



HRS4R

THE USC HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Gap Analysis

14/11/2016

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CONTACT: vr.investigacion@usc.es

MORE INFORMATION: http://www.usc.es/gl/info_xeral/hrs4r/index.html

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1 INTRODUCTION

1.1 Background

In March 2005 the European Commission presented the **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers**, that aim to contribute to the development of a European labour market attractive to researchers. The charter and the code of conduct are recommendations of the Commission to Member States, invited to apply them voluntarily:

- The **European Charter for Researchers** is a set of general principles and requirements defining the roles, responsibilities and rights of researchers, entrepreneurs and funders.
- The **Code of Conduct for the Recruitment of Researchers**, which does not differ much from the standard rules governing recruitment, stresses the importance of open and transparent recruitment procedures, and the importance of diverse and experienced selection committees.

On another note, the "**Human Resources Strategy Research**" is being developed within the policy of the European Union to prioritize the rights and obligations of researchers and give them visibility. The strategy is a tool launched by the European Commission to support universities and research institutions and organizations that fund research in the application of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. The concrete and correct application of the Charter and the Code by universities makes them more attractive to researchers looking for a new employer or a host for a research project. The **quality seal** awarded by the European Commission "**HR Excellence in Research**" identifies universities and institutions that generate and support the existence of a stimulating and favourable research environment.

Assuming as own the objectives set by the European Commission in the development of the HRS4R, **the USC aims to improve its HR policy towards researchers** and thus fulfil the commitments made with the research community and society in general. These commitments were already reflected in the multiannual program of the institution and have already resulted in the signing of the commitment of the university to apply the principles of the "Charter & Code".

This document presents the strategy proposed by the USC to achieve these objectives.



1.2 The USC and its System of R+D+i

The University of Santiago de Compostela (USC) – the **leading academic, scientific and technological resource in Galicia**- has more than **five centuries of history**, which have provided us a rich academic tradition and an exceptional architectonic, artistic, bibliographic and natural patrimony, which is both alive and open to society. As a fruit of this bequeathal, the USC treasures a strong **international projection** in both its teaching and scientific relationships, which endow it with the profile of a complete university with competitive teaching and research in all the fields of knowledge, which all the comparative studies of the level of quality in universities always place among the **leading positions in the whole of the Spanish University System**.¹

2nd Spanish University concerning the capacity to attract new students and the 15th Spanish University in global teaching quality

Among the first 25 European universities with the capacity for foreign student enrolment

2nd as regards to the capacity for research, 2nd in R&D per researcher revenues, 5th in income for R&D contracts, 4th in PCT patent applications in the OEPM, and 1st as regards to Revenues from royalties

A Spanish National Reference in Entrepreneurship and a Promoter of UNIRISCO (www.unirisco.org), the first Society of Venture Capital promoted by a Spanish University.

The USC is a multidisciplinary university that hosts 25,000 undergraduate students and more than 2,000 PhD students.

In the USC, studies are organised into **two campuses**: one located in Santiago de Compostela and the other in Lugo.

The USC is integrated in the new European educational model and is **one of the top universities in Europe as regards to the number of officially recognised degree courses offered** in Health Sciences, Sciences, Engineering and Architecture, Social Sciences and Law and Humanities. Concerning post-graduate studies, the USC offers advanced specialized and multidisciplinary training aimed at academic and professional specialization and research, with more than a hundred masters and PhD courses



Currently the university's facilities cover more than 1,300,000 square metres. In terms of human resources, the university has more than 5,200 professional and research personnel (about 50,1% female) involved in study and research and over 25,000 students.

¹ http://www.usc.es/en/info_xeral/responsable/cifras/index.html



A strategic project aligned with the HRS4R principles, called **Campus Vida**, has been awarded by the Spanish Ministry of Education and Ministry of Science and Innovation with the recognition of **International Campus of Excellence** as a result of the educational, research and social commitment of the USC.

Research and innovation is one of the most important activities in the USC, having infrastructure facilities and human resources of the highest international quality. Our R&D activities cover different fields (Health Sciences, Agrofood, Environment, Life Sciences, Engineering, Social Sciences and Law and Humanities) showing outreach average values for the last 5 years of 1900 articles published in JCR reviews/year; 300 disserted PhD Theses/year and 30 patents/year.

From the city of Santiago de Compostela, where cultural tradition and scientific vanguard work hand in hand in order to generate Excellence within an Excellent environment, we are already constructing the University of the XXI century.

STAFF & STUDENTS (1)	NUMBER
Total researchers (staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research)	5,218
Of whom are international (foreign nationality)	653
Of whom are externally funded	933
Of whom are women	2,657
Of whom are stage R3 or R4*	1,542
Of whom are stage R2*	222
Of whom are stage R1*	2,440
Total number of students	25,028
Total number of staff (including management, administrative, teaching and research staff)	4,104
RESEARCH FUNDING (2)	€
Total annual organisational budget	98,875,702
Annual organisational direct government funding (designated for research)	43,888,566
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	37,253,225
Annual funding from private , non-government sources, designated for research	8,062,795
Annual funding from public sources designated for research	2,660,727
Annual own funding for research	6,710,389

(1) Student data (R1) updated as of 10/31/2016. Data of staff (teachers, researchers, Administration and Services) updated as of 07/01/2016

(2) Fiscal Year: 2015

* Definitions in Attachments

2 METHODOLOGY

2.1 Objectives and Approach

The aim of producing the **USC Human Resources Strategy for Researchers** is the **concrete and correct implementation of the principles contained in the European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers** and achieve the following **goals**:

- **To promote the recruitment, retention and development of talent** to develop quality teaching and research, which helps the USC to reach a position of international leadership in the areas of specialization.
- To establish an **adequate and stimulating work environment** for the USC research staff to facilitate their permanence in the University while facilitating their access to other institutions or companies at national and international level.
- **To improve internal processes of development and management of research staff.**

Achieving these goals implies also the adoption of methodological approaches oriented to these **intermediate targets**:

- **Involving all stakeholders**, especially the research staff.
- Implementing a **strong commitment of the institution at its strategic level.**
- **Analysing the key areas for improvement** in relation to the management of the research staff.
- **Development of a short and medium term Action Plan**
- Definiton of a **human resources strategy for the research staff** integrated into the overall strategy of the USC.

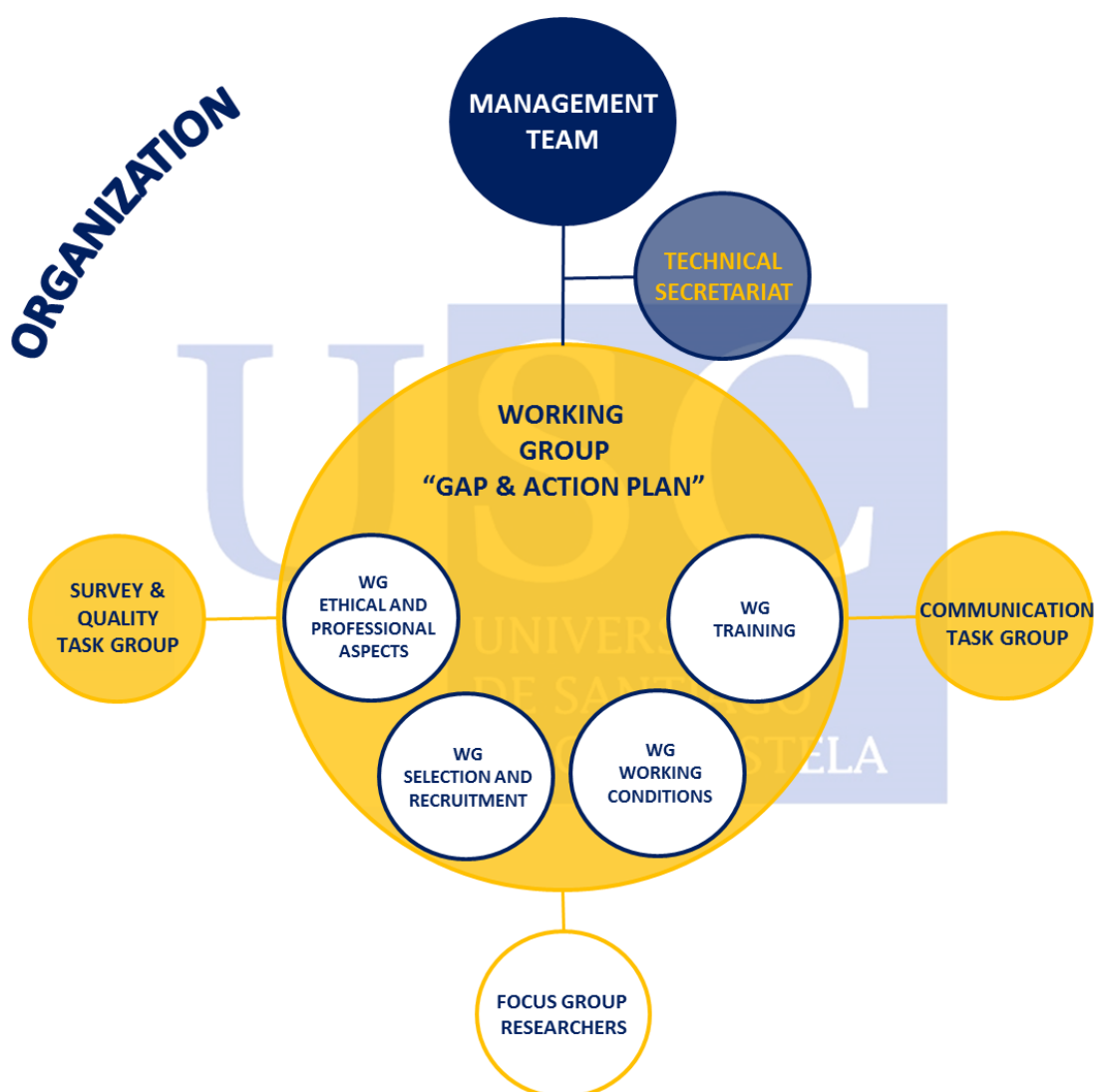
Considering the experience of other institutions that have carried out this process, the proposed approach responds to the following **principles**:

- **Multistakeholder**: in line with the new management models, it means taking into account the expectations of different interest groups, interested parties or stakeholders: research community, leaders, managers, administrative and services staff... linked to the USC ecosystem of R+D+i affected in one way or another by the existence and action of an organization, with a legitimate direct or indirect interest in it. The expectations of stakeholders may be at different levels: "what is required", "what they hope" and "what they want".
- **Active-participatory**: characterized by involving the various stakeholders directly in the planning process, contributing to develop a strong sense of commitment and teamwork, essential for the subsequent implementation and instrumentalization of the proposed plan.

- **Strategic and operational:** the tactical-operative short and medium-term planning of the actions to be undertaken in the context of the implementation of the HRS4R initiative should fit with the objectives and priorities established in the Strategic Plan of the USC and other strategies and operational plans existing in the institution (Strategic Plan for Internationalization, Multi-Year Programming ...)
- **Progressive Validation:** in order to guarantee at all times the correct alignment of the actions proposed, their developments will be periodically reviewed by the top decision-makers of the institution.

2.2 The Organization

At the institutional level this exercise has led to the assumption of a **strategic commitment** and to the **involvement of all stakeholders involved in the research activity of the university** (decision-makers and university managers, research community, administration staff...). To ensure this approach, the process was supported by a number of **mechanisms for coordination and participation** summarized in the following outline:



MANAGEMENT TEAM, comprised of the rector, the vice-rectors and competent managers, is responsible for setting the strategic level guidelines of the process, approving the methodological approach and validating the results. The team includes the following members:

- **Rector:** Dr. Juan Viaño Rey (reitor@usc.es)
- **Vice-Rector for Research and Innovation:** Dr. Isabel Rodríguez-Moldes Rey (vr.investigacion@usc.es)
- **Vice-Rector for Academic Organization and Teaching and Research Staff:** Dr. Luis Lima Rodriguez (vr.pdi@usc.es)
- **Vice-Rector for Teaching Offer and Educational Innovation:** Dr. Roberto Javier López López (vr.titulacions@usc.es)
- **Vice-Rector for Students, Culture and Social Responsibility:** Dr. M^a Dolores Álvarez Pérez (vr.estudiantes@usc.es).
- **Vice-Rector for Communication and Coordination:** Dr. José Pereira Fariña (vr.comunicacion@usc.es)
- **Vice-Rector for Internationalization:** Dr. Almudena Hospido Quintana (vr.internacionalizacion@usc.es).
- **Vice-Rector for Coordination of the Campus of Lugo:** Dr. Javier Bueno Lema (vr.lugo@usc.es)
- **General Secretary:** Dr. Consuelo Ferreiro Regueiro (sec.xeral@usc.es).
- **Manager:** Mr. José Manuel Villanueva Prieto (xerente@usc.es)

WORKING GROUP, comprised of management staff, who collaborated on the technical direction of the activities involved in the process and has been directly involved in the design and development of the Strategy. The team includes the following members:

Vice-Chancellorship of Research and Innovation:

- 4 members of the **Area of R&I Management and Valorization (AXVI)**:
 - Rogelio Conde-Pumpido Tourón (Director of AXVI; rogelio.conde-pumpido@usc.es)
 - Emilio Santos Vigo (Head of Service of R&I Calls and Human Resources-AXVI; emilio.santos@usc.es)
 - Fernando J. Sedano Arnaez (R&I manager-AXVI; fernando.sedano@usc.es)
 - Ramón Mazoy Fernández (R&I manager-AXVI, Campus Lugo; ramon.mazoy.fernandez@usc.es)

Vice-Chancellorship of Internationalization

- 2 members of the **Service of External Relations**:
 - Enrique José López Veloso (Head of Service; enrique.lopez.veloso@usc.es)
 - Sonia Cordido (Head of Galician Center for Researchers Mobility - European network EURAXESS; sonia.cordido@usc.es)

Vice-Chancellorship of Communication and Coordination

- 2 members of the **Area of Quality and Improvement of Procedures:**
 - Maria Pilar Martínez García (Head; mariapilar.martinez@usc.es)
 - Rosa María Crujeiras Casais (Quality Deputy; adxunta.calidade@usc.es)
- 1 member of the **Communication Cabinet:** Celeiro Luis J. Alvarez; Communication Cabinet Chief; Communication; l.celeiro@usc.es)

Vice-Rector for Academic Organization and Teaching and Research Staff

- 1 member of the **TRS Planning Service:** Beatriz M. Vilas Novas; Head of Service of TRS Planning; beti.vilas@usc.es

Vice-Chancellorship of Teaching Offer and Educational Innovation

- 3 members of the **International Doctoral School:**
 - José Ramón Leis Fidalgo (Director, EDI; joseramon.leis@usc.es)
 - Sara Fernández López (International Doctoral School; sara.fernandez.lopez@usc.es)
 - Carolina López Gómez (International Doctoral School; CAROLINA.LOPEZ@usc.es)

Vice-Chancellorship of Students, Culture and Social Responsibility

- 1 member of the **Area of Work Counselling and Employment:** Celia Conde-Pumpido Tourón (Work Counsellor; celia.conde-pumpido@usc.es)

Area of Management

- 1 member of the Area of Management :
 - Deputy Manager of Staff: Dulce M. Garcia Mella (Dulce.Garcia@usc.es)
- 2 members of the **Service of USC Staff Management:**
 - Rosa M^a Fernández Somoza (Head of Service; rosa.fernandez@usc.es)
 - Maruxa Casal Reyes (Research Staff recruitment manager; maruxa.casal@usc.es)

General Secretariat

- 2 members of the area of Staff of the **General Secretariat:**
 - Carlos A. Gómez Otero (Deputy General Secretary; carlos.gomez@usc.es)
 - Emilio Filgueira Pouso (assistant; emilio.filgueira@usc.es)

11 researchers:

- Ammerman Yebra, Julia; (Department of Common Law; Julia.ammerman@usc.es)
- Castro Chao, Noelia (Department of English and German Philology; noelia.castro@usc.es.)
- Esperante Paramos, Bruno (History – Faculty of Geography and History; bruno.esperante@usc.es.)

