/#collapse-64da64df-cf47-11e5-be0d-005056ac0088-1 Mobility grants for senior researchers "Salvador De Madariaga" https://www.mecd.gob.es/mecd/servicios-al-ciudadano-mecd/catalogo/general/educacion/998537/ficha.html Mobility grants for Young Doctors "José de Castillejo" https://www.mecd.gob.es/mecd/servicios-al-ciudadano-mecd/catalogo/general/educacion/995678/ficha.html Policy of Academic Staff at the University of Lleida (2012-2020), (last modification approved by the Governing Council, 25/10/2016). http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Politica-personal-academicPolitic-Academic-Staff.pdf FPI's R1 calls include funding for short international mobility. The Institution implements the necessary administrative instruments for the portability of grants and social security provisions, and it is regulated by science legislation 14/2011. There were international mobility grants such as Fulbright, OCDE, NATO etc., that could be applied by the AGROTECNIO Researchers. 	<ul style="list-style-type: none"> Include mobility issues in the professional development plan of the researchers, and a positive criterion of professional evaluation.
30. Access to Career Advice Insufficiently implemented	<ul style="list-style-type: none"> The staff is not aware of the available professional career advice courses. 	<ul style="list-style-type: none"> The UdL's Doctorate School provides professional orientation courses in collaboration with the Institute of Education Sciences (ICE). http://www.cfc.UdL.cat/fc/contingut.php?subseccio=activitats 	<ul style="list-style-type: none"> Increase the diffusion of these courses among the researchers.

		<ul style="list-style-type: none"> Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf 	<ul style="list-style-type: none"> Include information about career advice in the Welcome Manual.
31. Intellectual Property Rights Fully implemented	<ul style="list-style-type: none"> There is a general lack of information. 	<ul style="list-style-type: none"> UdL provides IP courses to AGROTECNIO Staff. The Legal Department of the UdL assesses AGROTECNIO's researchers in issues and demands concerning IP rights. IP regulations: <ul style="list-style-type: none"> Canon regulation: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xModificacio_Reglament_Cano nsCR16_3_2009x.pdf IP data protection norm: http://www.UdL.es/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Investigacio/xNormativa_proteccio_resulta ts_RxDxI_UdL_2_x.pdf AGROTECNIO shares the IP regulation of the UdL. Intellectual property rights rules (Governing Council, 29/10/2014) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Intelectual-propiety-UDL.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Include the IP regulation in the Welcome Manual.
32. Co-authorship Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> The authorship protocols were clearly established in each group. An Ombudsman (Sindic de greuges) mediates in authorship conflicts. http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Sindicatura-de-Greuges-00001.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Include authorship recommendations in the Welcome Manual.
33. Teaching Partially Implemented	<ul style="list-style-type: none"> AGROTECNIO is a research centre devoted exclusively to research. Nevertheless, researchers under contractual agreement with 	<ul style="list-style-type: none"> There is an agreement between AGROTECNIO and UdL to reduce the teaching hours assigned to each group per year by 60 hours. http://www.AGROTECNIO.org/wp-content/uploads/2017/10/5.aEstatuts-AGROTECNIO-últims.pdf 	<ul style="list-style-type: none"> Teaching will be facilitated by R1 and R2 researchers, and a maximum number of teaching hours will be set.

	<p>UdL are obliged to accomplish teaching activities.</p> <ul style="list-style-type: none"> In some Areas, researchers demand more teaching hours to achieve their objectives. Meanwhile, in other Areas the number of teaching hours exceeds their objective. 		
<p>34. Complaints/ Appeals Fully implemented</p>	<ul style="list-style-type: none"> There is a general lack of information about the existence of a complaints mechanism at the UdL. 	<ul style="list-style-type: none"> There is a complaints mechanism, an ombudsman (Sindic de greuges) and a conflict resolution norm to mediate conflicts at the UdL: <ul style="list-style-type: none"> Ombudsman http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Sindicatura-de-Greuges-00001.pdf Commitment of Good Practices of Doctorate School (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Commitment-of-Good-Practices-of-Doctorate.pdf Conflict resolution norm: http://www.UdL.cat/export/sites/universitat-lleida/ca/UdL/norma/.galleries/docs/Estructura_organos_govern/Reglament_organos/xReglament_Sindicaturax.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Include the complaints/appraisal mechanisms of the UdL into the Welcome Manual.
<p>35. Participation in Decision-making Bodies Almost but not fully implemented</p>	<ul style="list-style-type: none"> The composition of the AGROTECNIO Board only includes senior researchers, leaving the 	<ul style="list-style-type: none"> Currently AGROTECNIO's Scientific Strategy and Management Committee only includes R4 scientists, although in the case of absence of an R4, a R3 researcher of the same group could join the committee in his/her place. R1, R2 and R3 researchers are included in the UdL governing boards. Policy concerning this topic: 	<ul style="list-style-type: none"> Open the representation of AGROTECNIO's Scientific Strategy and Management Committee to include R1, R2 and R3 scientists.

	remaining researchers unrepresented.	<ul style="list-style-type: none"> University of Lleida Statutes http://www.AGROTECNIO.org/wp-content/uploads/2017/11/5.-estatuts-UDL.pdf Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf 	
36. Relation with Supervisors Almost but not fully implemented	<ul style="list-style-type: none"> There is no written recommendation for the management of scientific results or human resources management for the senior researchers. 	<ul style="list-style-type: none"> Junior researchers (R1 and R2) meet frequently with their supervisors. Research notebooks were compulsory for R1 researchers, while R2 researchers must describe their findings in the grant justification reports. R2 researchers involved in projects in collaboration with industry fill research notebooks. Policy regarding this topic: <ul style="list-style-type: none"> Commitment of Good Practices of Doctorate School (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Commitment-of-Good-Practices-of-Doctorate.pdf Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Define common guidelines for the application of research notebooks at the Institution. Include the recommendation of notebook experiment writing into the Welcome Manual.
37. Supervision and Managerial Duties Fully implemented	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> AGROTECNIO shares the UdL norms: <ul style="list-style-type: none"> Commitment of Good Practices of Doctorate School (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Commitment-of-Good-Practices-of-Doctorate.pdf Internal regulations of the Doctorate school (Governing Council, 30/05/2012) http://www.AGROTECNIO.org/wp-content/uploads/2017/11/Internal-Regulations-of-the-Doctoral-School.pdf The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<ul style="list-style-type: none"> Include the IP regulation in the Welcome Manual.
38. Continuing Professional Development	<ul style="list-style-type: none"> No gap. 	<ul style="list-style-type: none"> In-house seminars provided by outstanding visitor researchers were announced to all the research staff mailing list. 	<ul style="list-style-type: none"> Recommend R1 and R2 researchers to follow the

Fully implemented	<ul style="list-style-type: none"> • Training courses for researchers are available: UdL, Mediterranean Agronomic Institute of Zaragoza CIHEAM-IAMZ, Scientific societies etc. Calls for these courses are disseminated to all the AGROTECNIO staff by mailing list. • The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual. 	<p>professional development courses.</p> <ul style="list-style-type: none"> • Include the recommendation of pursuing these courses in the Welcome Manual. • Design and implement a specific training plan for research staff, in collaboration with UdL, that includes relevant research management issues (such as exploitation of results, intellectual property, national and international funding, etc.).
<p>39. Access to Research Training and Continuous Development Almost but not fully implemented</p>	<ul style="list-style-type: none"> • No gap. • Training courses for researchers are available: UdL, Mediterranean Agronomic Institute of Zaragoza de Zaragoza CIHEAM-IAMZ, Scientific societies etc., and calls for these courses are disseminated to all the AGROITECNIO staff. 	<ul style="list-style-type: none"> • Recommend R1 and R2 researchers to follow the continuous development courses available. • Include the recommendation of pursuing these courses in the Welcome Manual. • Design and implement a specific training plan for research staff, in collaboration with UdL, that includes relevant research management issues (such as exploitation of results, intellectual property, national and international funding, etc.).

40. Supervision

Fully implemented

- R1s' supervisor usually coincides with their Ph.D's thesis director.
- The Doctorate program coordinator mediates between parties in case of conflict.
- The Working Group considers it useful to include information concerning how this criterion is implemented at AGROTECNIO in the Welcome Manual.
- Include information about supervision in the **Welcome Manual**.

3.2 Gap Analysis: OTM-R

Table 3 shows the Implementation of the OTM-R criteria at the Institution. One criterion is found fully implemented.