- Felix Lamas, Paulo (Deputy Director CITIUS; Department of Electronics and Computing; Paulo.felix@usc.es)
- Imbernon Piedra, Monica (CIMUS; monica.imbernon@usc.es)
- Loureiro Garcia, Maria Luz (Dep. Fundamentals of Economic Analysis; maria.loureiro@usc.es)
- Olivera Fernandez, Ana (CIMUS; ana.olivera@usc.es)
- Perez Meiras, Maria Dolores (Deputy Director CIQUS, Department of Organic Chemistry; dolores.perez@usc.es.)
- Rivadulla Fernández, José Francisco (Dep. Physical Chemistry - CIQUS;. F.rivadulla@usc.es)
- Rodriguez Couceiro, José (CIQUS; jose.rodriguez.couceiro@usc.es)
- Sánchez Pardo, Jose Carlos (Dep. History; josecarlos.sanchez@usc.es)

This working group is a reflection of the interest shown by the USC to **ensure a maximum of representativity**, which is evident by the multiplicity of departments involved in the management of human resources and research, with a **strong internationalizing vision**, and by the number of participating researchers from diverse areas, levels, responsibilities and international experience. This last aspect, given its importance, has been complemented by the organization of a focus group described in more detail in the section dedicated to the process.

Within the working group, whose main tasks were the development of the gap analysis and the action plan, a number of **specialized sub-groups** were constituted in each of the areas in which the 40 principles of the "Charter&Code" are divided:

- **WG ETHICAL AND PROFESSIONAL ASPECTS:** Responsible for developing in-depth analysis of all aspects linked in the USC to ethical and professional principles (processes and procedures; regulation; stakeholders; underway. planned or detected actions...). Composed of members of the Vice-Rectorship of Research and Innovation and of the General Secretariat.
- **WG SELECTION AND RECRUITMENT:** In charge of developing in-depth analysis of all aspects linked in the USC to principles relating to the selection and recruitment of researchers (processes and procedures; regulation; stakeholders; underway. planned or detected actions...). Composed of members of the Vice-Rectorship of Research and Innovation and of the General Secretariat.
- **WG WORKING CONDITIONS:** In charge of developing in-depth analysis of all aspects linked in the USC to principles related to the working conditions of researchers (processes and procedures; regulation; stakeholders; underway planned or detected actions...). Composed of members of the Vice-Rectorship of Research and Innovation and of the General Secretariat.
- **WG TRAINING:** In charge of developing in-depth analysis of all aspects linked in the USC to principles related to the training of researchers (processes and procedures; regulation; stakeholders; underway. planned or detected actions...). Composed of members of the Vice-Rectorship of Research and Innovation and of the International Doctoral School.

To this, we must add other subgroups in specific areas of particular importance in the process:

- **SURVEY & QUALITY TASK GROUP:** In charge of the survey to the research community (design, scheduling, coding, sending and receiving the survey, processing, analysis, dissemination of results, personal data protection), analysis of processes and procedures already documented, and of ensuring the adequacy, coherence and synchronization with plans already existing at the USC. Composed of members of the Vice-Rectorship of Research and Innovation and of the Area of Quality and Improvement of Procedures of the USC. The Working Group participated in the drafting and evaluation of the survey, in particular Rogelio Conde and Ramón Mazoy (I. Ethical and professional aspects), Francisco Rivadulla (II. Recruitment); Fernando Sedano and Celia Conde (II. Recruitment; III. Working conditions and social security), Julia Ammerman and Jose Rodríguez Couceiro (IV. Training)
- **COMMUNICATION TASK GROUP:** Responsible for the communication on the development of the process both internal (the entire university community) and external at all levels (email, newsletters, news, website...). Composed of members of the Vice-Rectorship of Research and Innovation, the Press Cabinet and the Web Office.

TECHNICAL SECRETARIAT. Its main duties have been:

- Encouraging the involvement of all stakeholders
- Establishment of a schedule of actions for the design and implementation
- Methodological design and supporting the organization in participatory activities (follow-up meetings, workshops, etc.).
- Participation in the working groups exercising the work of coordination and support to each of them.
- Cabinet work for the development of relevant documents: discussion material in workshops; reports and documentation (internal, public, and those necessary to convey to the European Commission)
- Ensure compliance with the requirements imposed by the European Commission throughout the process to obtain the HR award
- Ensure communication between the different working groups, the management team and the Rector himself on the development process, achieved results, incidents, etc.

It has been composed of several members of the **Vice Rectorship of Research and Innovation** and the **Area of Quality and Improvement of Procedures**, and three external advisers.

- Rogelio Conde-Pumpido Tourón (Director of Area of R&I Management and Valorization - AXVI; rogelio.conde-pumpido@usc.es)
- Fernando J. Sedano Arnaez (R&I manager-AXVI; fernando.sedano@usc.es)
- Ramón Mazoy Fernández (R&I manager-AXVI, Campus Lugo; ramon.mazoy.fernandez@usc.es)
- María Pilar Martínez García (Head - Area of Quality and Improvement of Procedures; mariapilar.martinez@usc.es)
- Rosa María Crujeiras Casais (Quality Deputy - Area of Quality and Improvement of Procedures; adxunta.calidade@usc.es)
- María Jesús Barrada Beiras (External Advisor)
- Óscar Crespo Campello (External Advisor)
- José Luis Marco (External Advisor)

2.3 The Process

The development of the design and implementation process of the "HR Strategy for Researchers" at the USC was conditioned by the change currently taking place in the procedure established by the European Commission, a change that will enter into force in the beginning of 2017. This is why we have followed the current system (which will be the one required to the USC), but at all times we have taken into account the level of demand and the new conditions that will characterize the new process starting next year.

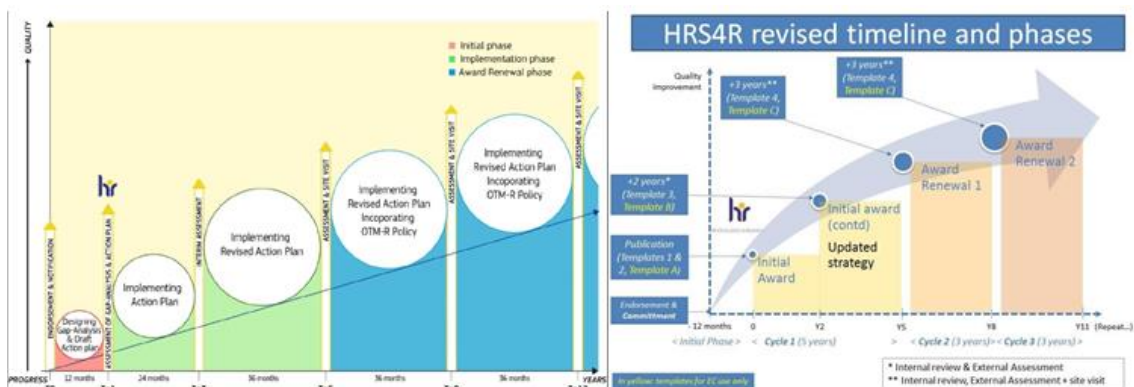
The steps to implement the HRS4R are:

1. **Internal analysis** in order to determine the degree of alignment with the charter and the code, and to detect the gaps that exist between the strategy of the institution and the principles of the C&C.
2. **Action Plan.** Once this analysis is done, the institution develops its own HR strategy for researchers developing an Action Plan.
3. **Award of Excellence.** The European Commission revises this Action Plan to give the award to the institution concerned. Upon approval, the institution publishes the action plan and is able to use that award.
4. **Self-evaluation.** The institution carries out a new internal review within a period not exceeding two years to test the fulfilment of the proposed action plan and design a new updated one.
5. **External evaluation.** The institution is subjected to an external evaluation every four years, which will review whether there is a compliance as planned and decide if the "HR Excellence in Research" award remains.



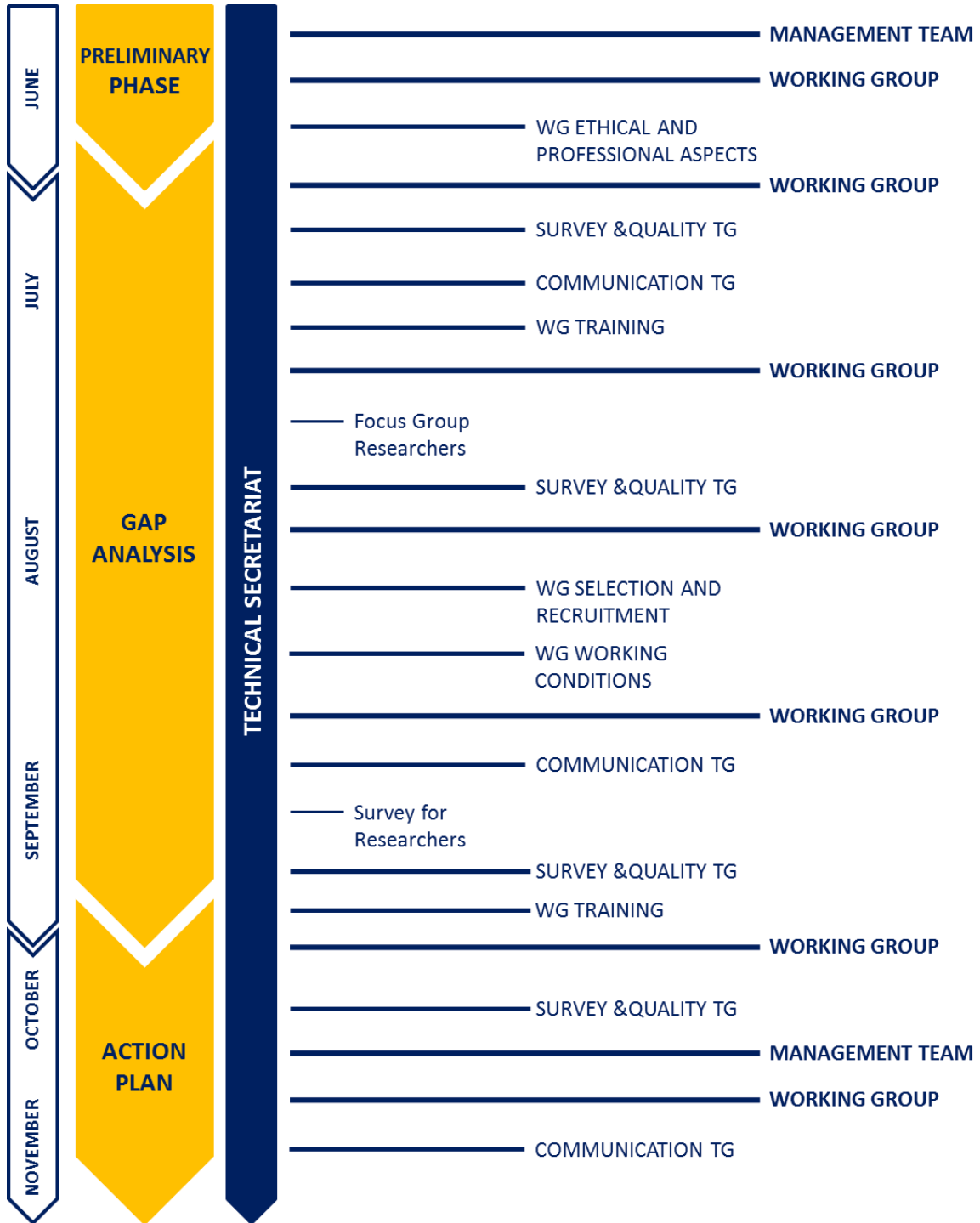
In the **new procedure**, which will affect the institution in the future (after obtaining the award, if it happens before the end of 2016), the steps in which the above process is divided disappear, and the following phases appear:

1. **Initial Phase:** Adherence to the Charter&Code and Notification of Commitment
2. **Implementation Phase:**
 - a. Gap Analysis, publication and delivery of the Action Plan (within 12 months after sending the letter)
 - b. Initial assessment by the European Commission through an external evaluation panel. At the time of acceptance, the "HRS4R award" can be published.
 - c. Interim Assessment: Internal Review and External Evaluation two years after the recognition of HRS4R is received.
3. **Renovation Phase:**
 - a. Internal Review and External Evaluation (five years after the recognition of the HRS4R)
 - b. Continuous improvement and commitment to quality and evaluation of phases (three-year renewal cycle)



Following this outline, the process began with the creation of the **Diagnostic system of the policies and management system of human resources in research (Gap Analysis)** at the university in relation to the requirements of the Charter and Code. From the findings of this analysis we have developed an **Action Plan** on human resources strategy that includes research and improvement actions to cover the "gaps" identified in relation to the community framework.

In the following outline, the timeline reflects the multiple **participations of the various members of the organization** through different actions in the frame of their functions. It also includes the **Focus Group and the survey**, as they are considered an additional mean of participation to know the opinion of the researchers, final object of the strategy.



2.3.1 Preliminary Phase

The main objective of this phase was to set the **guidelines of the process at the strategic level and approve the methodological approach**, a work that was developed by the Management Team with the support of the Technical Secretariat. The next step was to convey the results to the Working Group so that it could begin its work immediately following the established guidelines.

2.3.2 Gap Analysis

The main objective of this phase was the development of the **internal analysis of the University of Santiago de Compostela**. The Gap Analysis is an assessment of the rules and institutional practices in relation to the principles established in the Charter&Code, also taking into account that, for maximum transparency, **all stakeholders** (e.g. governance team, human resources managers, research managers, researchers, etc.) **were involved**. The importance of this analysis lies more on how rather than on what things are done: on the processes and systems of work, and, of course, on the results of these processes.

To achieve this objective, the following dynamic was established:

1. Specific meetings of the **Working Group** focused on each of the four areas in which the principles of the Charter&Code are divided.
2. Preliminary meetings of **specialized working subgroups** in each of the four areas in which the principles of the Charter&Code are divided.

In these meetings, a standard template provided by Euraxess was used, a template which groups all 40 principles in four areas ("Ethical and professional aspects", "Recruitment", "Working conditions and social security" and "Training") reinforced with previous information gathered by the cabinet by the **Technical Secretariat**, and information provided by working subgroups specialized in each of the areas.

It is worth mentioning, within the Working Group dedicated to the area of "Recruitment" and the previous meeting developed by the specialized working subgroup, the analysis of the current practices related to an **Open, Transparent and MeritBased Recruitment (OTM-R)** in the USC. The results are included as part of the Gap Analysis. The conclusions drawn led to the need to establish a **complete line of action** within the Plan dedicated exclusively to its implementation (**Adoption of the OTM-R system**) and which includes a series of actions detailed in the Action Plan.

Open, Transparent and Merit-based Recruitment Check-list

OTM-R checklist for organizations

	Open	Transparent	Merit-based	Assessment of the compliance of the institutions in the principle	Suggested indicators for internal measurement
OTM-R system					
1. Have we national or international OTM-R guidelines in the national language and in English?	x	x	x		Index of use
2. Do we have an internal guide setting out the OTM-R procedures and standards for all types of positions?	x	x	x		Index of internal updates, measurement in internal staff
3. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
4. Do we make sufficient use of the recruitment tool?	x	x	x		Index of internal updates, measurement in internal staff
5. Do we have a quality control system for OTM-R in place?	x	x	x		Index of internal updates, measurement in internal staff
6. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
7. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
8. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
9. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
10. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
11. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff
12. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x	x		Index of internal updates, measurement in internal staff

Advertising and application phase	x	x			
13. Do we have clear guidelines or guidelines (e.g. established for advertising positions)?	x	x			
14. Do we include the job advertisement in the national language and in English? (See Chapter 4.4.2 of the Charter&Code)	x	x			
15. Do we make full use of the OTM-R recruitment tool?	x	x			Index of internal updates, measurement in internal staff
16. Do we make use of other recruitment tools?	x	x			
17. Do we have a quality control system for OTM-R in place?	x	x			
18. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
19. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
20. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
21. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
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30. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
31. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
32. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
33. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
34. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
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36. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
37. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
38. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
39. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			
40. Do we have a manual of the procedures and criteria used in the area of OTM-R?	x	x			

The work system relies on the **consensus** of the team. Therefore, at this stage no progress was made based on majorities or perceptions of part of the team, but on the basis of a shared vision by all team members. In this way, it was made sure that all the result of the **internal analysis would be fully shared by all the areas of the university**.

To support and strengthen this work dynamic, a **satisfaction survey** was sent to all researchers of the University of Santiago de Compostela and a **focus group** was held with a selection of researchers. Further information about these processes and their results is detailed in later sections.

In order to design and execute the satisfaction survey, the **Survey & Quality Task Group** held various meetings to tackle issues of scheduling, coding, sending and receiving the survey, processing, analysis, dissemination of results, data protection.... At these meetings were developed other tasks such as analysis of the processes and procedures already documented, and ensuring the adequacy, coherence and synchronization with existing plans at USC.

In parallel several meetings with the **Communication Task Group** were held, responsible for the communication on the development of the process, both internal (the entire university community) and external at all levels (email, newsletters, news, website...). As a communication tool of support and communication, an online **shared folder in the cloud** was generated to work on line and disseminate information and documentation in a quick and easy way.

The **result** of this phase was a **diagnosis made by the institution itself in comparison with the standards of the C&C** based on the findings of the working group and corresponding subgroups in addition to the results obtained through the satisfaction survey and the focus group. This diagnosis has pointed out some **strengths** (those issues already being done the right way) and some **areas of improvement** (those issues that can be done better in accordance with the C&C).

2.3.3 Action Plan

The development of the Action Plan was based on the work of the **Working Group** and the **Management Team** coordinated by the **Technical Secretariat**.

This work began with a meeting of the Working Group in the course of which were introduced the **conclusions of the Gap Analysis**. The conclusions basically included the following:

- The cabinet study done by the Technical Secretariat on the **rules and regulations both internal and external** (at European, national and regional levels)
- The **analysis of internal processes and procedures** developed by the Technical Secretariat and the Survey & Quality Task Group
- The **conclusions drawn from the various working sessions** dedicated to each of the areas in which the principles of the "Charter & Code" are classified
- The **results of the survey** of the entire research community of the USC.
- **Findings from the focus group** developed with researchers.

This analysis produced a large number of **corrective actions** that were classified as major areas for improvement. These actions were concentrated to facilitate implementation and maximize their impact.

Once this work was finished, a **prioritization process** was developed shared by the Working Group and the Management Team, and always with the support and coordination of the Technical Secretariat, based on the following criteria:

- **Impact on the strategy:** both on the overall strategy of the university and on the various planning processes developed in it (plan of internationalization, digitization plan ...)
- **Impact on results:** to reach the highest level of efficiency in the implementation of actions economically, socially ...
- **Ease of implementation** of actions: at all levels.
- **Achieving short-term results:** the existence of actions with short-term impact is a strong revulsive for greater involvement of both managers and the research community, and to continue the strategy to achieve longer-term objectives.
- **Cost of implementation:** economic constraints always represent an important factor especially for temporal development of actions.

In parallel, several **meetings** with various actors took place:

- To ensure **consistency with the overall strategy of the USC and other planning processes** developed in it (Strategic Plan for Internationalization, Digitization Plan ...) meetings were held with both the Survey & Quality Task Group and with other departments involved in such actions: the Management Team, the Vice-Rectorship for Communication and Coordination and the Vice-Rectorship for Internationalization.
- Meetings with the Communication Task Group in order to guarantee the proper internal and external **dissemination**.

The results of this process are reflected in the **Action Plan** included in this document. For each action, it includes:

- **CODE:** ID code for each project, which facilitates its implementation and monitoring.
- **TITLE:** Project name.
- **DESCRIPTION:** brief description with the main actions included in the project
- **C&C ALIGNMENT:** The main principles of the "Charter & Code" related to the actions of improvement, directly or indirectly.
- **TARGETED WEAKNESS:** main issues identified in the gap analysis to be tackled by the project.
- **R SCALE FOCUS:** categories of researchers most impacted.
- **TIMEFRAME:** period where project completion is expected. For short or medium-term projects (1 to 3 years) details are offered quarterly; for long-term projects (4 to 5 years) the expected completion year is included.
- **RESPONSIBLE & PARTICIPANTS:** USC areas responsible and participants for project implementation.
- **IMPLEMENTATION INDICATOR:** performance indicators and/or measurable results of the project.

3 CONSULTATION TO RESEARCHERS

As already mentioned, two of the principles on which the development of the HRS4R is based have been that the process was **multistakeholder**, taking into account the expectations of different stakeholders, and **active-participatory**, involving them directly in the strategy planning. Among the various interest groups, a special effort has been made in the participation of the main investigators targeted by the strategy. To this end, in addition to their participation or representation in all bodies responsible for the development and implementation of the strategy (Management Team and Working Group basically), we have used two instruments to strengthen their involvement in the process: holding a **Focus Group** and conducting an **opinion survey for researchers**.

3.1 Focus Group

The focus group consisted of a meeting of a large group of researchers who held an open debate with the only condition of tackling all the issues covered in the "Charter & Code". It was attended by a selection of investigators and the following guidelines prevailed:

- that researchers be represented at all levels (from R1 to R4), areas of knowledge, degrees of experience ...
- participation of junior researchers (especially R1)
- participation of foreign researchers or or researchers with international experience
- participation of women

As a result of these guidelines, the **members of the Focus Group** were (in alphabetical order):

- Ana Olivera (R1; CIMUS; ana.olivera@usc.es)
- Andrés Baselga (R2B; Dep. of Zoology and Physical Anthropology; andres.baselga@usc.es)
- Bruno Esperante (R1; Dep. of History; bruno.esperante@usc.es)
- Carlos Alberto García (R2B; Dep. of Pharmacology, Pharmacy and Pharmaceutical Technology; carlos.garcia@usc.es)
- Carlota Andrés (R1; Dep. of Particle Physics; carlota.andres.casas@gmail.com)
- Noelia Castro (R1; Dep. of English and German Philology; noelia.castro@usc.es)
- Chiara Pedizzi (R1; Dep. of Chemical Engineering; chiara.pedizzi@usc.es)
- Damián Padín (R1; CIQUS and Dep. of Organic Chemistry; damian.padin@usc.es)
- Jose Carlos Sanchez (R2B; Dep. of History; josecarlos.sanchez@usc.es)
- Jose Francisco Rivadulla (R4; CIQUS and Dep. of Physical Chemistry; f.rivadulla@usc.es)
- Jose Rodriguez (R2A; CIQUS; jose.rodriguez.couceiro@usc.es)
- Julia Ammerman (R1; Dep. of Common Law; julia.ammerman@usc.es)
- Maria Dolores Perez (R4; CIQUS and Dep. of Organic Chemistry; dolores.perez@usc.es)
- María Isabel Borrajo (R1; Dep. of Mathematical Analysis, Statistics and Optimization; mariaisabel.borrajo@usc.es)

- Maria Luz Loureiro (R4; Dep. Fundamentals of Economic Analysis; maria.loureiro@usc.es)
- Martín Fañanás (R2B; CIQUS and Dep. of Organic Chemistry; martin.fananas@usc.es)
- Mercedes Conde (R1; Dep. of Mathematical Analysis, Statistics and Optimization; mercedes.amboage@usc.es)
- Mónica Imbernon (R2A; CIMUS; monica.imbernon@usc.es)
- Paulo Felix (R4; CITIUS and Dep. de Electronics and Computing); paulo.felix@usc.es)
- Pia Zurita (R2A; Dep. of Particle Physics; pia.zurita@usc.es)
- Stefano Longo (R1; Dep. of Chemical Engineering; stefano.longo@usc.es)
- Sulay Tovar (R2B; CIMUS and Dep. of Physiology; sulay.tovar@usc.es)
- Yolanda Moldes (R1; Dep. of Chemical Engineering; yolanda.moldes@usc.es)

The **results of the Focus Group** are integrated directly into the **Gap Analysis** included in later chapters.

3.2 Perception Survey for Researchers

3.2.1 Technical Information

Type of survey: self-administered questionnaire (online, application Opina)

Dates: between 23rd and 30th September

Validation of the questionnaire: pre-test in paper in Focus Group. Preliminary test in the control group for technical aspects

Promotion of participation: by email

Targeted population: 4,612 people

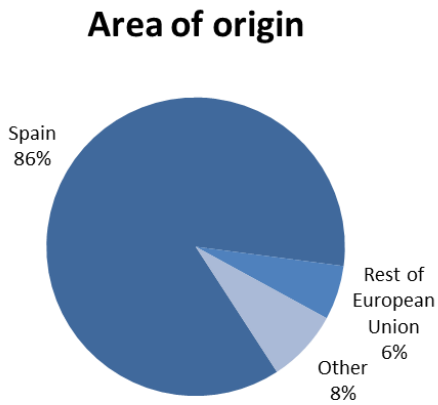
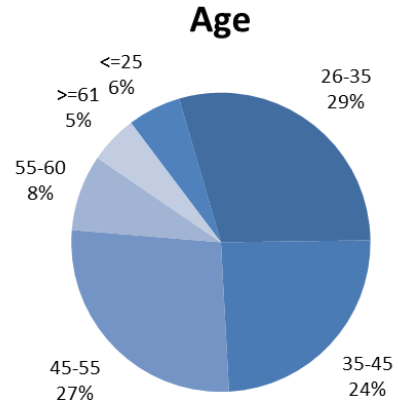
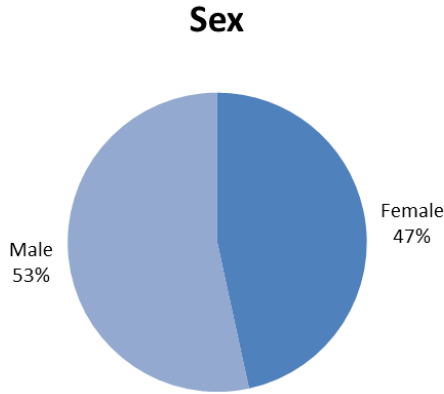
Number of answers: 850

Participation: 18.43%

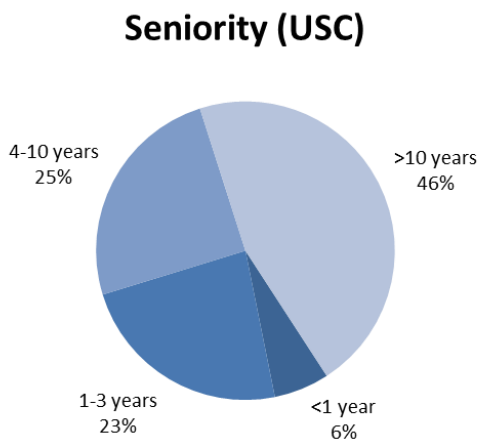
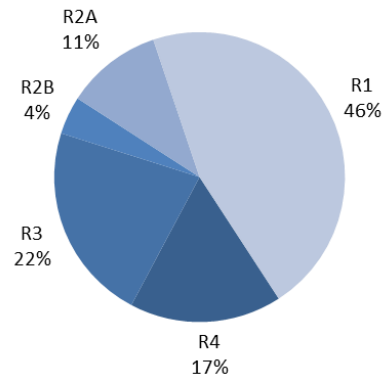
Sampling error: 2.96% (Confidence level 95%)

Fieldwork, tabulation of data and report: Area of Quality and Improvement of Procedures

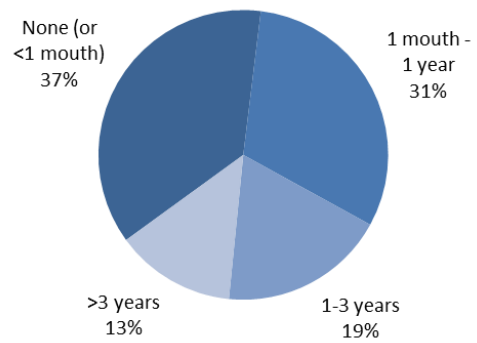
3.2.2 Profile of Participants



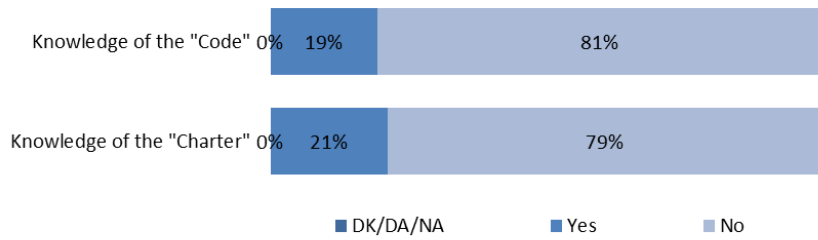
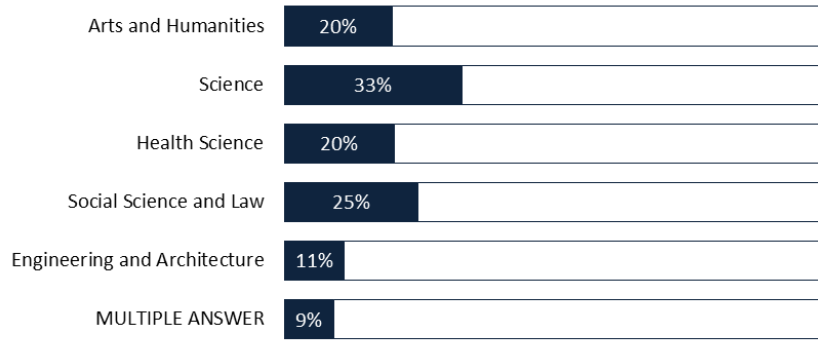
Stage of the research career