Table 3: Gap Analysis of the OTM-R check list

	Open	Transpa rent	Merit based	Implemen- tation	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)?				NO	# of foreign candidates/ # of total candidates
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?				NO	
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?				NO	# of questions received by users
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	-/+ Yes, partially	# of electronically implemented processes/ # of processes
5. Do we have a quality control system for OTM-R in place?				NO	# of implemented measures
6. Does our current OTM-R policy encourage external candidates to apply?				NO	# of candidates with no previous relation to the institution/ total # of candidates.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	-/+ Yes, partially	Comparison with other institutions
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?				NO	# of people of underrepresented groups/ total
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	-/+ Yes, partially	Researchers' satisfaction survey
10. Do we have the means to monitor whether the most suitable researchers apply?				NO	# of received CVs that matched the profiles requested
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g. EURAXESS) for advertising positions?	x	x	x	-/+ Yes, partially	% of advertising positions on EURAXESS

12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report]	x	x	x	NO	
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?				NO	# of positions offered in EURAXESS/ # of positions offered in other platforms
14. Do we make use of other job advertising tools?				NO	
15. Do we keep the administrative burden to a minimum for the candidate?	x	x	x	-/+ Yes, partially	Trend in the number of hard copy documents/ satisfaction survey
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) 45]	x	x	x	-/+ Yes, substantially	Guideline writing/survey among selected candidates.
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	+/-Yes, substantially	Publication and distribution of the procedures.
18. Are the committees sufficiently gender-balanced?	x	x	x	-/+ Yes, partially"	% of women in 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?	x	x	x	+/-Yes, substantially	
Appointment phase					
20. Do we inform all applicants at the end of the selection process?	x	x	x	+/-Yes, substantially	The list of candidates and their scores are published
21. Do we provide adequate feedback to respondents?	x	x	x	-/+ Yes, partially"	Survey and reporting cases
22. Do we have an appropriate complaints mechanism in place?	x	x	x	++ Yes, completely	# / statistics of complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				NO	

4. ANNEX

4.1 Annex 1: Survey and sample

Presently 154 researchers, distributed among three Areas, and one Administration staff member are working at the Institution. The survey that evaluates the implementation of the 40 C&C's criteria at AGROTECNIO was sent to the whole staff. The complete survey was answered by 138 people (89,03 %). In this table, the characteristics of the sample of the staff that answered the survey is compared with the whole staff community of AGROTECNIO.

Table 4. Survey completion statistics

		Population (n)	Sample (n)	Population (%)	Sample (%)	Participation (%)
Gender	M	82	69	52,56	50,00	84,15
	F	74	69	47,44	50,00	93,24
Professional Profile	R1	52	42	33,33	30,43	80,77
	R2	20	17	12,82	12,32	85,00
	R3	71	66	45,51	47,83	92,96
	R4	12	12	7,69	8,70	100,00
	Adm	1	1	0,64	0,72	100,00
Research Area	Animal Area	22	16	14,10	11,59	72,73
	Plant Area	94	82	60,26	59,42	87,23
	Food Area	39	39	25,00	28,26	100,00
	Adm	1	1	0,64	0,72	100,00
Total	n	155	138			89,03

Due to the high participation in the survey, 89,03%, the distribution of the professional profile, gender, and areas of knowledge of the research community, suggests that the responses collected reflect the multiple visions that the research staff have concerning the implementation of the 40 principles of C&C.

4.2 Perception of the results of implementation of the C&C criteria.

4.2.1 Statistics of the "not aware of the implementation" answer

As mentioned in Section 2.3.2, the survey included the possibility for the respondent to answer that he or she was not aware of the implementation of the criterion. During the analysis of the survey, it was clear that a significant number of participants were unaware of some of these criteria. The ranking of the implemented principles that the participants were not aware of is presented in Figure 1 and Table 5.

Figure 1. Percentage of "not aware of the implementation" answers by criterion

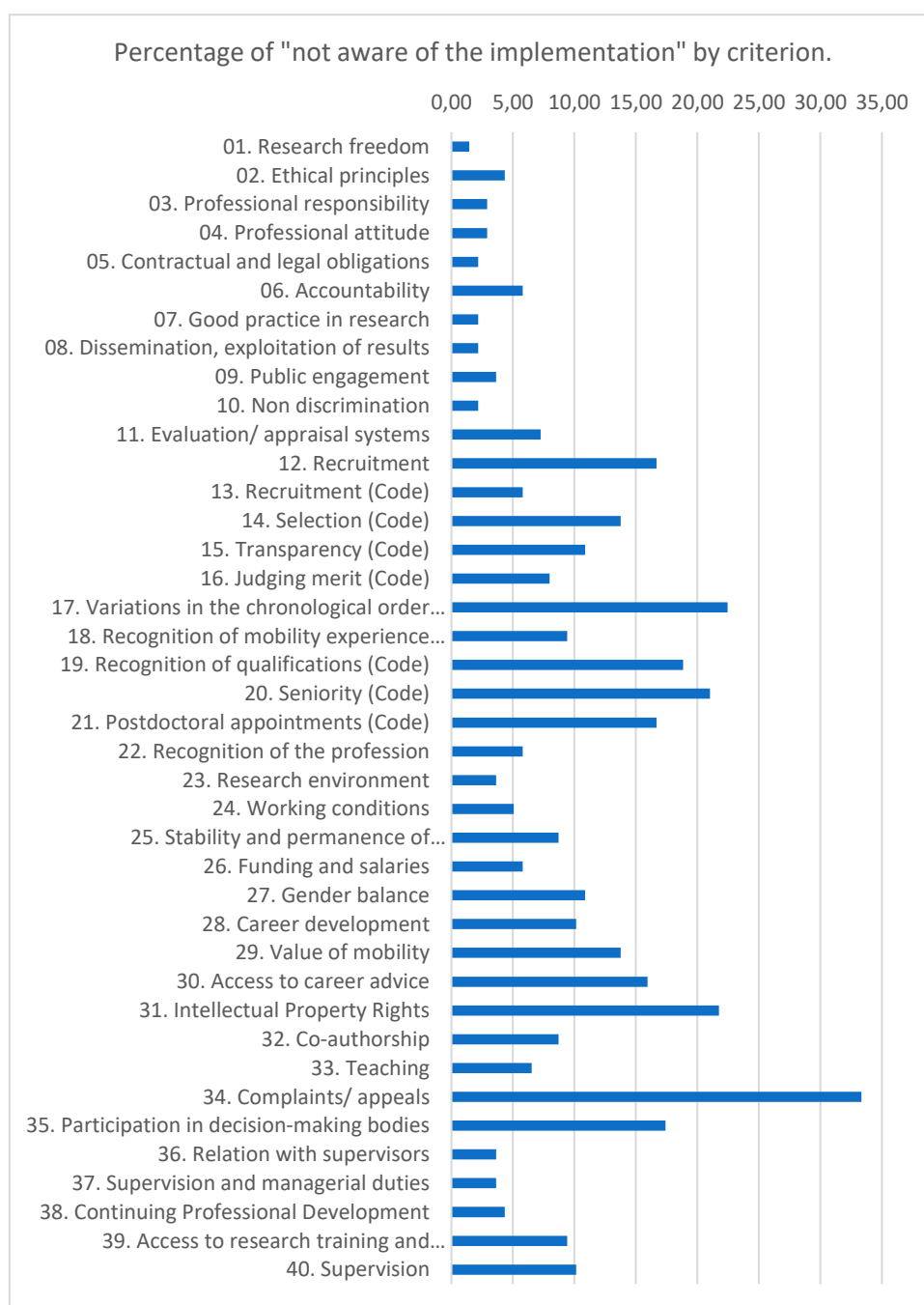


Table 5. Ranking of the percentage of not aware of the implementation of a criterion

Ranking	Principle	Percentage of scientists not aware of the implementation of the principle
1	34. Complaints/ appeals	33,33
2	17. Variations in the chronological order of CVs (Code)	22,46
3	31. Intellectual Property Rights	21,74
4	20. Seniority (Code)	21,01
5	19. Recognition of qualifications (Code)	18,84
6	35. Participation in decision-making bodies	17,39
7	12. Recruitment	16,67
8	21. Postdoctoral appointments (Code)	16,67
9	30. Access to career advice	15,94
10	14. Selection (Code)	13,77
11	29. Value of mobility	13,77
12	15. Transparency (Code)	10,87
13	27. Gender balance	10,87
14	28. Career development	10,14
15	40. Supervision	10,14

33% of the respondents were unaware of the existence of complaint mechanisms that were perfectly established at AGROTECNIO, as commented in tables 1 and 2. Also, other criteria like variations in the chronological order of CV, seniority or recognition of qualifications were also not well known. Finally, researchers are not familiar to much extent with the IP rights policy followed at AGROTECNIO.