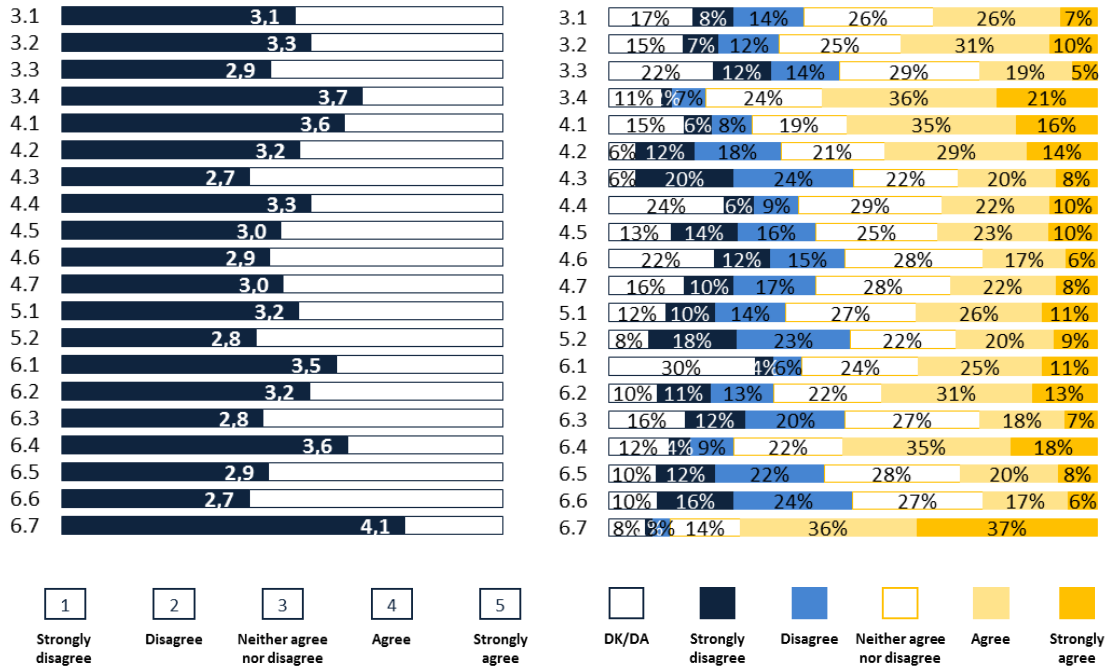
International experience



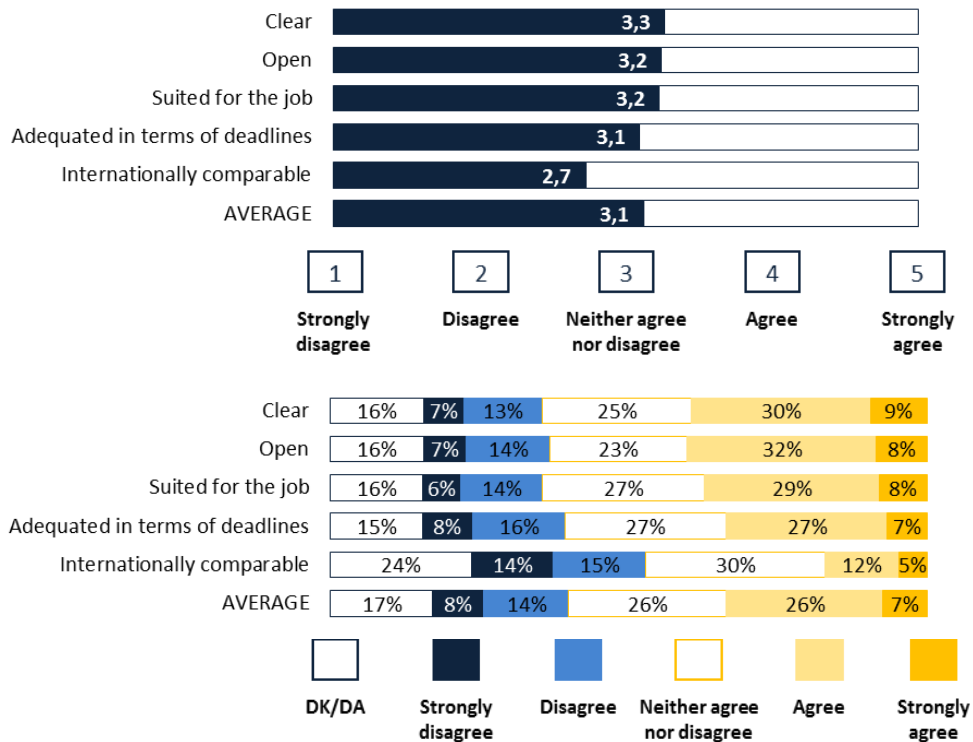
Area of knowledge



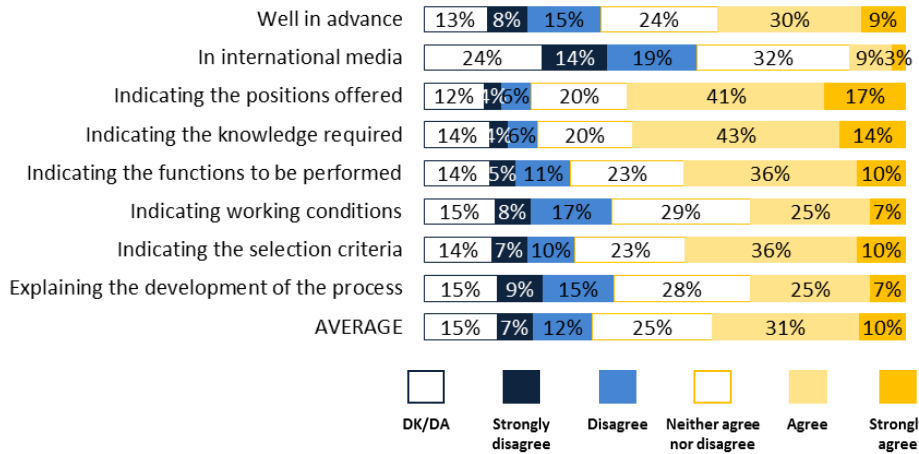
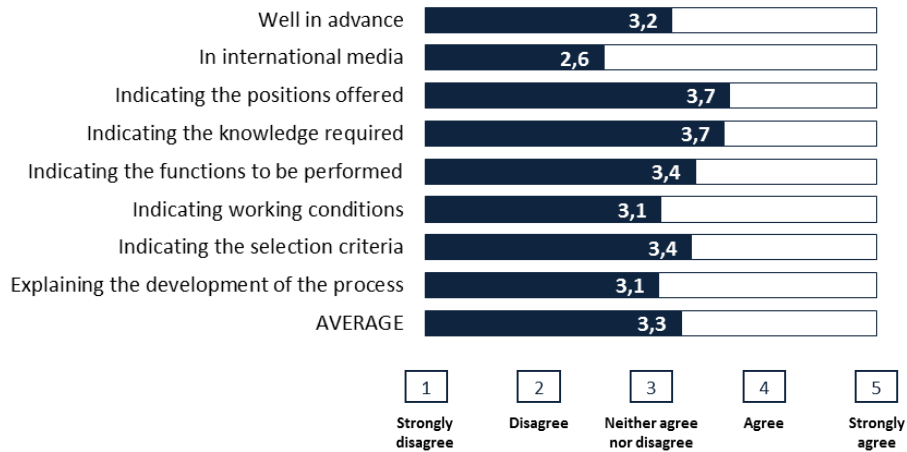
3.2.3 Main Results



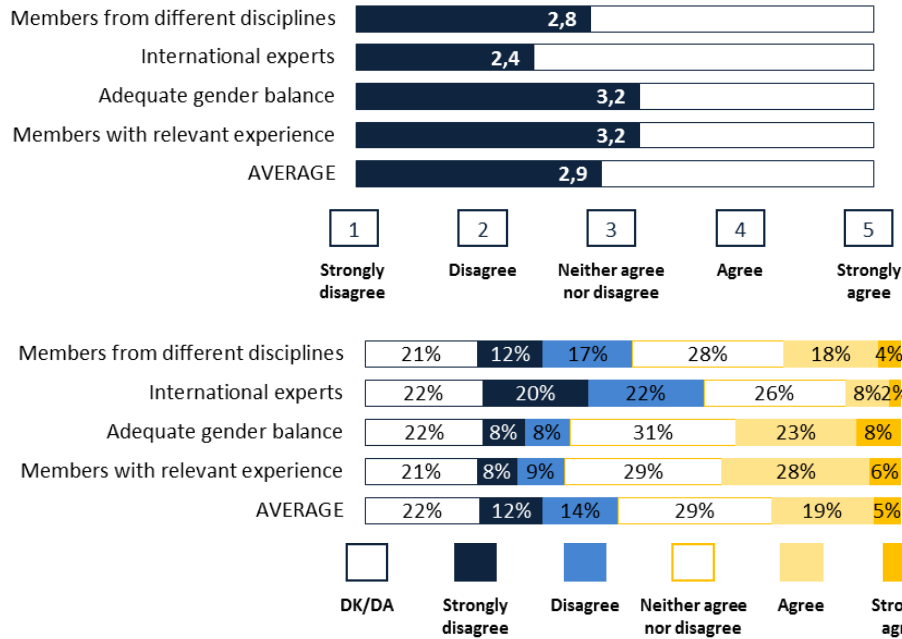
3.1.- The procedures for recruiting researchers established by the USC according to current legislation are: Clear; Open; Suited for the job; Adequated in terms of deadlines; Internationally comparable.



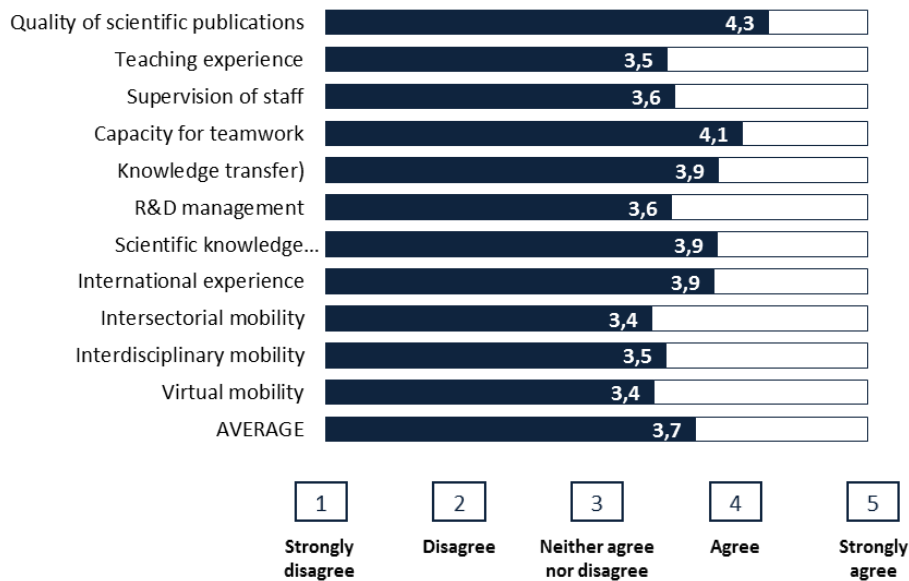
3.2.- The USC publicizes its selection processes for researchers: Well in advance; In international media; Indicating the positions offered; Indicating the knowledge required; Indicating the functions to be performed; Indicating working conditions; Indicating the selection criteria; Explaining the development of the process.

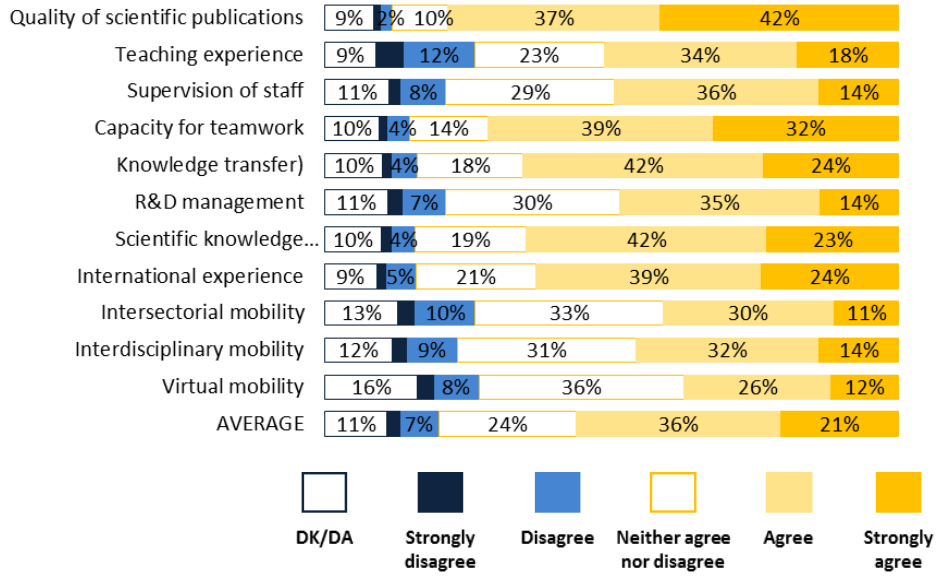


3.3.- The USC ensures that the selection committees for recruiting researchers include: Members from different disciplines; International experts; Adequate gender balance; Members with relevant experience

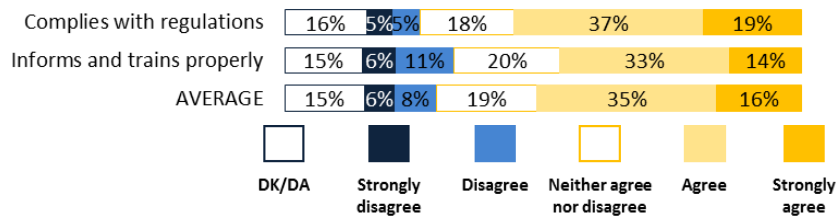
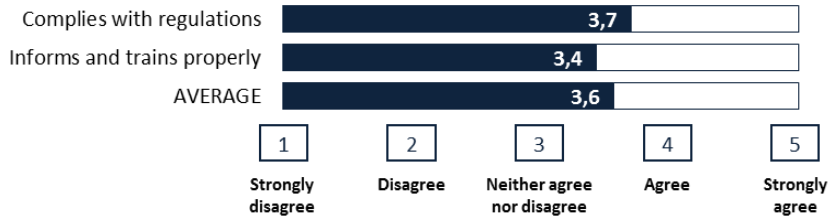


3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include: Quality of scientific publications; Teaching experience; Supervision of staff); Capacity for teamwork; Knowledge transfer; R&D management; Scientific knowledge dissemination; International experience; Intersectorial mobility); Interdisciplinary mobility; Virtual mobility.

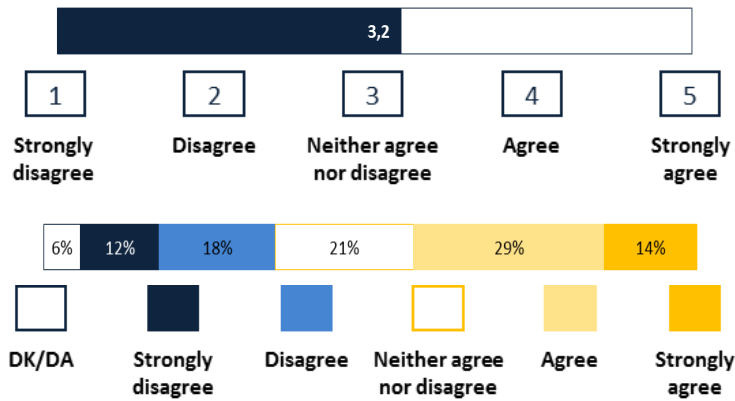




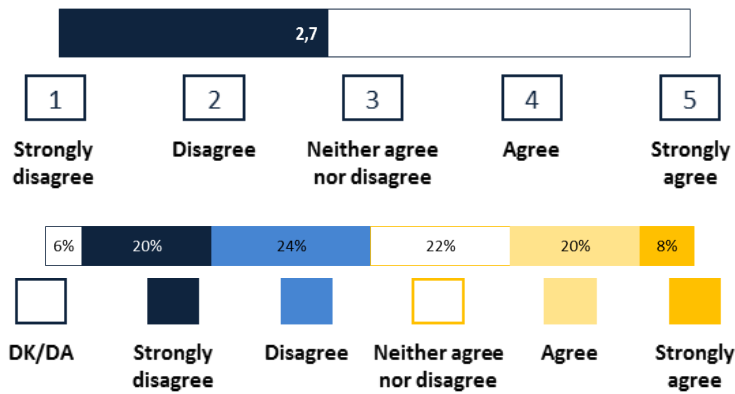
4.1.- In relation to the rules concerning the protection of health and safety at work (health monitoring and risk prevention), the USC: Complies with regulations; Informs and trains properly.



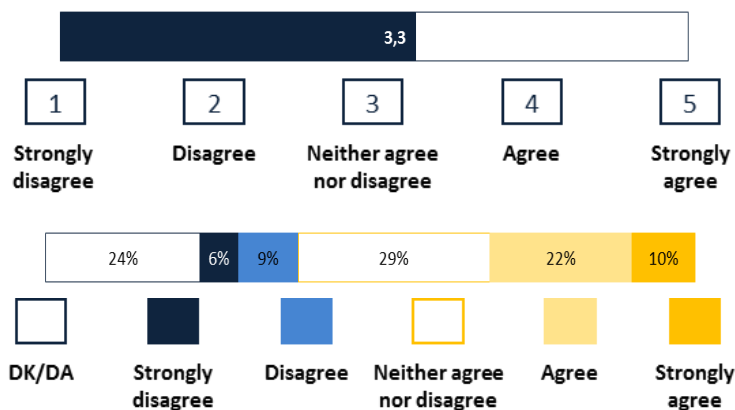
4.2.- I have the resources and equipment needed to develop my research.



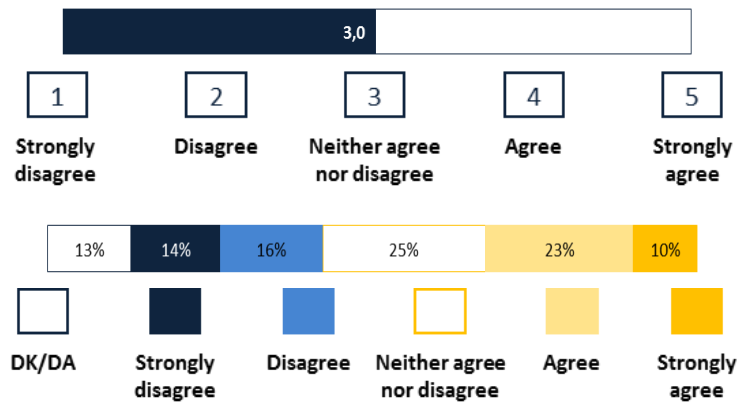
4.3.- The USC provides support and guidance specialized in the scientific/research career for my professional development and for improving my skills and competencies.



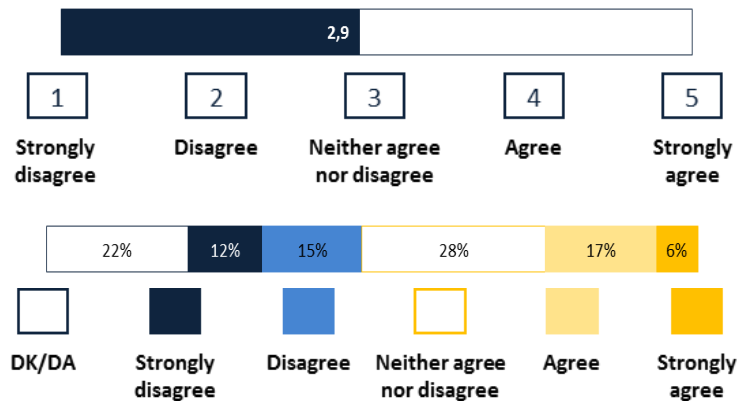
4.4.- The USC provides me with legal support and also support related to industrial and intellectual property thus ensuring my benefit from possible exploitation of the results of R & D.



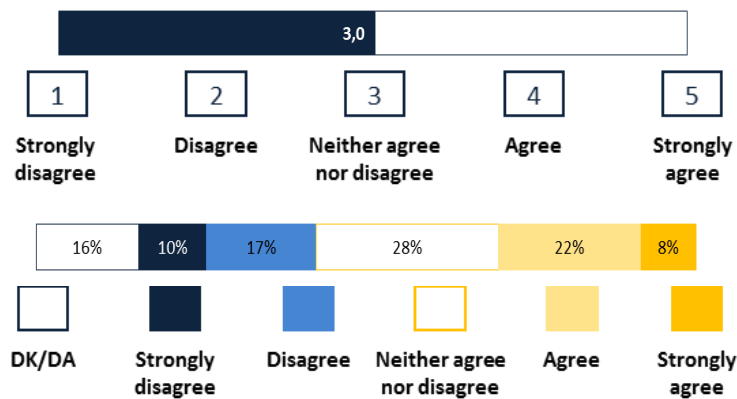
4.5.- The USC facilitates and acknowledges the development of teaching responsibilities assigned to researchers.



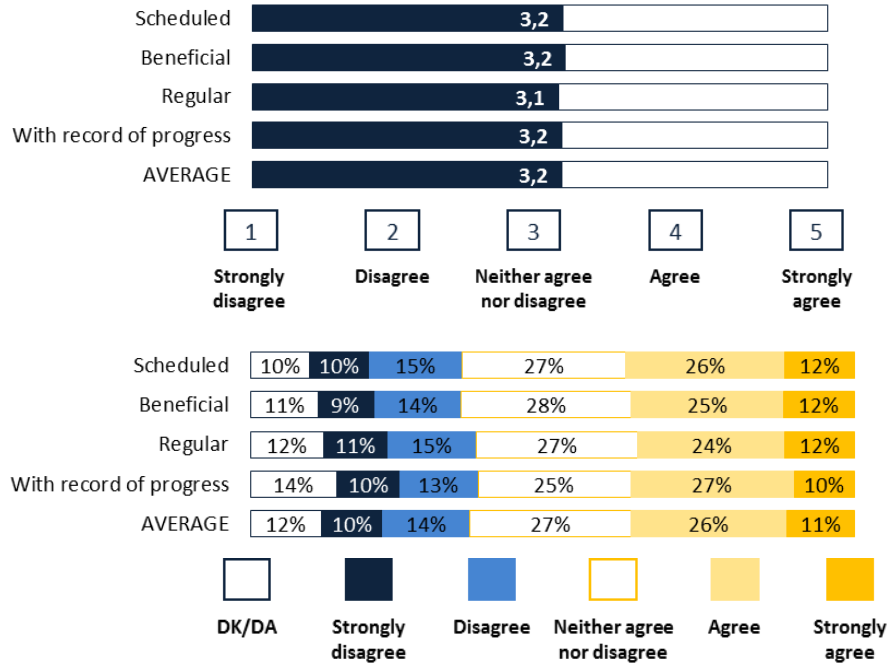
4.6.- The USC has the appropriate procedures for resolving appeals/complaints related to working conditions of researchers and conflicts with their supervisors.



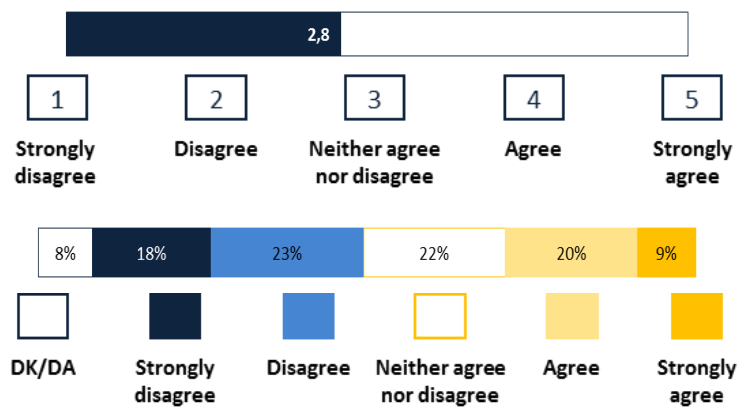
4.7.- The USC ensures the participation of its researchers in decision-making processes through the corresponding organs of representation.



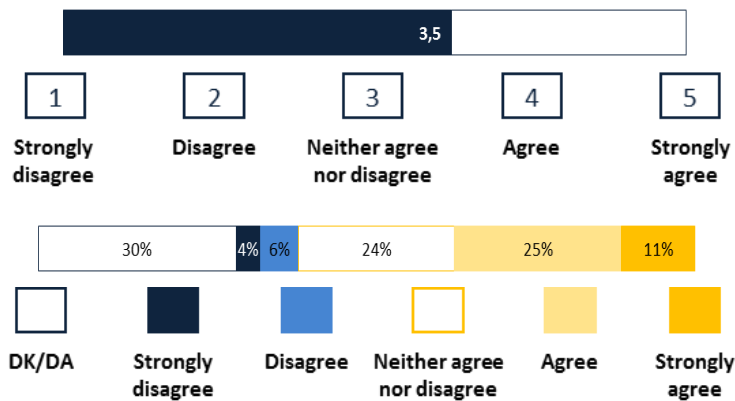
5.1.- The USC promotes that researchers in their training phase and their directors/tutors keep a relationship: Scheduled; Beneficial; Regular; With record of progress.



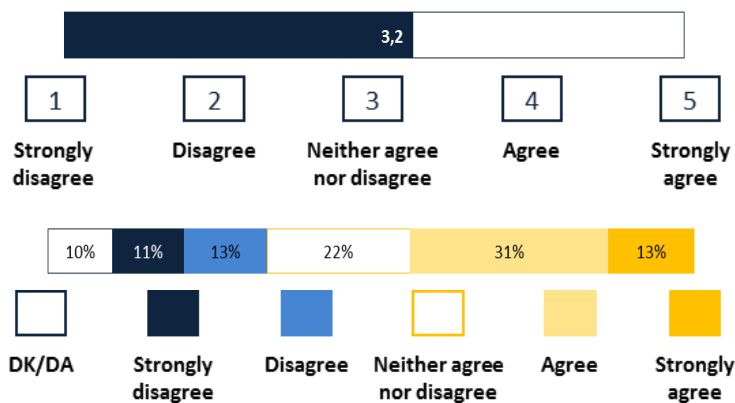
5.2.- The USC promotes continuous training of researchers regardless of the stage of his/her career.



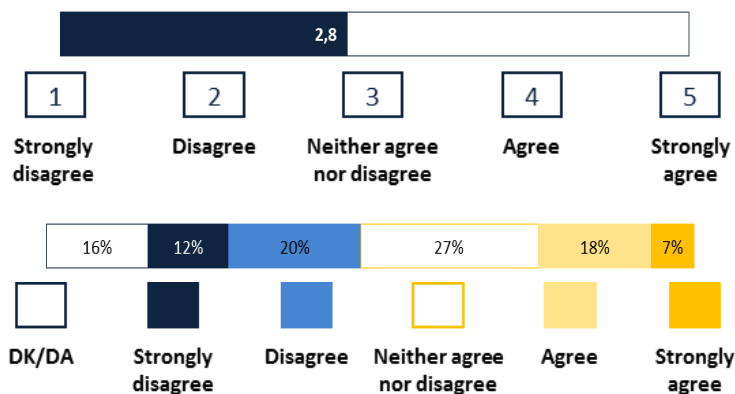
6.1.- The USC has mechanisms to ensure the ethical principles of the research carried out by its staff, for example, the Bioethics Committee or the Principles of socially responsible management.



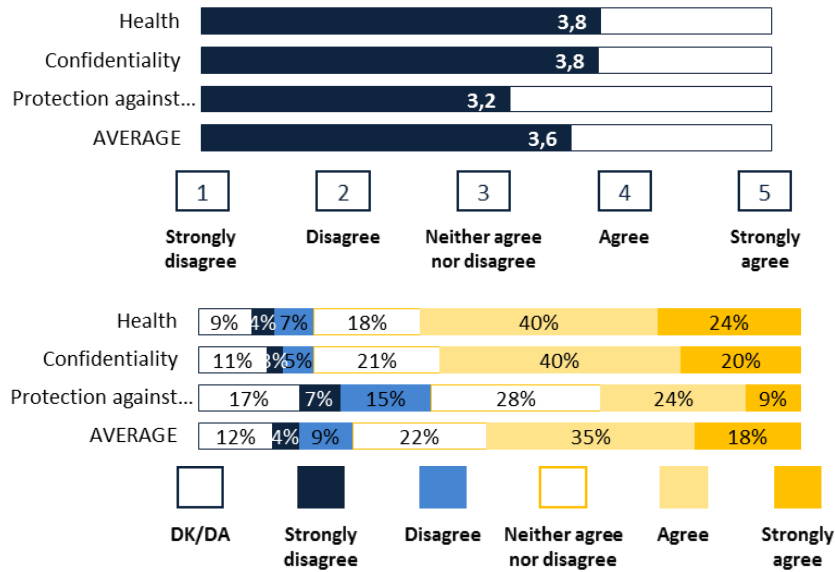
6.2.- The USC keeps me informed about the funding mechanisms available to me as researcher and their requirements and conditions.



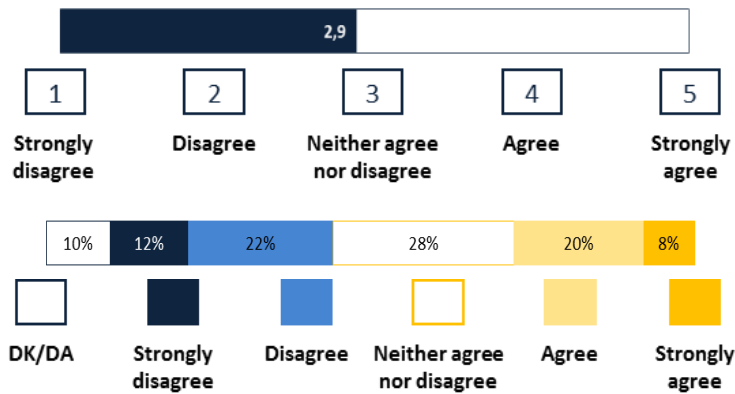
6.3.- The USC keeps me informed about the national, sectorial and institutional regulations related to my training and my working conditions, for example, about the intellectual property rights.



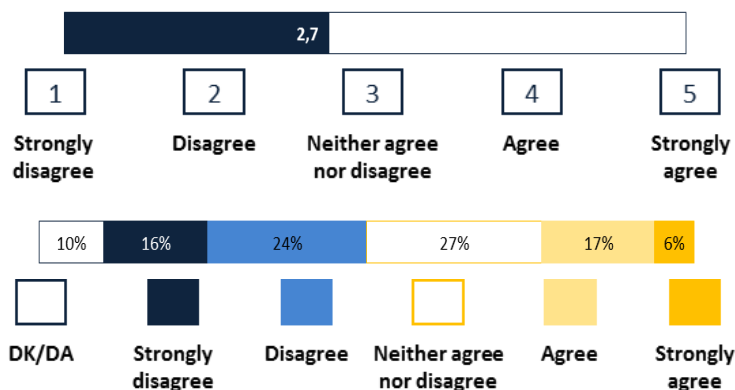
6.4.- My research activity is developed in conditions of safety as it relates to: Health; Confidentiality; Protection against information leaks



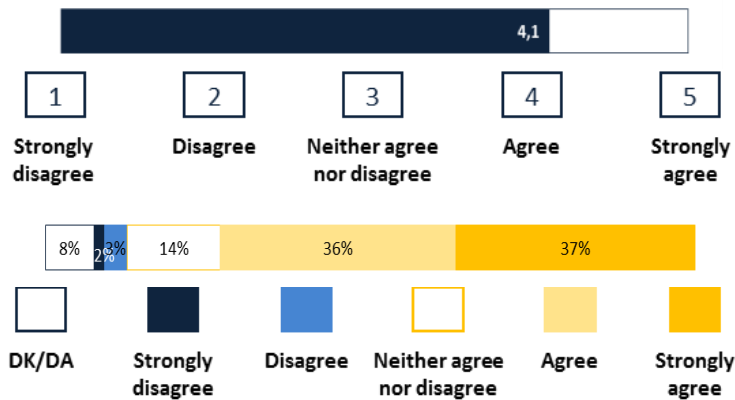
6.5.- The USC facilitates the dissemination and exploitation of the results of my research.



6.6.- The USC facilitates that the results of my research become known to a non-specialized public and society in general.

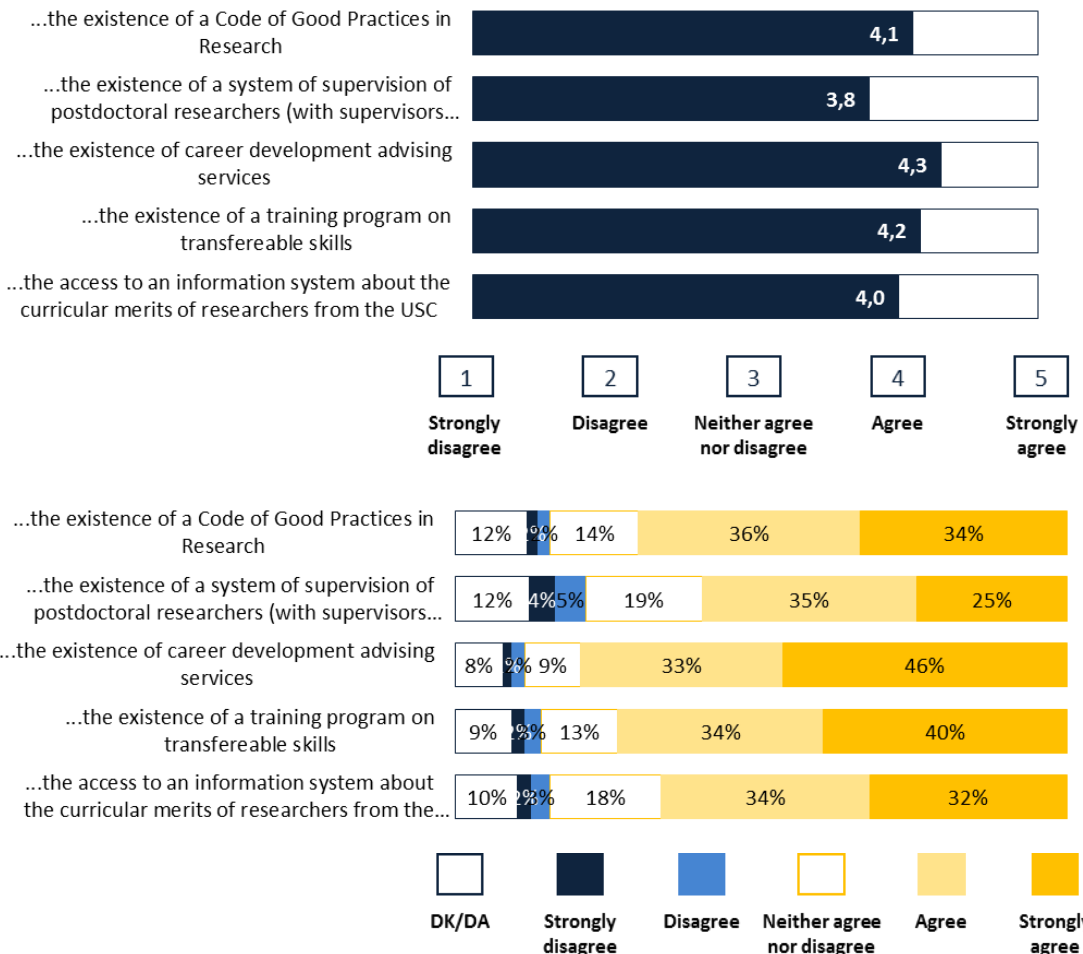


6.7.- I think that research performance should be reviewed and evaluated periodically.