4.2.2 Statistics of the implementation of the C&C principles.

To express the perception and importance of the degree of implementation of the C&C criteria expressed in the survey, the qualitative estimations were transformed into quantitative values using the following algorithms:

$$\text{Implementation} = \frac{(\# \text{Fully implemented} \times 3) + (\# \text{almost but not fully implemented} \times 2) + (\# \text{partially implemented})}{(\# \text{respondents} - \# \text{of not aware of the implementation}) \times 3}$$

$$\text{Importance} = \frac{(\# \text{Very important} \times 3) + (\# \text{Quite important} \times 2) + (\# \text{slightly important})}{\# \text{respondents} \times 3}$$

Figure 2 shows the global perception of the research staff about the implementation of the 40 C&C principles at AGROTECNIO.

Figure 2: Global perception of the research staff about the implementation of the 40 C&C principle

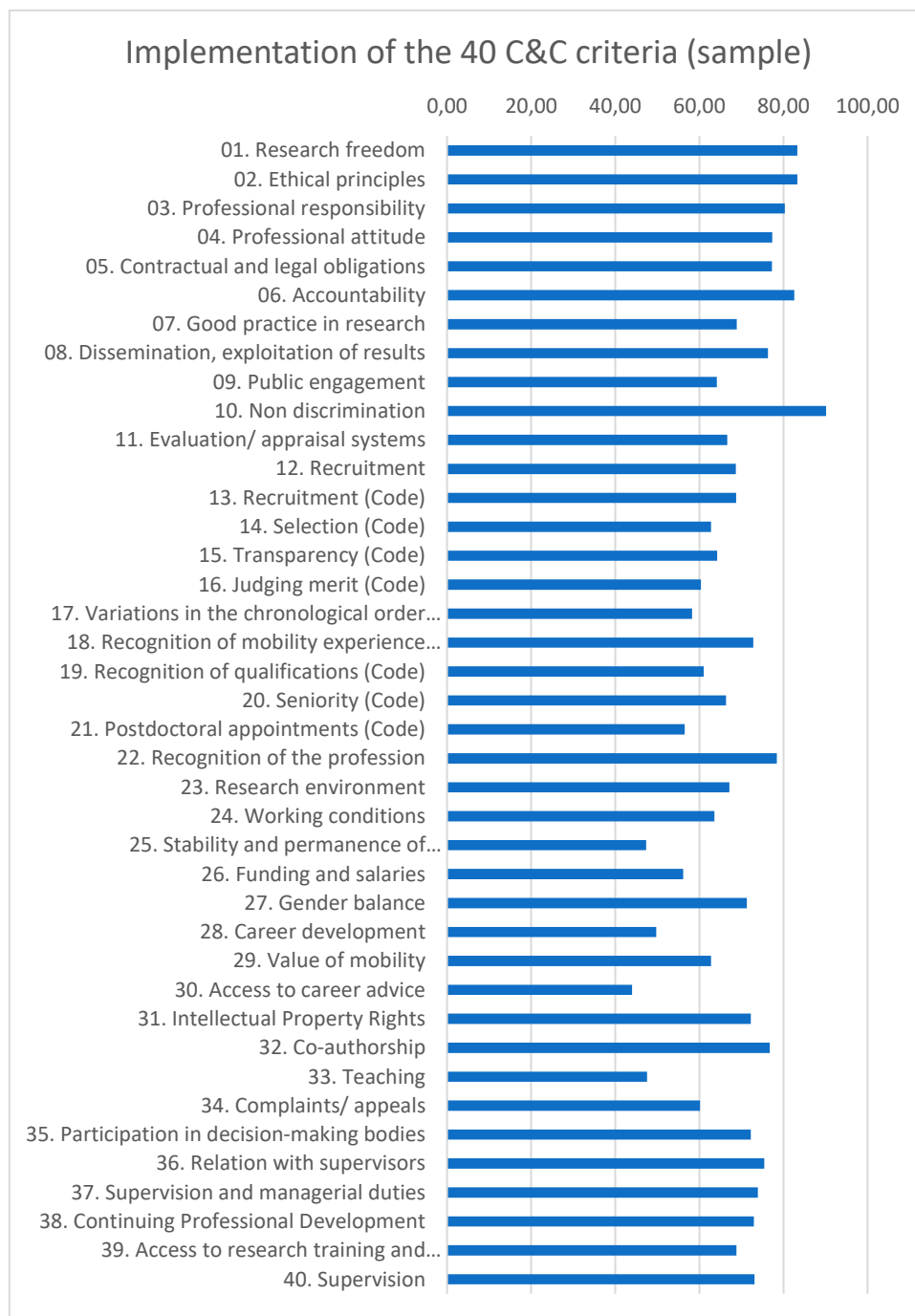


Table 6 shows the ranking of the global perception of implementation index values of the 40 C&C principles.

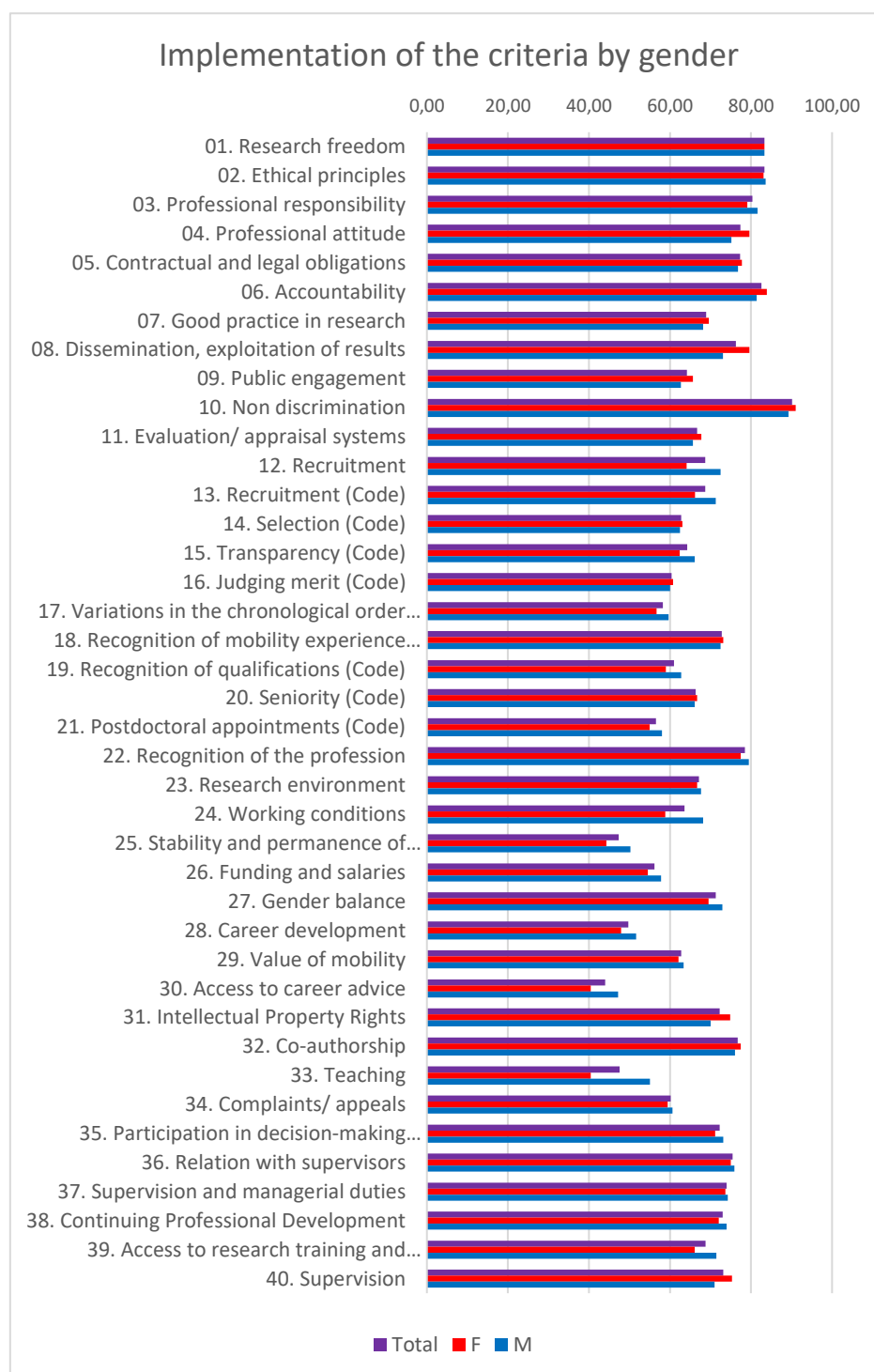
Table 6. Ranking of the global perception of implementation index values of the 40 C&C principles

Ranking of less implemented	Criteria	Implementation index	Ranking of less implemented	Criteria	Implementation index
1	30. Access to career advice	43,97	21	39. Access to research training and continuous development	68,80
2	25. Stability and permanence of employment	47,35	22	07. Good practice in research	68,89
3	33. Teaching	47,55	23	27. Gender balance	71,27
4	28. Career development	49,73	24	31. Intellectual Property Rights	72,22
5	26. Funding and salaries	56,15	25	35. Participation in decision-making bodies	72,22
6	21. Postdoctoral appointments (Code)	56,52	26	18. Recognition of mobility experience (Code)	72,80
7	17. Variations in the chronological order of CVs (Code)	58,26	27	38. Continuing Professional Development	72,98
8	34. Complaints/ appeals	60,14	28	40. Supervision	73,12
9	16. Judging merit (Code)	60,37	29	37. Supervision and managerial duties	73,93
10	19. Recognition of qualifications (Code)	61,01	30	36. Relation with supervisors	75,44
11	14. Selection (Code)	62,75	31	08. Dissemination, exploitation of results	76,30
12	29. Value of mobility	62,75	32	32. Co-authorship	76,72
13	24. Working conditions	63,61	33	05. Contractual and legal obligations	77,28
14	09. Public engagement	64,16	34	04. Professional attitude	77,36
15	15. Transparency (Code)	64,23	35	22. Recognition of the profession	78,46
16	20. Seniority (Code)	66,36	36	03. Professional responsibility	80,35
17	11. Evaluation/ appraisal systems	66,67	37	06. Accountability	82,56
18	23. Research environment	67,17	38	01. Research freedom	83,33
19	12. Recruitment	68,70	39	02. Ethical principles	83,33
20	13. Recruitment (Code)	68,72	40	10. Non-discrimination	90,12

The survey considers the access to career advice, the stability and permanence of employment career development and teaching.

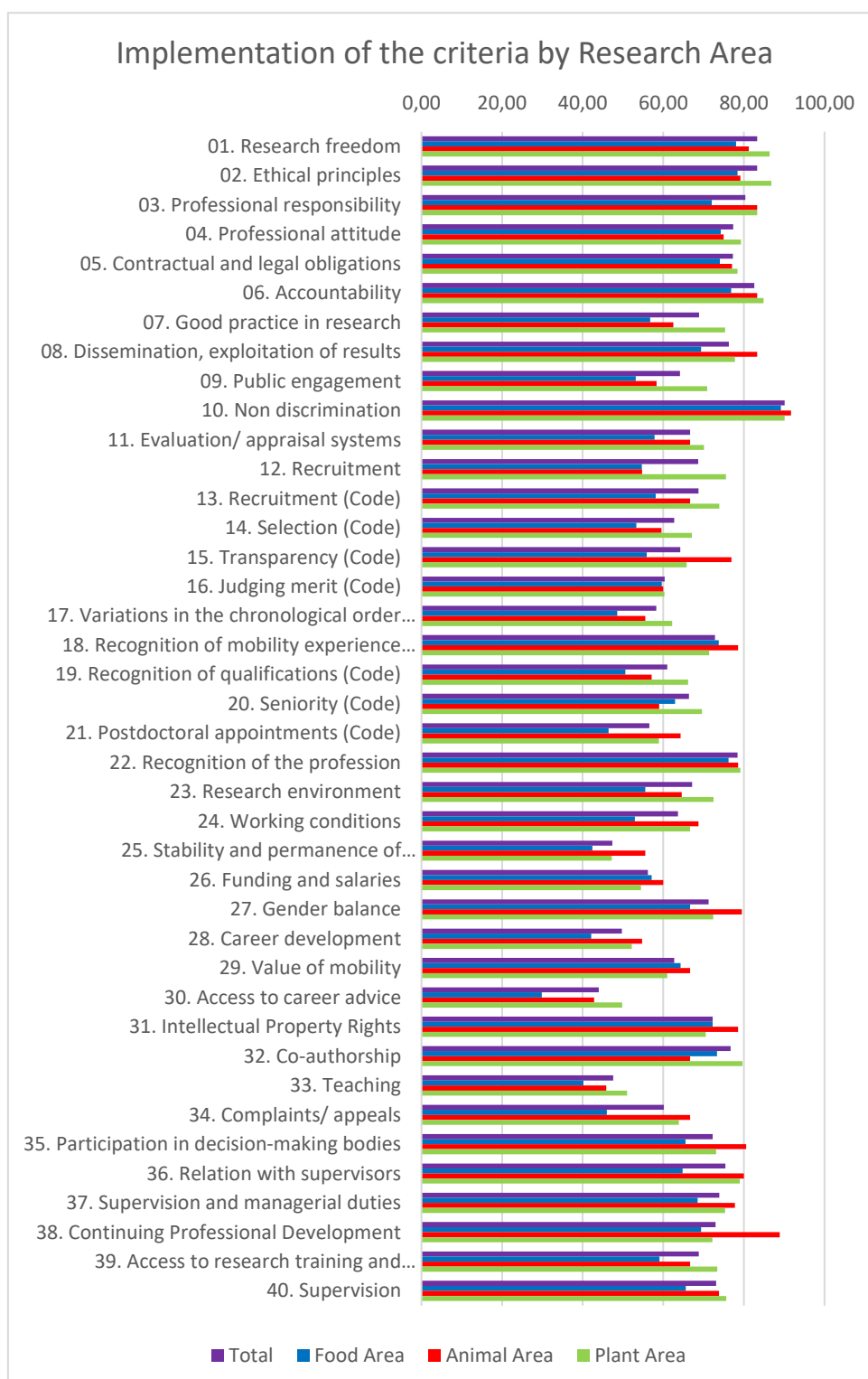
An analysis of the results obtained by applying these algorithms to the different segmentations of the survey sample is presented, in comparison with the consolidated results of all the researchers. Criteria "30. Access to career advice", "25. Stability and permanence of employment" and "33. Teaching" were the criteria considered the least implemented.