7.- In order to improve the performance of my research career, I consider relevant:

1. the existence of a Code of Good Practices in Research.
2. the existence of a system of supervision of postdoctoral researchers.
3. the existence of career development advising services.
4. the existence of a training program on transfereable skills.
5. the access to an information system about the curricular merits of researchers.



3.2.4 Conclusions

In general, a high level of discontent has not been observed, with the average being slightly above the midpoint (a 3.3; 3 meaning "I neither agree nor disagree" and 4 meaning "I agree") with a level of positive responses ("I agree or fully agree") more than 20 points above the negative ones ("I disagree or strongly disagree").

The aspects in which **higher levels of agreement** are shown are, from highest to lowest:

- The **need to periodically evaluate** the research performance.
- The **aspects that should include the selection of research staff**.
- The **conditions in which the activity is carried out** in terms of health (also considering that the USC complies with the regulations in matters of prevention of work hazards, and that it trains and reports conveniently about it), confidentiality and protection against information losses.
- The existence in the USC of **mechanisms that ensure the ethical principles** of research.

On the other hand, those issues in which the **highest levels of disagreement** are observed are, from highest to lowest:

- The support of the USC for the **dissemination of research results** to society in general and, most of all, to the non-specialized public.
- The support and guidance of the USC for the **professional and work development** of the research staff and for the **improvement of their skills and competences**.
- The **continuous training** provided by the USC to research staff.
- The information provided by the USC regarding **regulations related to the training and working conditions** of the research staff.
- The means that the USC provides for the **dissemination and exploitation of research results**.

If a **more detailed analysis** is carried out, it is observed that...

The research staff of the USC considers...

ON THE CHARACTERISTICS OF THE SELECTION PROCESSES

... recruitment procedures are not internationally comparable.

ON THE DISSEMINATION OF THE SELECTION PROCESSES

... recruitment procedures are not properly disseminated in the international media. The research staff also expresses the need to improve the specifications of working conditions and the explanation of the development of the selection processes.

ON THE COMPOSITION OF THE SELECTION COMMITTEES

... selection committees don't have members from different disciplines nor international experts.

ON THE ASSESSMENT OF MERITS OF THE RESEARCH STAFF

... the selection criteria should assess the quality of publications and the ability to work in teams, in the first instance. The criteria should also include: the dissemination of science, international experience and knowledge transfer.

ON HEALTH STANDARDS AND SAFETY AT WORK

... the USC complies with health standards and safety at work regulations, and informs and trains properly on both issues.

ON WORKING CONDITIONS

... the lack of support and guidance for professional and work development is the one issue on the working conditions of the staff where there is more room for improvement, followed by the procedures for the resolution of complaints and claims, the recognition of teaching activity for the research staff (in particular for R2, R3 and R4), and the participation in decision-making bodies for researchers R2 and R4.

ON THE RELATIONSHIP BETWEEN STAFF AND TUTORS

... all aspects of the relationship between staff and tutors (organized, profitable, regular, with registration of the progress) are evaluated positively, except for the group of R2, who don't agree on any of the items.

ON CONTINUOUS TRAINING

... in a generalized manner, it is not perceived that the USC encourages continuous training among its research staff.

ON ETHICAL AND PROFESSIONALS ASPECTS

... the ethical and professional aspects where more room for improvement has been detected are: information about mechanisms for financing R&D and about the regulations related to each activity; avoiding loss of information; and the way in which the USC facilitates the dissemination and exploitation of research results. R3 and R4 researchers do not approve the current level of dissemination of the results of their research to the non-specialist public. We should emphasize the high level in agreement on the need to periodically review and evaluate the performance of researchers.

ON THE POSSIBLE ACTIONS TO IMPROVE THE DEVELOPMENT OF THE RESEARCH CAREER

... all possible actions to improve the development of the research career would be interesting, valued in this order: (1) creation of an advisory service for the scientific and professional career, (2) establishment of a training program on transversal competences, (3) development of a Code of Good Practices in Research, (4) development of an information system on curricular merits, (5) and of a system of supervision of the postdoctoral research staff.

4 GAP ANALYSIS

4.1 Main Results

4.1.1 Ethical and Professional Aspects

5. Contractual and legal obligations		
<p>Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.</p>		
Relevant legislation		
INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 21</p> <p>Royal Decree 63/2006, of January 27, approving the Statute for research personnel in training (arts. 4, 6 y 7).</p> <p>Law 14/2007, of July 3, of Biomedical Research (Title II).</p> <p>Royal Legislative Decree 1/1995 of 24 March, approving the revised text of the Law of the Workers' Statute. (art.5) Part I. Chapter I. Section IV (arts.10-13)</p> <p>Organic Law of Universities 6/2001 of 21 December (art. 40) Title IX Chapter I Section I (arts. 48-55).</p> <p>Law 11/1986, of 20 March, Research Patent and utility models. Art 15 - 17-19.</p> <p>Royal Decree 55/2002 of exploitation of inventions by public research institutions</p> <p>III Collective Agreement for the General National Administration</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 2.d. Article 105</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

- Regulations applicable to research staff are available to researchers: <http://www.usc.es/en/normativa/investigacion/index.html>
- In regard to this subject, the following regulations should be noted: Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf); Regulation for protection, exploitation and sharing of results of research generated at the USC (<http://www.usc.es/gl/normativa/investigacion/patentes.html>); Regulations on creating spin-offs (<http://www.usc.es/gl/normativa/investigacion/norcreaempresa.html>); Guide on protection of results and patents (https://imaisd.usc.es/ftp/oit/documentos/120_gl.pdf), etc...
- Information on funding: <http://imaisd.usc.es/seccion.asp?i=en&s=-2-26-31>
- Services: R & D Management area (<http://imaisd.usc.es/default.asp?i=en&s>) and Valuation and Knowledge Transfer area (<http://imaisd.usc.es/default.asp?i=en&s>)

STRENGTHS

- Extensive development of regulations; information is available to researchers.
- Model of organization and services: highly developed management structure that directly supports researchers through the dissemination of information and services.

ACTUAL GAPS

- Structuring and systematization of processes in R & D Management services, and Valuation and Knowledge Transfer.
- There is no procedure to ensure that all researchers understand their responsibilities when they start their research at the University.
- Access to information of interest for researchers: information distributed in different sections of the web.
- Low use of English (documentation only available in Galician).

Survey

6.3.- The USC keeps me informed about the national, sectorial and institutional regulations related to my training and my working conditions, for example, about the intellectual property rights. AVERAGE: 2,8 (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Training in occupational risk prevention	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and

														Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					ViceManagement for Staff
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					General Secretariat
Quality Manual for Research and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					Vicerectorship for Research and Innovation

1. Research freedom

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
International pact of the Social Economic Rights and Cultural , UN, 1966 Universal Statement of the Human Rights , UN 1948.	Spanish Constitution 1978. Article 44.2. Article 20.1 CE. Article 20.4 EC: Article 149. 15th. Law 14/2011 , of June 1, of the Science, Technology and Innovation. Preliminary title. General disposition. Organic law of Universities 6/2001 , of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU Art. 39 to 40. Law 14/2007 , of July 3, of Biomedical Research.	LAW 6/2013 , of June 13, of the University System of Galicia. Article 2.b Article 92.2. Article 110.1

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

- Statutes of the USC: <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf>
- Bioethics Committee: Regulation is available at <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/ComiteBioetica.pdf>

STRENGTHS

- The only limitation that appears in the Statutes is the prohibition of research on weapons issues.
- The remaining limitations are determined by specific regulations of national and international level that affect each of the fields of research. In all cases, the USC complies with existing

regulations.

ACTUAL GAPS

- Dissemination of information to researchers about freedom of research.

Survey

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When										Who		
	16	17				18				19		20	21
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

2. Ethical principles

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
UNESCO deontological codes of conduct (ICOM)	<p>Law 7/2007, Statute of Public Officials</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 10. Art.15 to). Disposal 8th</p> <p>Law 14/2007, of July 3, of Biomedical Research</p> <p>Royal Decree 1716/2011, of November 18, by which the basic requirements for authorization and operation of biobanks for biomedical research and treatment of biological samples of human origin are established, and the operation and organization is governed National Registry of Biobanks for biomedical research.</p>	

Royal Decree 2132/2004, of 29 October, establishing the requirements and procedures for requesting the development of research projects with stem cells obtained from pre-embryos.

Royal Decree 223/2004 of 6 February, which regulates clinical trials with drugs.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Regulations of the Bioethics Committee (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/ComiteBioetica.pdf>)
- Code of Ethics (<http://www.usc.es/valedor/codigoetico/CodigoEtico.html>)

Procedures/Practices

- Observatory of the Code of Ethics (<http://www.usc.es/valedor/codigoetico/index.html>) watches for the appliance of the code of ethics of the USC.
- Bioethics Committee, with its own regulation

STRENGTHS

- Rules and procedures for accomplishing ethical issues.

ACTUAL GAPS

- Access to web information about ethical practices.
- Most of the information about ethical issues is not in English.

Survey

6.1.- The USC has mechanisms to ensure the ethical principles of the research carried out by its staff, for example, the Bioethics Committee or the Principles of socially responsible management. AVERAGE: 3,5 (1 to 5 scale).

Actions required	When										Who		
	16	17				18				19		20	21
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

3. Professional responsibility

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Art. 15</p> <p>Law 11/1986, of 20 March, Research Patent and utility models. Art 15-17-19.</p> <p>Royal legislative decree 1 of 1 April 1996 approving the revised text of the Intellectual Property Act</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives. Article 105</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf)

Procedures/Practices

- Procedure for solving problems of plagiarism in research projects and doctoral theses.
- International Doctoral School. Code of Good Practices http://www.usc.es/export/sites/default/gl/centros/cptf/edi/descargas_EDI/Cxdigo_buenas_prxcticas_EDI_subido_web_cast.pdf

STRENGTHS

- There are formal mechanisms to resolve conflicts of plagiarism.
- For doctoral theses, the consequences of plagiarism are clear and defined, and take effect automatically.

ACTUAL GAPS

- The USC has no software tools to control plagiarism.

Survey													
6.3.- The USC keeps me informed about the national, sectorial and institutional regulations related to my training and my working conditions, for example, about the intellectual property rights. AVERAGE: 2,8 (1 to 5 scale).													
Actions required	When											Who	
	16	17				18				19	20		21
Anti-plagiarism software	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. .Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 38/2003 of Grant Management of 17 November. Article 20. Article 30. Article 32. Article 46.</p> <p>Law 14/2011 of the Science, Technology and Innovation, of 1 June, Article 21. Article 28. 3. Chapter II. Article 45.</p> <p>Law 11/1986, of 20 March, Research Patent and utility models. Article 15. Article 17. Article 19.</p> <p>Law 14/2007, of July 3, of Biomedical Research.</p>	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf)

Procedures/Practices

- Processes of economic management. For example, the processes of R&D economic management: <http://imaisd.usc.es/seccion.asp?i=es&s=-2-26-217>
- The university, as any other public institution, is subject to control procedures (audits, court of auditors ...)

STRENGTHS

- Compliance with regulations, and accountability processes (audits, etc.).
- Specialized management in the framework of research processes. The procedures for proper accountability by researchers in their field of research are clearly established.

ACTUAL GAPS

- There is an established procedure for researchers to recognize the differences between eligible costs and ineligible costs in all research projects.
- There are no indicators to assess transparency in the accountability of the USC.

Survey

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

8. Dissemination, exploitation of results

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 15. Chapter II. (art. 33f, 35 and 37).</p> <p>Royal Decree 55/2002 of 18 January, exploitation and cession of inventions made in public research bodies, in accordance with the provisions of art. 20 of Law 11/1986 of March 20 Patent</p> <p>Law 14/2007, of July 3, of Biomedical Research.</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives. Article 110.3. Article 111</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Article 10.2. Chapter V.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- In the field of protection of industrial and intellectual rights, internal regulations are found in: Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf); Regulation for protection, exploitation and sharing of results of research generated at the USC (<http://www.usc.es/gl/normativa/investigacion/patentes.html>); Regulations on creating spin-offs (<http://www.usc.es/gl/normativa/research/norcreaempresa.html>); Guide on protection of results and patents (https://imaisd.usc.es/ftp/oit/documentos/120_gl.pdf), etc...

Procedures/Practices

- The USC has an area of services specialized in providing advice to researchers on valuation and transfer, including issues related to the protection of results and exploitation rights. <http://www.usc.es/en/investigacion/avte/index.html>

STRENGTHS

- Policy development, organization and processes to promote the dissemination and exploitation of results. Highly developed management structure that directly supports researchers through outreach and support services.
- As requirements of evaluation, research projects usually include criteria for dissemination and exploitation of results; advice is provided to researchers for the definition of these sections.
- Good practices in the field of science communication with initiatives such as the Natural History Museum <http://revistas.usc.es/museohn> or the ConCiencia program.
- OPEN ACCESS: automatic and transparent management to the investigator for the publication of doctoral theses and research results with open access (institutional repository: MINERVA <https://minerva.usc.es/xmlui/?locale-attribute=es>, TESEO
- In some research centers we have already implemented processes to assess and identify business opportunities based on scientific production, through a clear and open evaluation process.

ACTUAL GAPS

- The small size of the unit of valuation (in proportion to the number of researchers) determines the reactive nature of our operations (at the researcher demand).
- Although there are services, processes and procedures of exploitation and dissemination of research results, these mechanisms are not sufficiently known by researchers.
- Advisory services on exploitation of results are more oriented to scientific and technical areas, and, to a lesser extent, to humanities and social sciences.
- Improvements in structuring and systematization of processes.
- Although activities of dissemination and training are carried out, it is necessary to improve the information and training of researchers in the field of exploitation of results.

Survey

6.5.- The USC facilitates the dissemination and exploitation of the results of my research. AVERAGE: 2,9 (1 to 5 scale).

6.6.- The USC facilitates that the results of my research become known to a non-specialized public and society in general. AVERAGE: 2,7 (1 to 5 scale).

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4, (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Unit of science dissemination	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

11. Evaluation/ appraisal systems

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 38/2003 of 17 November, of General Grants Regulation (art. 22).</p> <p>Royal Decree 887/2006, of 21 July, approving the Regulation of the Law 38/2003 of November 17, General Grants Regulation. Title I (Art.60).</p> <p>Law 7/2007 of 12 April, on the Basic Statute of Public Employees. Chapter II. Article 20</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation (art. 5.16 and 25.5 and disp. Trans. 5th.</p> <p>Organic law of Universities 6/2001, of 21 of Dec., LOU Art. 56 to 58. Law of Modification of LOU Art. TITLE V, Art. 40, Art. 41, Art. 50, Art. 52, Art. 57</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 67.2. Article 75.3</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

-

Procedures/Practices

- Teaching and Research Staff (R3 and R4): five-year periods, six-year periods and accreditation of academic career.
- R2 funded by public programs of HR, assessment in phase of incorporation.

STRENGTHS

- The assessment is conducted in the framework of progress throughout the scientific career; in this regard the evaluation of R2 (public programs), R3 and R4 is carried out according to regulations.

ACTUAL GAPS

- The USC has no mechanisms of self-assessment for evaluating researchers beyond those established at European and national levels, and that is associated with a system of incentives / penalties that allows a process of continuous improvement in the institution.
- Improvement and adoption of tools and information systems on scientific production and research activity on application processes.
- The changes introduced by the HRS4R open new opportunities to undertake a reorganization of research institutes so as to align the management of people to the principles of C&C.