Figure 3. Perception of the implementation of the criteria by gender



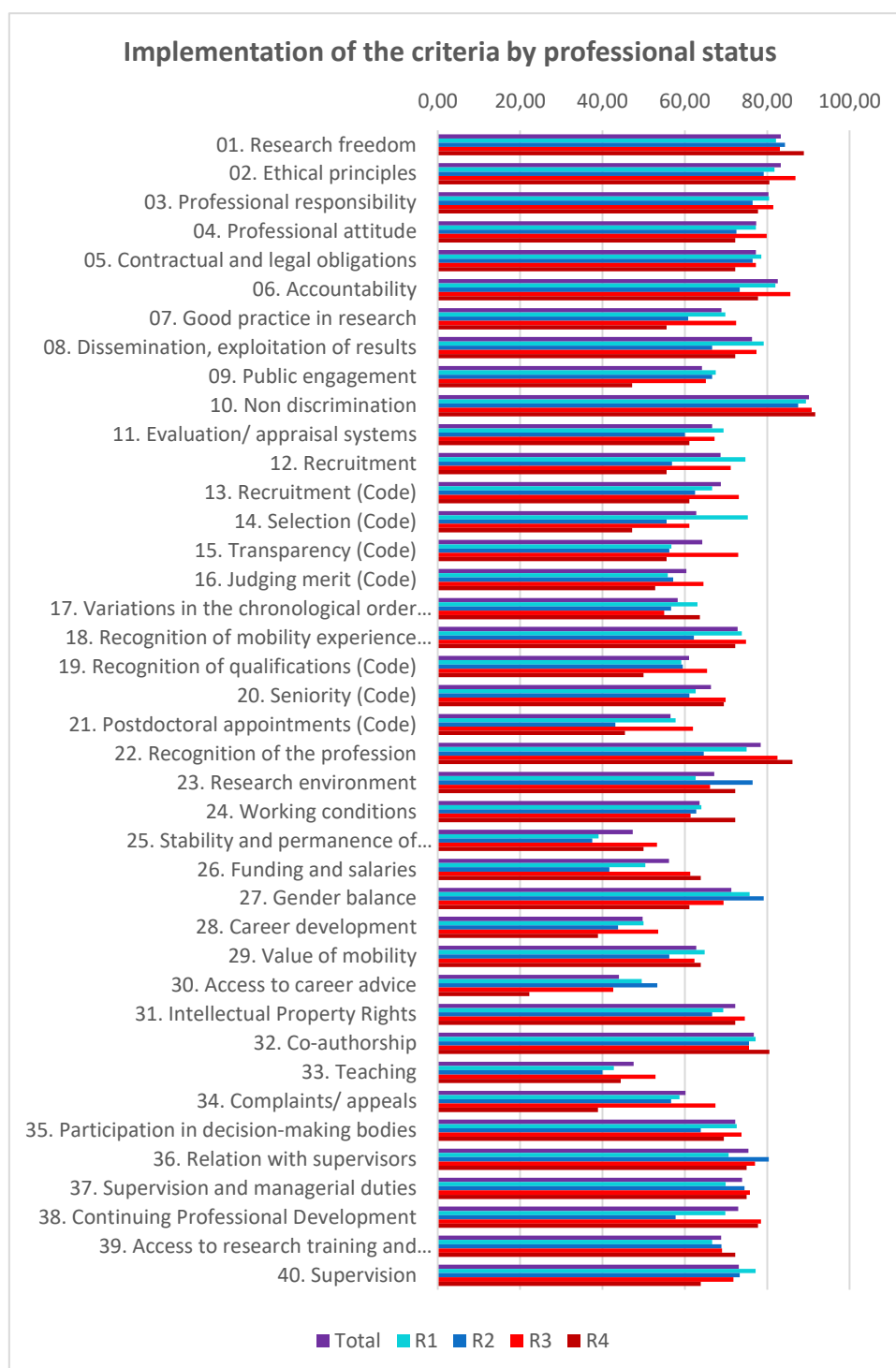
As shown, in general terms, the vision of the male and female researchers is very similar regarding the implementation of the criteria. Major differences were found in criteria "33. Teaching", "24. Working conditions", "12. Recruitment", and "30. Access to career advice", which female researchers considered less implemented than male researchers.

Figure 4. Perception of the implementation of the criteria by research area



Differences in the implementation of the criteria were observed among the three areas of research. In general terms, researchers working in Food Area consider that the criteria were less implemented than those working in Animal or Plant Health Areas.

Figure 5. Perception of the implementation of the criteria by professional status



In general terms, R4 researchers considered most of the criteria were not so implemented.

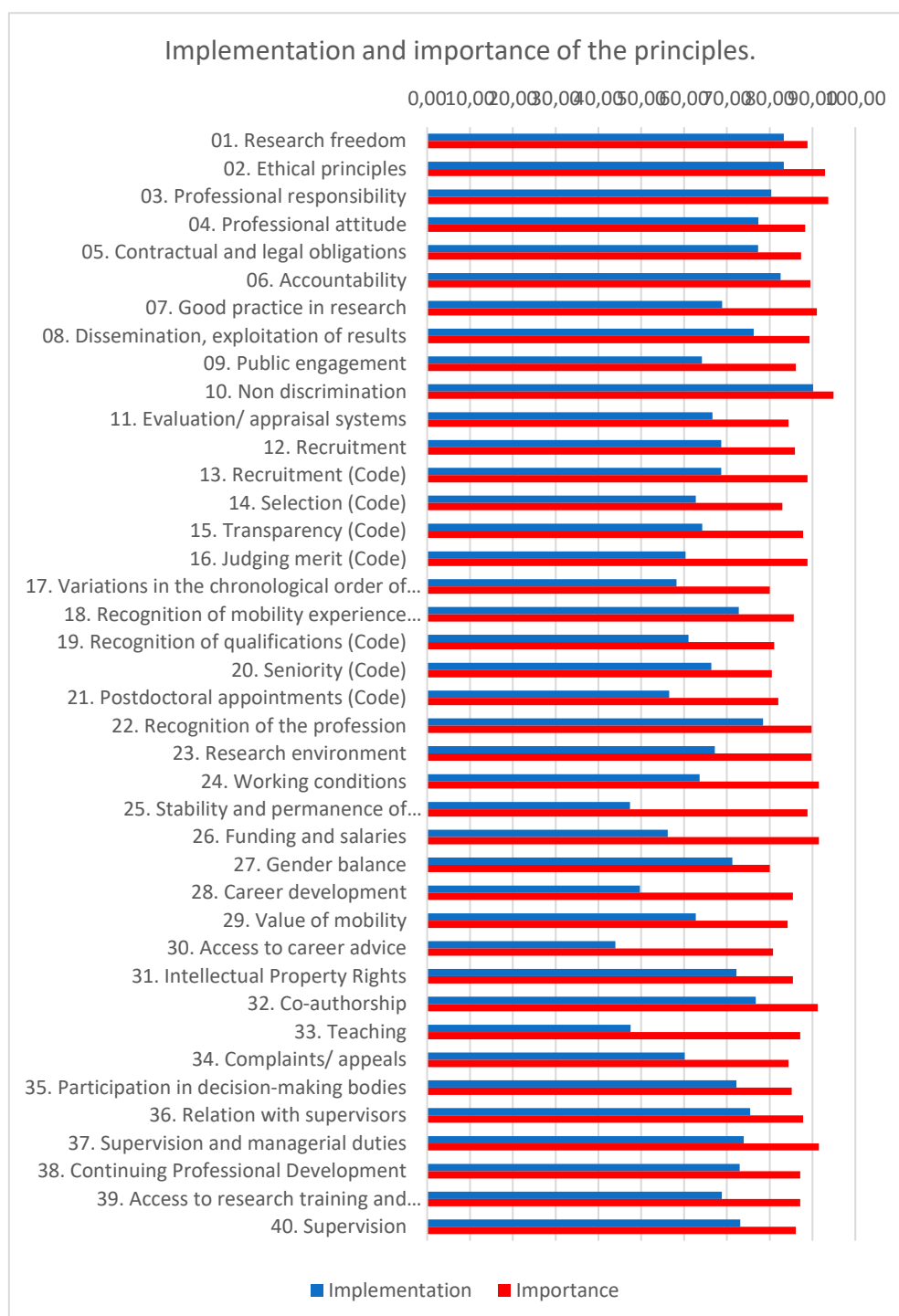
4.2.3 Statistics of the importance of the C&C principles.

In addition to the implementation of the 40 C&C principles, the researchers were asked about the subjective importance that they confer to each criterion. Results of this topic are presented in Table 7 and Figure 6.

Table 7. Ranking of the global perception of implementation index values of the 40 C&C principles.

Ranking	Criteria	Importance (%)	Ranking	Criteria	Importance (%)
1	10. Non-discrimination	95	21	33. Teaching	87
2	03. Professional responsibility	94	22	38. Continuing Professional Development	87
3	02. Ethical principles	93	23	39. Access to research training and continuous development	87
4	24. Working conditions	91	24	09. Public engagement	86
5	26. Funding and salaries	91	25	40. Supervision	86
6	37. Supervision and managerial duties	91	26	12. Recruitment	86
7	32. Co-authorship	91	27	18. Recognition of mobility experience (Code)	86
8	07. Good practice in research	91	28	28. Career development	85
9	22. Recognition of the profession	90	29	31. Intellectual Property Rights	85
10	23. Research environment	90	30	35. Participation in decision-making bodies	85
11	06. Accountability	90	31	11. Evaluation/ appraisal systems	84
12	08. Dissemination, exploitation of results	89	32	34. Complaints/ appeals	84
13	01. Research freedom	89	33	29. Value of mobility	84
14	13. Recruitment (Code)	89	34	14. Selection (Code)	83
15	16. Judging merit (Code)	89	35	21. Postdoctoral appointments (Code)	82
16	25. Stability and permanence of employment	89	36	19. Recognition of qualifications (Code)	81
17	04. Professional attitude	88	37	30. Access to career advice	81
18	15. Transparency (Code)	88	38	20. Seniority (Code)	81
19	36. Relation with supervisors	88	39	17. Variations in the chronological order of CVs (Code)	80
20	05. Contractual and legal obligations	87	40	27. Gender balance	80

Figure 6. Perception of the implementation and importance of the criteria (consolidated sample)



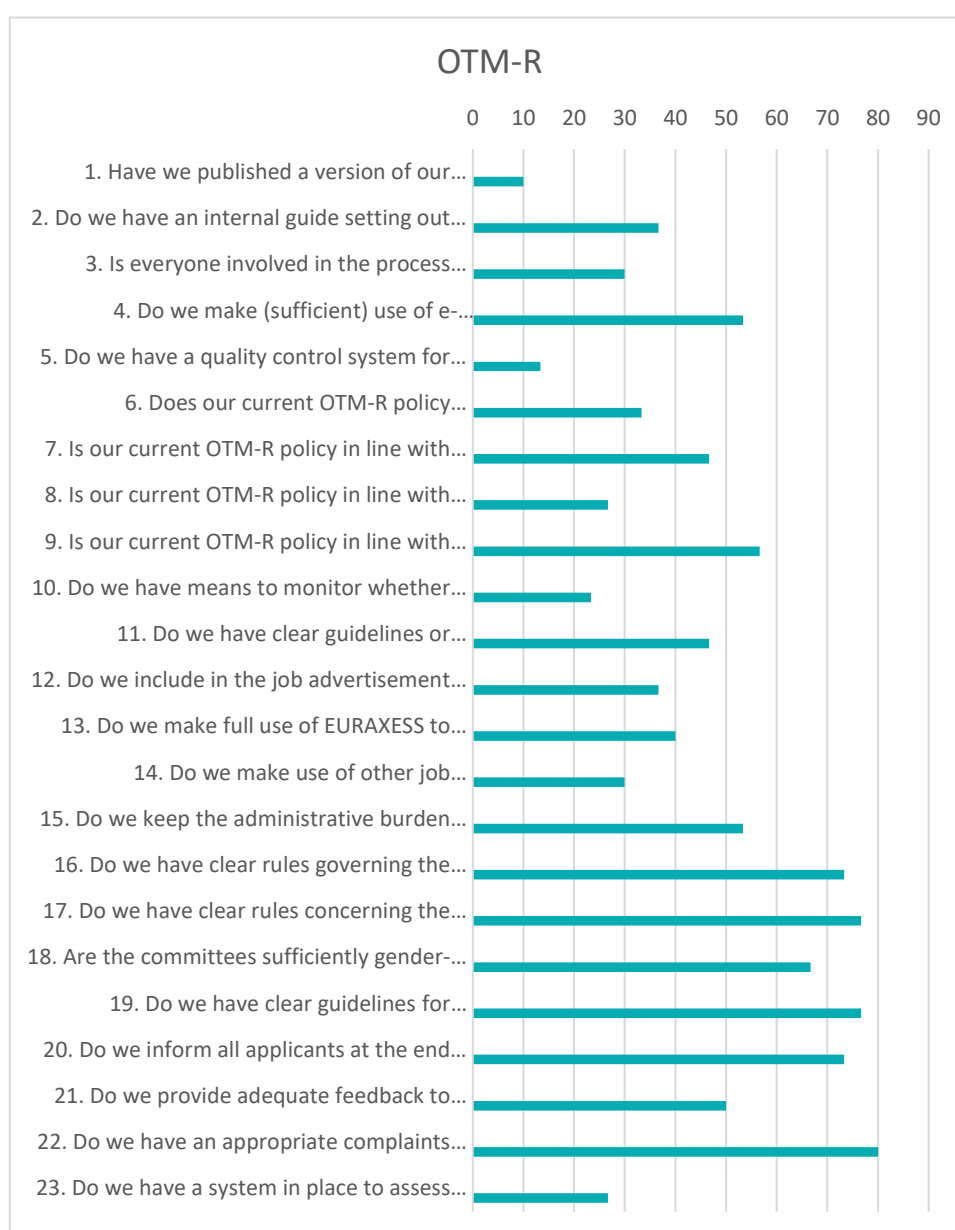
The range of the value of the importance index is very narrow, from 80 to 95%. This fact suggests that the researchers considered all the criteria important. And for that reason, importance could not be used to prioritize the order of implementation of the unimplemented criteria for the Action Plan.

4.3 Perception of the results of implementation of OTM-R criteria.

To evaluate the answers of the OTM-R survey, the algorithm presented below was defined:

$$\text{Implementation} = \frac{(\# \text{Fully implemented} \times 3) + (\# \text{almost but not fully implemented} \times 2) + (\# \text{partially implemented})}{\# \text{respondents} \times 3}$$

Figure 7. Plot of implementation of the OTM-R criteria



The OTM-R principles sorted in terms of the received score is presented in Table 8.

Table 8. Ranking of the OTM-R principles.

Principle	% of Implementation
22. Do we have an appropriate complaints mechanism in place?	80,00
17. Do we have clear rules concerning the composition of selection committees?	76,67
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?	76,67
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) 45]	73,33
20. Do we inform all applicants at the end of the selection process?	73,33
18. Are the committees sufficiently gender-balanced?	66,67
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	56,67
4. Do we make (sufficient) use of e-recruitment tools?	53,33
15. Do we keep the administrative burden to a minimum for the candidate?	53,33
21. Do we provide adequate feedback to respondents?	50,00
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	46,67
11. Do we have clear guidelines or templates (e.g. EURAXESS) for advertising positions?	46,67
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	40,00
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	36,67
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report]	36,67
6. Does our current OTM-R policy encourage external candidates to apply?	33,33
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	30,00
14. Do we make use of other job advertising tools?	30,00
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	26,67
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	26,67
10. Do we have the means to monitor whether the most suitable researchers apply?	23,33
5. Do we have a quality control system for OTM-R in place?	13,33
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	10,00

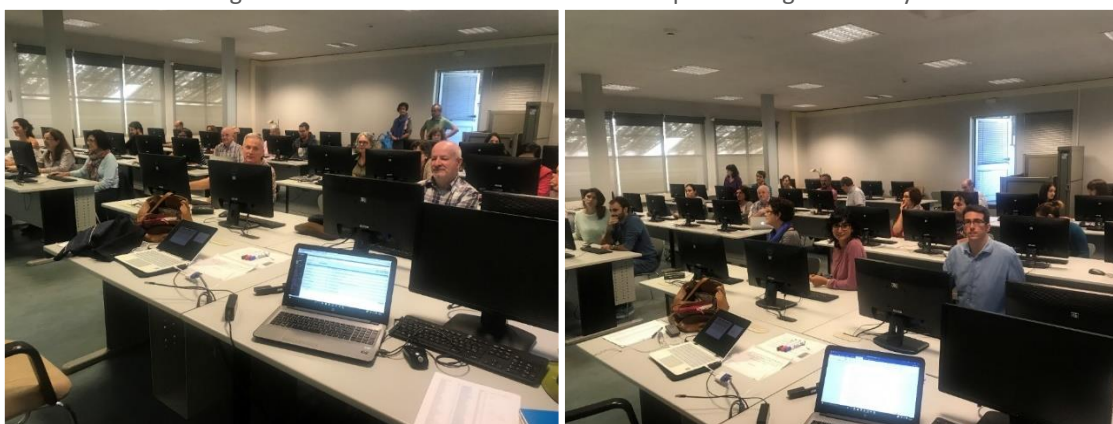
Most of the OTM-R criteria were not implemented. The criteria that were most implemented were the following: "11. Do we have clear guidelines or templates (e.g. EURAXESS) for advertising positions?", "14. Do we make use of other job advertising tools?", "15. Do we keep the administrative burden to a minimum for the candidate?", and "20. Do we inform all applicants at the end of the selection process?"

4.3 Workshops.

4.3.1. Survey workshop September 19th

To obtain the highest participation in the Gap Analysis survey, two consecutive Gap Analysis survey completion workshops were performed. 45 researchers joined this activity, in which a brief explanation of each criterion was provided and specific questions were answered.

Figures 8 and 9. AGROTECNIO researchers performing the survey



4.3.2 First Workshop: October 10th: Analysis and interpretation of the surveys and Gap Analysis

Half-day workshop evaluating and discussing part of the responses of the survey and the discussion of the Gap Analysis.

Goals: (I) To review the general results obtained in the survey, (II) Validate the Gap Analysis jointly, assuring that the answers were consistent with the reality of the Institution, and (III) Identify the most outstanding improvement areas.

Working Methodology: Analysis of the evaluation of the implementation and importance of the 40 C&C criteria. Addressing the possible actions to be undertaken.