Survey													
6.7.- I think that research performance should be reviewed and evaluated periodically. AVERAGE: 4,1 (1 to 5 scale).													
Actions required	When											Who	
	16	17				18				19	20		21
Information System on scientific production	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

4. Professional attitude

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

Relevant legislation		
INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Royal Decree 63/2006, of January 27, approving the Statute for research personnel in training. Article 6. Duties of research trainees.</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 6</p> <p>Law 14/2007 of Biomedical Research</p> <p>Royal Decree 1716/2011, Biobanks</p> <p>Royal Decree 2132/2004, Requisites for research with human ESC</p> <p>Royal Decree 223/2004, Medicine Clinical Trials</p>	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf)

Procedures/Practices

- Concerning strategic goals, both the strategic and annual plans are published at <http://www.usc.es/es/servizos/calidade/planifestracal.html>
- Research Management Area services: <http://imaisd.usc.es/default.asp?i=en&s=> particular information about funding mechanisms at <http://imaisd.usc.es/seccion.asp?i=en&s=-2-26-31> a

STRENGTHS

- Regulations, services and research management processes. Information and technical assistance is provided to researchers in defining and managing their research projects, including raising funds.
- Information on management procedures is available on the web.

ACTUAL GAPS

- Structuring and systematization of processes and procedures on research management.
- The university is currently in a transition process of its model of scientific organization through research institutes. This process involves the development of strategic research agendas.

Survey

6.2.- The USC keeps me informed about the funding mechanisms available to me as researcher and their requirements and conditions. AVERAGE: 3,2 (1 to 5 scale).

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

7. Good practice in research

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

Relevant legislation

INTERNATIONAL LEGISLATION

NATIONAL LEGISLATION

REGIONAL LEGISLATION

Spanish Constitution. Article 40.2. The powers ensure public safety and health at work.

Law 31/1995, of November 8, Prevention of occupational hazards. Article 38.

Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 10.

Law 15/1999, of 13 December, Protection of Personal Data.

Law 14/2007, of July 3, of Biomedical Research.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Rules about TIC's utilization: <http://www.usc.es/en/normativa/protecciondatos/index.html>
- Risk prevention policy: <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/priscos.pdf>

Procedures/Practices

- Concerning safety and hygiene, the USC has a risk prevention service responsible for the design, implementation, dissemination and evaluation of relevant actions (policies, plans, instructions, courses, etc...) <http://www.usc.es/en/servizos/sprl/>. In this regard, it is strictly compliant with the regulations, and has regulations and specific processes and procedures for different types of research activities. See: <http://www.usc.es/export9/sites/webinstitucional/gl/servizos/sprl/descargas/comrispro.pdf>, for example: Radiological Protection Service <http://www.usc.es/en/servizos/sprl/spradio/>
- The Area of Information and Communication Technologies (ATIC) <http://www.usc.es/gl/servizos/atic/> is in charge of computer security, and has processes and procedures for its implementation (protocols, models, model contracts, etc.) <http://www.usc.es/gl/servizos/atic/documentos.html>

STRENGTHS

- Risk prevention service with wide coverage and well structured in terms of processes and procedures relating to health and safety.
- All the centers of the USC have a plan of self-protection and even some center is certified in OHSAS.
- The USC has a prolific regulation regarding the use of data.
- Strict compliance with the rules on confidentiality and data protection.
- It has numerous databases for research. The Library has an important role as an organizer.

ACTUAL GAPS

- Better training of researchers in risk prevention.
- Information on rules and procedures for health and safety as well as for data protection is not in English

Survey

6.3.- The USC keeps me informed about the national, sectorial and institutional regulations related to my training and my working conditions, for example, about the intellectual property rights. AVERAGE: 2,8 (1 to 5 scale).

6.4.- My research activity is developed in conditions of safety as it relates to:

- Health. AVERAGE:3,2 (1 to 5 scale).
- Confidentiality. AVERAGE: 3,2. (1 to 5 scale).
- Protection against information leaks. AVERAGE:3,2 (1 to 5 scale).

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Improving research infrastructures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Training in occupational risk prevention	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

9. Public engagement

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 15. Chapter III. Dissemination of results and scientific and technological culture (arts.33, 34, 35 and 37).</p> <p>Law 14/2007, of July 3, of Biomedical Research.</p> <p>Law 2/2011, of March 4th, of the Sustainable Economy. Articles 37-39. Articles 51-57.</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives Article 2.e. Article 3.2. Article 17.6. Article 74.1. Article 75.2. Article 110. Article 111</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 32.5</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- In the field of protection of industrial and intellectual rights, internal regulations are contained in: Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf) Regulation for protection, exploitation and sharing of results of research generated at the USC (<http://www.usc.es/gl/normativa/investigacion/patentes.html>); Regulations on creating spin-offs (<http://www.usc.es/gl/normativa/investigacion/norcreaempresa.html>); Guide on protection of results and patents (https://imaisd.usc.es/ftp/oit/documentos/120_gl.pdf), etc

Procedures/Practices

- The USC has a long tradition in developing outreach activities. At the institutional level, the most prominent initiatives are: the Natural History Museum (<http://revistas.usc.es/museohn>), the "Ramon María Aller Astronomical Observatory" (<http://www.usc.es/en/servizos/observatorio/>) and the ConCiencia Programme (<http://www.usc.es/en/cursos/conciencia/index.html>)
- Concerning media outreach, the leading project is RIATMOS (<http://www.usc.es/en/proxectos/riatmos/media.html>)
- In addition, various research institutes have their own outreach activities, which have a timely basis. For example, activities to celebrate the Year Light 2015 at CIQUS (<http://www.usc.es/ciqus/en/news/usc-organises-outreach-activities-celebrate-closing-international-year-light-2015>) or educational activities (<http://www.usc.es/ciqus/en/news/chemistry-kids-outreach-workshops-leave-ciqus-facilities-first-time>), Estalmat program (<http://www.estalmatgalicia.com/>)
- Social Responsibility Report: USC is a pioneer in the adoption of GRI-standards for the elaboration of the social responsibility report. The report contains a section dedicated to the social management of knowledge, including research, transfer and outreach.

STRENGTHS

- Experience in the development of good practices in dissemination of information and outreach.
- Policy of the communication services of the USC to inform the media about the main results of the research conducted at the USC.
- In the USC there is a dynamic environment with numerous initiatives of popular sciences promoted by the USC researchers themselves, who assume their responsibilities to society.
- The research strategy of the University is marked by the processes of specialization linked to the economic and social environment (health, heritage, rural areas ...).
- The USC is among the top Spanish universities in number of projects funded by the Spanish Foundation for Science and Technology for Scientific Dissemination.

ACTUAL GAPS

- While working for the good of society, there is no defined plan of scientific dissemination aligned with the strategy of the USC. There are no systematic processes or explicit support exemplified in a clearly established policy for conveying scientific knowledge to society in general, reducing the impact and performance of the initiatives being developed at present, limiting its scope to the own environment of the USC.
- In recent years, due to lack of funding, many initiatives have been weakened (ConCIENCIA program) or have been cancelled (regional programs).

Survey

6.6.- The USC facilitates that the results of my research become known to a non-specialized public and society in general. AVERAGE: 2,7 (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Unit of science dissemination	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

10. Non discrimination

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Spanish Constitution 1978. Article 14 EC. Citizens are equal before the law, there may be no discrimination in terms of birth, race, sex, religion, opinion or any other condition or personal or social circumstance. Article 9.2 EC. Article 35.1 EC.</p> <p>Legislative Decree 1/1995 of 24 March approving the revised text of the Statute Law of workers. Section 2. Labor rights. Article 4.2c). Article 17 1. No discrimination in labor relations.</p> <p>Law 7/2007 of 12 April, of the Basic Statute of public employee. Chapter I. Rights of Public Employees. Article 14. Individual Rights. Article 14.i non-discrimination in terms of birth, racial or ethnic origin, gender, sex or sexual orientation, religion or belief, opinion, disability, age or any other condition or personal or social circumstance.</p> <p>Organic Law 3/2007 of 22 March, for the effective equality between women and men. Resolution of 20 May 2011, the Secretary of State for Public Service, by the Agreement of the Council of Ministers of January 28, 2011, whereby it is approved the I Plan of Equality between women and men in the Central Government and its agencies.</p> <p>Resolution 20 May 2011, Gender Equality Plan of General Administration</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 2.d. Article 104. Article 112. Disposición adicional octava.</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Disposición adicional tercera.</p> <p>DECRETO legislativo 2/2015, de 12 de febrero, por el que se aprueba el texto refundido de las disposiciones legales de la Comunidad Autónoma de Galicia en materia de igualdad.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Although it is not a regulation per se, the development framework for actions of Gender Balance are contained in the Strategic Plan for Equality of Men and Women (IIPEIOHM) http://www.usc.es/export9/sites/webinstitucional/en/servizos/oix/descargas/II_PEIOMH.pdf

Procedures/Practices

- Service of Participation and University Integration: <http://www.usc.es/en/servizos/sepiu/index.html>
- The university has an Office of Equality responsible for the design, implementation and dissemination of actions on gender equality. <http://www.usc.es/en/servizos/oix/index.html>
- In addition, the USC has an Interdisciplinary Centre for Feminist Research and Gender Studies (CIFEX) This centre coordinates all research and teaching projects and tasks dealing with the issues of gender relationships and of women. <http://www.usc.es/en/institutos/cifex/index.html>
- Numerous promotional activities are carried out, for example: Woman Emprende, a program to promote the creation of spinf-offs promoted by women, <http://www.womanemprende.org/>, the outreach activity "A scientist woman in every school" http://www.usc.es/en/servizos/oix/modules/news/news_0058.html

STRENGTHS

- Regulatory and organizational framework: Solid regulatory strength and existence of operational plans.

ACTUAL GAPS

- Improvement of the implementation level of the IPEIOHM.

Survey

No questions related

Actions required	When						Who						
	16	17		18		19		20	21				
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

4.1.2 Recruitment

12. Recruitment

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 7/2007 of 12 April, on the Basic Statute of Public Employees. Article 61.</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 16.</p> <p>Royal Decree 63/2006 of 27 January, approving the Statute for research personnel in training. Article 8.</p> <p>III Collective Agreement for the General National Administration. Art 33.</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU Art. 48, Art. 57, Art. 62, Art. 64 to 67, Art. 75, DA11, DA24</p> <p>Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 5. Art 69.2</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.4. Article 98.2. Article 101. Article 104. Article 112. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC ([http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf](http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf))
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.html>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

- Enrollment in doctoral programs. Defined in the annual call (See above in this section internal rules about doctoral studies admission). A selection process is carried out in the event that demand exceeds the offer of positions. In the case of students funded by public programs of HR, the USC welcomes students who are selected by the programs (the processes and selection procedures are those of the funding body: Xunta, Ministry, etc.).
- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal). The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).

STRENGTHS

- Structure and organizational support of the USC for the recruitment of researchers:
 - o In R1, new organizational model of the doctoral training system of the USC (See point 40. Supervision)
 - o With regard to the recruitment of researchers in charge of R&D activities, the USC has a central service of research that gives support (information services, advice and management) to researchers regarding their own research activity (ex: project financing); recruitment of researchers by projects and by marketing of research activities (research with enterprises, services, etc.). <http://imaisd.usc.es/default.asp?i=en&s=>
 - o In regard to the teaching and research staff, the USC has the Planning Service for Teaching and Research Staff, which oversees the organization of the selection of profiles for a permanent position. <http://www.usc.es/gl/servizos/profesorado/>
- Information on access rules for the different groups are available and updated through the web, as well as the contact persons and support services in each case.
- A good practice in the selection area is the existence of the Singular Centres of Research, research units of excellence at the USC, which spread their offer of positions and access conditions in the "Job and Training" section, which is also in English. (Example: http://www.usc.es/cigus/es/empleo/Postdoc-ERC-PoC_ANTs_Rivadulla). Offers for these centers are also usually published through Euraxess.
- The recruitment processes are conducted in accordance with national regulations.
- A web accessible to people with disabilities. With regard to facilitating the access to information to disadvantaged groups, the website has been developed under the criteria of promoting accessibility so it can be used without problems by people with some kind of visual, motor, hearing or other kind of impairment.
- As part of the process of obtaining the HR seal, a first revision of the degree of compliance with the criteria of the OTM-R has been done

ACTUAL GAPS

- Organization of the USC in terms of Scientific Careers: At the organizational level there is no Scientific Career service that concentrates the dissemination of information and supports

services to researchers for their professional development. Although there are rules, procedures and services to meet the needs of the research career, the organizational fragmentation does not improve the visibility of the value of these services.

- the dissemination processes at international level for the recruitment of PhD and Postdoctoral Researchers are not systematized
- Access to information: information regarding the selection process of investigators is distributed in different sections of the web, which can make it difficult to find for people not familiar with its use or with the organization of the USC.
- Language barriers: Although the USC website can be translated into English, but not all the downloadable files, regulations or calls for hiring researchers are usually in Spanish and Galician.

Survey

See point 14

Actions required	When											Who	
	16	17				18				19	20		21
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol for the international dissemination of selection processes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination: ATIC and Web Office
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Procedures for admission and enrollment R1 in English	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Academic Organization and Teaching and Research Staff
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS

13. Recruitment (Code)

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 7/2007, Statute of Public Officials. Tit IV CAP I Art 55.2 b), Art 61.</p> <p>Organic Law 6/2001, of University Art 40 y ss.</p> <p>III Collective Agreement for the General National Administration. Art 31.</p> <p>Legislative Decree 1/1995 of 24 March, approving the revised text of the Law of the Workers' Statute. Article 8.5. Article 11.1 et seq. Article 22</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Section 2. Article 20. Types of contract. Art. 56 to 58</p> <p>Law of Modification of LOU Art. 62</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.4 Article 98.2. Article 101. Article 104. Article 112. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf>)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.html>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

- Enrollment in doctoral programs. Defined in the annual call (See above in this section internal rules about doctoral studies admission). A selection process is carried out in the event that demand exceeds the offer of positions. In the case of students funded by public programs of HR, the USC welcomes students who are selected by the programs (the processes and selection procedures are those of the funding body: Xunta, Ministry, etc.).

- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal). The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).

STRENGTHS

- The recruitment and selection processes are structured and systemized, need to be improved in terms of attracting international talent.
- Regulatory Compliance:
- In the case of R1, the selection process corresponds to the registration process. The process is outlined in the annual call. In the case of R3 and R4, teaching and research staff, the processes of selection and recruitment of the USC comply strictly with the rules at European, national and regional level.
- In both cases it is considered these processes meet the criteria of the C&C except for language issues, already identified as an area for improvement in point 13.
- In the case of researchers recruited by R&D projects, these processes are addressed within the legal framework. These processes are more decentralized, as the recruitment is managed by the Main Researcher, and can be improved to adapt to the principles of the C&C as indicated in GAPS.
- In general, the IP as responsible of the credit to make the contract proposes the candidate profile and the selection criteria, the USC makes a public call and manages the selection and recruitment process. Uniquely, the IP can expand the range of the announcement beyond the USC, but this is done independently and not as part of a structured and systematic process.
- Best practices in the Singular Centers of Research: These units have an important international projection (eg hosting most of the ERC researchers in the USC), so here the recruitment of researchers under projects follows, in their own programs, advertising and selection processes internationally comparable. See an example: http://www.usc.es/ciqus/en/Postdoctoral-Positions_CampusVida_2016

ACTUAL GAPS

- In the processes of recruitment of researchers by research activities (PhD and Postdoctoral Researchers)...
...there are no systematic and structured procedures to manage the international dissemination of the selection process.
... it is necessary to improve the information on the selection processes: public calls for the recruitment of researchers by projects have significant gaps in information, advertising, international broadcasting ...
- Attracting foreign researchers both from the point of view of the national legislative framework and from the point of view of the institution: there are several difficulties in the access to the selection processes of the USC by foreign researchers: the need to provide documentation physically through registration; the need to translate the documents submitted into Galician and Spanish; the difficulties for the recognition of qualifications; the website, the documents and the forms are not translated into English ...
- The administrative processes of recruitment have not been fully adapted to eGovernment.
- In the current design of the model of the scientific career in the Spanish university system, the non-permanent contractual models available are not always attractive enough for qualified researchers. There are asymmetries between contractual arrangements and functional research profiles. Particularly in the categories of R2. This is not a gap of the USC but of the whole Spanish university system.