Agenda

- 9:00 Welcome message.
- 9:00 Presentation of the survey conclusions, in terms of participation and perception of implementation and importance of the C&C criteria. –
- 9:15 Validation of the survey answers and suggestions for improvement to the implementation of Charter & Code (C&C) “ETHICAL and PROFESSIONAL ASPECTS (11)” and “SELECTION and RECRUITMENT (10).” -
- 10:45 Coffee break.
- 11:00 Validation of the survey answers and suggestions for improvement to the implementation of Charter & Code (C&C) “WORKING CONDITIONS and PROFESSIONAL CAREER (14)” and “SUPERVISION and TRAINING (5).”
- 13:15 - 13:30 Wrap-up and next steps.

Participants: Working Group

Researchers:

Josep Galceran (R3) Vegetal
Robert Soliva (R3) Food
Ramon Canela (R3) Vegetal
Jordi Llorens (R2) Vegetal
Carla Roman (R1) Vegetal
Xenia Pascari (R1) Food
Helga Ochagavia (R1) Vegetal
Filippe Madeira (R2) Vegetal
Albert Ribas (R2) Food
Vicente Sanchis (R4) Food

Administration

Miquel Buenestado

Figure 10. Working Group attending the first workshop



In the second part of the workshop the Working Group discussed the results obtained in the surveys. The evaluation provided by the participants was the starting point of the discussions about the real degree of implementation of the 40 C&C criteria.

4.3.3 Second Workshop: October 24th: Action Plan definition and debate.

Half-day workshop evaluating and discussing part of the responses of the survey.

Goals: (I) To identify actions to fill the Gaps in the implementation of the C&C criteria and (II) Identify the most outstanding improvement areas.

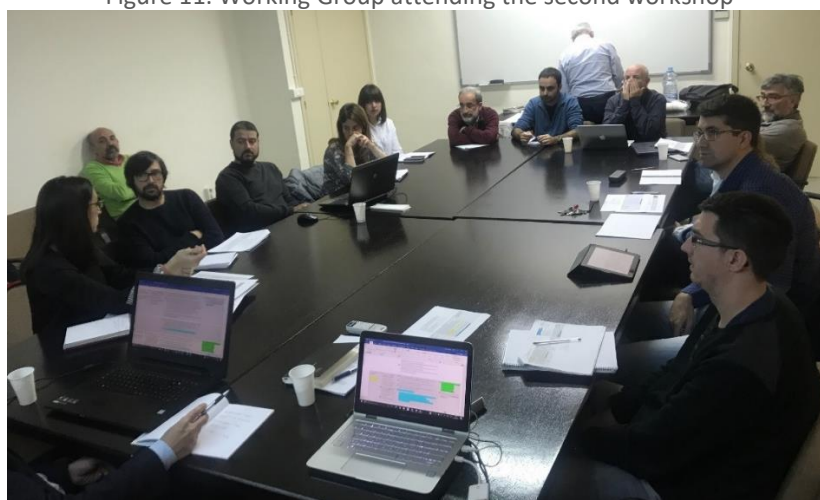
Working Methodology: Fully participative meeting. A document summarizing the conclusions of the previous workshop was distributed in advance to the members of the working committee.

Agenda

- 9:00 Welcome message.

- 9:00 Presentation of the Gap Analysis conclusions and actions for improvement to the implementation of Charter & Code (C&C) "ETHICAL and PROFESSIONAL ASPECTS (11)" and "SELECTION and RECRUITMENT (10)." -
- 10:45 Coffee break.
- 11:00 Presentation of the Gap Analysis conclusions and actions for improvement to the implementation of Charter & Code (C&C) "WORKING CONDITIONS and PROFESSIONAL CAREER (14)" and "SUPERVISION and TRAINING (5)."
- 13:15 - 13:30 Conclusions and next steps.

Figure 11. Working Group attending the second workshop



Participants: Working Group

Researchers

Vicente Sanchis (R4) Food
 Ramon Albajes (R4) Vegetal
 Jordi Voltas (R4) Vegetal
 Josep Galceran (R3) Vegetal
 Roxana Savin (R3) Vegetal
 Robert Soliva (R3) Food
 Ignacio Romagosa (R3) Vegetal
 Ramon Canela (R3) Vegetal
 Filipe Madeira (R2) Vegetal
 Albert Ribas(R2) Food
 Jordi Llorens (R2) Vegetal
 Carla Roman (R1) Vegetal
 Xenia Pascari (R1) Food
 Helga Ochagavia (R1) Vegeta

Administration

Miquel Buenestado (Administration)
 Leticia Carro (UDL)

Leticia Carro, Research and Transference Area Manager of the UdL, was invited to participate in the workshop to give her insights about human resources principles of C&C. The text summarizing the diagnosis of each of the 40 C&C principles was debated and a consensus on common positions was reached, considering the qualitative and quantitative assessment shown in the surveys, the results of the personal interviews and the Working Group members' suggestions.

4.4 Meetings

4.4.1 Communication session September 12th

Agenda:

- 10.00- 11.00 Short presentation about HRS4R initiative and objectives.
- 11.00- 11.30 Questions and answers.

Venue: AGROTECNIO.

Figure 12. Awareness meeting at AGROTECNIO attended by the Scientific Strategy and Management Committee.



4.4.2 Communication session of the Action Plan to researchers November 20th

Agenda:

- 10.00- 11.00 Short presentation about HRS4R initiative objectives and actions.
- 11.00- 11.30 Questions and answers.

Venue: AGROTECNIO conference room.

Figure 13 Communication meeting at AGROTECNIO



4.5 Interviews

Goals: (I) To complete information concerning the degree of implementation of the most controversial principles debated in the workshops.

Working Methodology: Personal interviews of 30 minutes.

Date, people and major discussion themes:

- September 12th: Dr. Jose Antonio Moreno (R3), Member of the Ethical Commission of the UdL. Present reality of the Ethical Committee, protocols, templates, etc.
- September 12th: Dr. Antonio Ramos, (R3) Coordinator of the Technical Microbiological Quality Service. Technology transfer and Intellectual Property.
- September 12th: Xavier Mitjana, independent consultant. Communication and Outreach coordination, activities, dissemination of the activities by social media and web page.
- September 14th: Miquel Buenestado. Communication and Outreach coordination.
- September 20th: Josep Ramon Peguera Anoro, IT Officer ATSEA campus. Information Technology, data security, plagiarism.
- October 5th: Ms. Leticia Carro, Research and Transference Area Manager. Recruitment Processes.

4.6 Legal framework of the C&C principles

Table 1 presents the legal framework that addresses the implementation of the HRS4R. No regional laws affect the proper adscription of the HRS4R criteria.

Table 9. Legal framework.

European legislation	
Royal Decree Law 8/2015, General Social Security Law. Consolidated text.	26
Royal Legislative Decree of April 1, 1996, approving the revised Intellectual Property Act, updated November 5, 2014.	3
Spanish Committee of Research Ethics. Ninth Additional Provision.	7
Article 20.1 CE: They recognise and protect rights: a) to freely express and disseminate thoughts, ideas and opinions through words, writing or any other means of reproduction. b) A production and literary, artistic, scientific and technical.	1
Article 20.4 EC: These freedoms are limited by respect for the rights recognised in this Title Article 149. 15th EC: The State has exclusive power over the promotion and general coordination of scientific and technical research.	1
Article 35.1 EC.	10
Article 9.2 EC.	10
Directive 1999/70/CE regarding Framework agreement of CES, the UNICE and the CEEP about Fixed-Term Work.	25
National legislation	
Directorate General for Labour November 3, 2009, unique national collective agreement for the entire General State Administration.	26
Law 10/2002, of 29 April adapting the Law of Patents to EU Directive related to legal protection of biotechnology inventions.	31
Law 11/1986, of 20 March, Research Patent and utility models.	3,5,6,31,32
Law 14/2011, of 1 June, of Science, Technology and Innovation.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 31, 33, 38, 39
Law 31/1995 (Preventing Work Risks).	7, 23
Law 38/2003 (General Subsidies).	6, 8, 11, 16
Organic Act 3/2007 (Effective Equality for Men and Women).	2, 7, 10, 12, 14, 15, 16, 17, 21, 24, 27, 28, 30
Co Law 15/1999, of 13 December, Personal data protection.	2, 7
Organic Law 2/2012, of 27 April, Budget stability and financial sustainability, updated July 20, 2013.	25
Royal Decree 1837/2008, of 8 November, which incorporated into Spanish Law the Directive 2005/36/EC of the European Parliament and the Council, of September 7, 2005 and Directive 2006/100/EC, Council of November 20, 2006, on the recognition of professional qualifications.	19,20

Royal Decree 2/2015 (Workers' Statute, ET).	5, 10, 11, 12, 13, 14, 15, 18, 22, 24, 25, 26, 27, 34, 39
Royal Decree 55/2002 of Exploitation of inventions by public research institutions.	32
Royal Decree 63/2006 Researchers at training stages.	4, 5, 12, 19, 20, 21, 26
Royal Decree 887/2006 of 21 July, approving the regulations of the Law 38/2003 of 17 November, General Grant Management. Article 60 1. Evaluation criterion.	11, 16
Royal Decree 99/2011 (Regulation of PhD Studies).	40
Royal Decree Law 1/1996, Intellectual Property Law (Book I. art.7 and art.10)	31, 32
Royal Decree Law 5/2006 of 9 June.	25
Spanish Constitution 1978.	1, 7, 10, 16, 27
UNESCO Deontological Codes of Conduct.	2

4.7 Agreement between AGROTECNIO and UdL. (original in Spanish)

ACUERDO DEL PATRONATO DEL CENTRO CERCA AGROTECNIO PARA LA APLICACIÓN SUPLETORIA DE LA NORMATIVA DE LA UNIVERSIDAD DE LLEIDA EN MATERIA DE RECURSOS HUMANOS EN EL ÁMBITO DE LA INVESTIGACIÓN

Lleida, de Noviembre de 2017

El Centro Agrotecnio (AT) tiene como patrones a la Universidad de Lleida (UdL) y al Instituto de Investigación y Tecnologías Agroalimentarias (IRTA). Las finalidades de AT se basan en promover, desarrollar, transferir, gestionar y difundir la investigación de excelencia en el ámbito de la tecnología agro-ganadera y alimentaria y la formación en investigación en el mismo ámbito.

AT se plantea como objetivo a corto plazo obtener el reconocimiento europeo Human Resources Strategies for Researchers (HRS4R). Este sello le permitirá alinearse con la política europea actual en gestión de recursos humanos en el campo de la investigación, aplicando los principios de la Carta Europea del Investigador y el Código de Conducta para investigadores (C&C).

AT está formado por personal contratado por la Universidad de Lleida y personal contratado directamente por AT.

En relación al personal contratado por la Universidad de Lleida, la gestión de los recursos humanos se lleva a cabo directamente por las unidades administrativas de la UdL, institución que ya tiene el reconocimiento europeo Human Resources Strategies for Researchers (HRS4R).

En relación al personal contratado directamente por AT, no se dispone de normativa propia, por lo que se propone la adopción del siguiente acuerdo:

Primero.- La gestión de los recursos humanos en la investigación, principalmente los relacionados con los procesos de selección y contratación de personal de AT, se regirá de forma supletoria por

la normativa de la Universidad de Lleida, hasta que disponga de documentación propia. Los documentos a los que aplica el presente acuerdo se detallan a continuación:


1. Normativa de personal visitante en la UdL
2. Reglamento para la gestión de espacios
3. Acuerdo del Consejo de Gobierno del 29 de Febrero de 2008, por el cual se modifica la estructura preventiva y de emergencias de la UdL. Aprobado por el CSS del día 21 de febrero de 2008
4. Procedimiento específico para la promoción de profesorado colaborador de la UdL
5. Normativa de bajas, permisos, licencias y comisiones de servicio del personal académico de la UdL
6. Normativa de periodos sabáticos para el profesorado permanente de la UdL
7. Nuevo marco retributivo para el profesorado asociado
8. Normativa para la selección y contratación de plazas de profesorado asociado en la UdL
9. Normativa para la selección y contratación de plazas de profesorado contratado doctor en régimen laboral en la UdL
10. Normativa sobre la acreditación lingüística en los procesos de selección y de acceso del personal docente e investigador (PDI) de la UdL
11. Aplicación al PDI funcionario que lo demande de la substitución del tiempo de lactancia por un permiso retributivo que acumule en jornadas completas el tiempo correspondiente
12. Normativa de reconocimiento de la materia transversal de representación y participación estudiantil
13. Procedimiento de la UdL de homologación de títulos extranjeros de educación superior para el actual título de grado y Doctor
14. Acuerdo núm. 64/2014 del Consejo de Gobierno del 10 de abril de 2014, por el cual se aprueba la Normativa Académica de doctorado de la UdL
15. Reglamento de la UdL para la aplicación de gastos indirectos para actividades con agentes externos (sustituyendo al reglamento de cánones)
16. Normativa sobre la protección de los resultados de las actividades de investigación, desarrollo tecnológico e innovación (propiedad industrial e intelectual) en la UdL
17. Normativa para la gestión de los proyectos europeos del VII Programa Marco de investigación y para el desarrollo tecnológico de la Comisión Europea y otros proyectos Internacionales
18. Normativa para la gestión de proyectos internacionales de Investigación, Desarrollo e Innovación
19. Personal Técnico de Apoyo a la R+D+i. Tipologías, organización y mecanismos de asignación
20. Procedimiento que regula la contratación de investigadores e investigadores postdoctorales por parte de la UdL
21. Procedimiento que regula la contratación de larga duración para la UdL de personal para actividades de I+D+i con financiación externa
22. Procedimiento que regula la contratación a tiempo parcial para la UdL de personal que lidera actividades de I+D+i
23. Reglamento del servicio de deportes
24. Normativa de funcionamiento del comité de seguridad y salud
25. Reglamento del centro de igualdad de oportunidades y promoción de las mujeres

26. Código ético de la UdL
27. II Plan de Igualdad entre hombres y mujeres
28. Plan de Inclusión de las personas con diversidad funcional de la UdL (2014-2019)
29. Reglamento de actuación en casos de violencia de género
30. Estrategia de promoción de la UdL y de captación y fidelización de estudiantes (2016-2019)
31. Compromiso de buenas prácticas de la Escuela de Doctorado de la UdL (Consejo de Gobierno del 30 de Mayo de 2012)
32. Reglamento de organización y funcionamiento de la sindicatura de agravios
33. Estatutos de la UdL
34. Documento de la Política de Personal Académico de la UdL
35. Propuesta de criterios para la priorización de las solicitudes de infraestructuras de investigación

Segundo.- A los efectos de aplicar adecuadamente la normativa supletoria de la Universidad de Lleida se establece que las competencias en la normativa de la UdL se asigne a:

- a) Al Rector y al Presidente del Consejo Social, serán ejercidas por el Presidente de la Fundación AT.
- b) Al Consejo de Gobierno y al Consejo Social, serán ejercidas por el Patronato de la Fundación AT.
- c) A un vicerrector, serán ejercidas por el Director de AT.

Figure 15. Signed agreement. Original written in Catalanian)



Av. Alcalde Rovira Roure 191,
E-25198 Lleida,
Espanya

**ACTA DEL PATRONAT VIRTUAL DE LA FUNDACIÓ AGROTECNIO
(2016/12/12)**

Identificació de la reunió

Reunió Virtual: Patronat de la Fundació Agrotecnio.
Data d'efectes: 12 de desembre de 2017

Ordre del dia

Per disposició del President i d'acord amb el que es preveu en l'article 25 dels Estatuts de la Fundació, es va convocar una reunió virtual del Patronat amb el següent ordre del dia:

1. Aprovació, si s'escau, de l'aplicació supletòria de la normativa en matèria de recursos d'investigació de la Universitat de Lleida.

Desenvolupament de la votació

Varen emetre el seu vot els següents patrons:

Sr. Roberto Fernández Díaz.	Sr. José Antonio Bonet Lledos
Sr. Josep M ^e Monfort Bolívar.	Sr. Agustí Fonts Cabestany
Sr. Pere Mir Artigues	Sr. Francesc Subirada i Curcó
Sr. Albert Sorribas Tello	

Resultat

La proposta va rebre 7 vots favorables dels 7 vots emesos i per tant va ser aprovada pel patronat de la Fundació.

El secretari de la Fundació

Vist i plau

Albert Sorribas Tello Secretari de la Fundació	Roberto Fernández Díaz President de la Fundació
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Aquest document constitueix l'acta de la reunió. No s'ha de signar ni signataris digitals que consti: 2.
Signat: Albert Sorribas Tello. Data: 19/12/2017. Hora: 14:17:46.
Signat: Roberto Fernández Díaz. Data: 19/12/2017. Hora: 14:25:48.
Adreça de verificació: <https://transparencia.ub.es/verificador/validador/validador.asp?document=1>.