Survey

3.1.- The procedures for recruiting researchers established by the USC according to current legislation are:

- a. Clear. AVERAGE: 3,3 (1 to 5 scale).
- b. Open. AVERAGE: 3,2 (1 to 5 scale).
- c. Suited for the job. AVERAGE: 3,2 (1 to 5 scale).
- d. Adequated in terms of deadlines. AVERAGE: 3,1 (1 to 5 scale).
- e. Internationally comparable. AVERAGE: 2,7 (1 to 5 scale).
AVERAGE: 3,1 (1 to 5 scale).

3.2.- The USC publicizes its selection processes for researchers:

- a. Well in advance. AVERAGE: 3,2 (1 to 5 scale).
- b. In international media. AVERAGE: 2,6 (1 to 5 scale).
- c. Indicating the positions offered. AVERAGE: 3,7 (1 to 5 scale).
- d. Indicating the knowledge required. AVERAGE: 3,7 (1 to 5 scale).
- e. Indicating the functions to be performed. AVERAGE: 3,4 (1 to 5 scale).
- f. Indicating working conditions. AVERAGE: 3,1 (1 to 5 scale).
- g. Indicating the selection criteria. AVERAGE: 3,4 (1 to 5 scale).
- h. Explaining the development of the process. AVERAGE: 3,1 (1 to 5 scale).
AVERAGE: 3,3 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol for the international dissemination of selection processes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination: ATIC and Web Office
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Procedures for admission and enrollment R1 in English	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

14. Selection (Code)

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 7/2007, Statute of Public Officials (art. 60);</p> <p>III Collective Agreement for the General National Administration. (art. 34);</p> <p>General regulation for Civil Servant Provision (Cap. III) (RD 364/95, 10 March)</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 5.2. Article 15. Article 16. Article 20. Types of contract.</p> <p>Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 5. Art 69.2</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.4 Article 98.2. Article 101. Article 104. Article 112. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enero por el que se aprueban los estatutos de la USC.pdf>)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.htm>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

- Enrollment in doctoral programs. Defined in the annual call (See above in this section internal rules about doctoral studies admission). A selection process is carried out in the event that demand exceeds the offer of positions. In the case of students funded by public programs of HR, the USC welcomes students who are selected by the programs (the processes and selection procedures are those of the funding body: Xunta, Ministry, etc.).

- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal).The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
- PhD Researchers for access to the doctoral program when demand exceeds offer, a selective process is done. The selection is made by the Academic Committee of each PhD program. Its composition is set out in articles 5 and 6 of the Regulations of Doctoral Studies at the USC.
- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
- For Teaching and Research Staff, state regulations are followed.

STRENGHTS

- Regulatory Compliance in regards to the existence of Selection Committees.

ACTUAL GAPS

- There is no general procedure to ensure compliance with OTM-R criteria.

Survey

3.3.- The USC ensures that the selection committees for recruiting researchers include:

- Members from different disciplines. AVERAGE: 2,8 (1 to 5 scale).
- International experts. AVERAGE: 2,4 (1 to 5 scale).
- Adequate gender balance. AVERAGE: 3,2 (1 to 5 scale).
- Members with relevant experience. AVERAGE: 3,2 (1 to 5 scale).
AVERAGE: 2,9 (1 to 5 scale).

Actions required	When						Who						
	16	17			18			19	20	21			
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

15. Transparency (Code)

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 7/2007, Statute of Public Officials TÍT IV CAP I Art 55.2 b)</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 5. Article 16.</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU All the articulate.</p> <p>Law 38/2003 of 17 November, General Grant Management. Article 8 Article 9. Article 17. Article 23.</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.4. Article 98.2. Article 101. Article 104. Article 112. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enero por el que se aprueban los estatutos de la USC.pdf>)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.html>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)

- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

- The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

- Enrollment in doctoral programs. Defined in the annual call (See above in this section internal rules about doctoral studies admission). A selection process is carried out in the event that demand exceeds the offer of positions. In the case of students funded by public programs of HR, the USC welcomes students who are selected by the programs (the processes and selection procedures are those of the funding body: Xunta, Ministry, etc.).
- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal). The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and research Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
- PhD Researchers for access to the doctoral program when demand exceeds offer, a selective process is done. The selection is made by the Academic Committee of each PhD program. Its composition is set out in articles 5 and 6 of the Regulations of Doctoral Studies at the USC.
- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
- For Teaching and Research Staff, state regulations are followed.

STRENGTHS

- The USC regulations of recruitment meet the requirements of transparency regarding the selection.
- Compliance with regulations regarding transparency. The web has been adapted to meet the legal framework of transparency. <http://www.usc.es/gl/transparencia/index.html> The site already includes a section on transparency in recruitment of teaching and research staff, and administration and services staff.

ACTUAL GAPS

- The main areas of improvement with regard to transparency connect with those GAPS indicated in section 12 with respect to the information provided to candidates.
- Organization of the USC in terms of Scientific Careers: At the organizational level there is no Scientific Career service that concentrates the dissemination of information and supports services to researchers for their professional development. Although there are rules, procedures and services to meet the needs of the research career, the organizational fragmentation does not improve the visibility of the value of these services.
- Access to information: information regarding the selection process of investigators is distributed in different sections of the web, which can make it difficult to find for people not

familiar with its use or with the organization of the USC.

- Language barriers: Although the USC website can be translated into English, but not all the downloadable files, regulations or calls for hiring researchers are usually in Spanish and Galician.
- Deficiencies in the transparency section of the USC web: it does not include information on the recruitment of researchers by projects.
- Information to applicants on the results of the process: Discarded candidates discarded are not provided with evaluative information on their participation in the selection process.

Survey

See cuestión 11

Actions required	When											Who	
	16	17				18				19	20		21
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Protocol for the international dissemination of selection processes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination: ATIC and Web Office
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Procedures for admission and enrollment R1 in English	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Quality Manual for Research and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilities	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

16. Judging merit (Code)

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Spanish Constitution 1978. Article 44.2 Article 149. 1. 15^a.</p> <p>Law 14/2011, of 1 June, of the Science, Technology and Innovation. Article 22. Article 26</p> <p>Law 38/2003 of November 17, General Grant. Article 23. 2 l. Article 24.3.b.</p> <p>Royal Decree 887/2006 of 21 July, approving the regulations of the Law 38/2003 of November 17, General Grant Management. Article 60 1.</p> <p>Law 30/1992, Public Administration and Public Procedures. Art 54. 2</p> <p>Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 53</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.4. Article 98.2. Article 101. Article 104. Article 112. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf>)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudantes/matricula/doutoramento.htm>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

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- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal).The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
- PhD Researchers for access to the doctoral program when demand exceeds offer, a selective process is done. The selection is made by the Academic Committee of each PhD program. Its composition is set out in articles 5 and 6 of the Regulations of Doctoral Studies at the USC.
- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
- For Teaching and Research Staff, state regulations are followed.

STRENGTHS

- Regulatory Compliance: The processes are conducted in accordance with the rules and including the merits cited in the C&C. (There is a system already defined to assess the merits and experience, including mobility or seniority)

ACTUAL GAPS

- Weighting and definition of scientific curricular criteria in the context of positions that require teaching skills.
- The weaknesses of the process are more associated with the criteria for the definition of positions and not to the valuation of the recruitment process.

Survey

3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include:

- Quality of scientific publications. AVERAGE: 4,3 (1 to 5 scale).
 - Teaching experience. AVERAGE: 3,5 (1 to 5 scale).
 - Supervision of staff. AVERAGE: 3,6 (1 to 5 scale).
 - Capacity for teamwork. AVERAGE: 4,1 (1 to 5 scale).
 - Knowledge transfer. AVERAGE: 3,9 (1 to 5 scale).
 - R&D management. AVERAGE: 3,6 (1 to 5 scale).
 - Scientific knowledge dissemination. AVERAGE: 3,9 (1 to 5 scale).
 - International experience. AVERAGE: 3,9 (1 to 5 scale).
 - Intersectorial mobility. AVERAGE: 3,4 (1 to 5 scale).
 - Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
 - Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
- AVERAGE: 3,7 (1 to 5 scale).

7.5.- In order to improve the performance of my research career, I consider relevant the access to an information system about the curricular merits of researchers from the USC. AVERAGE: 4,0 (1 to 5 scale).

Actions required	When											Who	
	16	17			18			19	20	21			
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and

																			Research Staff
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Vice-rectorship for Research and Innovation
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Vice-rectorship for Communication and Coordination.ATIC
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										General Secretariat
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Management
Quality Manual for Research and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Vicerectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q										Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures

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

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Law 14/2011 , of 1 June, of the Science, Technology and Innovation. Article 22. Article 26 Royal Decree 1/1995 , Worker Statute. Article 11. Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 53	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf>)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudantes/matricula/doutoramento.htm>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

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- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

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- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
- PhD Researchers for access to the doctoral program when demand exceeds offer, a selective process is done. The selection is made by the Academic Committee of each PhD program. Its composition is set out in articles 5 and 6 of the Regulations of Doctoral Studies at the USC.
- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
- For Teaching and Research Staff, state regulations are followed.

STRENGTHS

- Regulatory Compliance: The processes are conducted in accordance with the rules and including the merits cited in the C&C. (There is a system already defined to assess the merits and experience, including mobility or seniority)

ACTUAL GAPS

- Weighting and definition of scientific curricular criteria in the context of positions that require teaching skills.
- The weaknesses of the process are more associated with the criteria for the definition of positions and not to the valuation of the recruitment process.

Survey

3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include:

- Quality of scientific publications. AVERAGE: 4,3 (1 to 5 scale).
- Teaching experience. AVERAGE: 3,5 (1 to 5 scale).
- Supervision of staff. AVERAGE: 3,6 (1 to 5 scale).
- Capacity for teamwork. AVERAGE: 4,1 (1 to 5 scale).
- Knowledge transfer. AVERAGE: 3,9 (1 to 5 scale).
- R&D management. AVERAGE: 3,6 (1 to 5 scale).
- Scientific knowledge dissemination. AVERAGE: 3,9 (1 to 5 scale).
- International experience. AVERAGE: 3,9 (1 to 5 scale).
- Intersectorial mobility. AVERAGE: 3,4 (1 to 5 scale).
- Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
- Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
AVERAGE: 3,7 (1 to 5 scale).

7.5.- In order to improve the performance of my research career, I consider relevant the access to an information system about the curricular merits of researchers from the USC. AVERAGE: 4,0 (1 to 5 scale).

Actions required	When										Who	
	16	17			18			19	20	21		
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Academic Organization and Teaching and

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC ([http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf](http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf))
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudantes/matricula/doutoramento.htm>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
- Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

PhD students (R1):

- Enrollment in doctoral programs. Defined in the annual call (See above in this section internal rules about doctoral studies admission). A selection process is carried out in the event that demand exceeds the offer of positions. In the case of students funded by public programs of HR, the USC welcomes students who are selected by the programs (the processes and selection procedures are those of the funding body: Xunta, Ministry, etc.).
- In addition, doctoral students that do not have funding can be hired for this purpose. They must be enrolled in a PhD program. This process is restricted to PhD students. (See internal rules about PhD Researchers)
- Predoctoral calls follow a process regulated in the framework of public calls. Uniquely, in the case of international projects in which the IP can publish the call internationally.

Postdoc Researchers (R2):

- Researchers hired by public funded programs of HR promoted by national and international agencies (eg. postdoctoral programs like Ramon y Cajal).The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).
- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
- PhD Researchers for access to the doctoral program when demand exceeds offer, a selective process is done. The selection is made by the Academic Committee of each PhD program. Its composition is set out in articles 5 and 6 of the Regulations of Doctoral Studies at the USC.
- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
- For Teaching and Research Staff, state regulations are followed.

STRENGTHS

- Regulatory Compliance: The processes are conducted in accordance with the rules and including the merits cited in the C&C. (There is a system already defined to assess the merits and experience, including mobility or seniority)

ACTUAL GAPS

- Weighting and definition of scientific curricular criteria in the context of positions that require teaching skills.
- The weaknesses of the process are more associated with the criteria for the definition of positions and not to the valuation of the recruitment process.

Survey

3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include:

- Quality of scientific publications. AVERAGE: 4,3 (1 to 5 scale).
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- Supervision of staff. AVERAGE: 3,6 (1 to 5 scale).
- Capacity for teamwork. AVERAGE: 4,1 (1 to 5 scale).
- Knowledge transfer. AVERAGE: 3,9 (1 to 5 scale).
- R&D management. AVERAGE: 3,6 (1 to 5 scale).
- Scientific knowledge dissemination. AVERAGE: 3,9 (1 to 5 scale).
- International experience. AVERAGE: 3,9 (1 to 5 scale).
- Intersectorial mobility. AVERAGE: 3,4 (1 to 5 scale).
- Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
- Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
AVERAGE: 3,7 (1 to 5 scale).

7.5.- In order to improve the performance of my research career, I consider relevant the access to an information system about the curricular merits of researchers from the USC. AVERAGE: 4,0 (1 to 5 scale).

Actions required	When											Who	
	16	17			18			19	20	21			
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and

Royal Decree 56/2005, regulating official university postgraduate studies.

Royal Decree 1393/2007 Regulation of Official University Studies.

Royal Decree 1837/2008, of November 8, by which are incorporated into Spanish law the Directive 2005/36/EC of the European Parliament and the Council, of 7 September 2005 and Directive 2006/100/EC, Council of November 20 of 2006, on the recognition of professional qualifications.

Royal Decree 459/2010, of 16 April, laying down conditions for the recognition for professional purposes of foreign degrees in Health Specialist, obtained in non-EU regulated countries.

Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 57

Law 14/2007, July 3, of Biomedical Research. Art.10.2

Law 55/2003, of December 16 Statute for established staff of health services. Art. 17.1

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf)
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.htm>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
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Procedures/Practices

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Postdoc Researchers (R2):

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- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
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STRENGTHS

- Regulatory Compliance: The processes are conducted in accordance with the rules and including the merits cited in the C&C. (There is a system already defined to assess the merits and experience, including mobility or seniority)

ACTUAL GAPS

- Weighting and definition of scientific curricular criteria in the context of positions that require teaching skills.
- The weaknesses of the process are more associated with the criteria for the definition of positions and not to the valuation of the recruitment process.

Survey

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 - Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
 - Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
- AVERAGE: 3,7 (1 to 5 scale).

7.5.- In order to improve the performance of my research career, I consider relevant the access to an information system about the curricular merits of researchers from the USC. AVERAGE: 4,0 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
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Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures

20. Seniority (Code)

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

Relevant legislation		
INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Royal Decree 63/2006 of 27 January, approving the Statute for research personnel in training. Art.1.2 Object. Art.8.2.</p> <p>Order CIN / 2657/2008 of 18 September, establishing the administrative procedure for evaluation of research activity.</p> <p>Royal Decree 778/1998 of 30 April, regulating the third cycle of university studies, obtaining and forwarding a PhD and other postgraduate studies.</p> <p>Royal Decree 56/2005, regulating official university postgraduate studies.</p> <p>Royal Decree 1837/2008, of November 8, by which are incorporated into Spanish law the Directive 2005/36/EC of the European Parliament and the Council, of 7 September 2005 and Directive 2006/100/EC, Council of November 20 of 2006, on the recognition of professional qualifications.</p> <p>Royal Decree 459/2010, of 16 April, laying down conditions for the recognition for professional purposes of foreign degrees in Health Specialist, obtained in non-EU regulated countries.</p> <p>Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 57</p> <p>Law 14/2007, July 3, of Biomedical Research. Art.10.2</p> <p>Law 55/2003, of December 16 Statute for established staff of health services. Art. 17.1</p>	
Existing Institutional rules and/or practices		
<p>INTERNAL RULES AND PROCEDURES/PRACTICES</p> <p>Internal Rules</p> <ul style="list-style-type: none"> Statutes of USC (http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf) Access to doctoral programs: http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.htm PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf) Teaching and Research Staff: Repository: http://www.usc.es/en/servizos/profesorado/normativa.html. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf 		

Procedures/Practices

The framework for the recruitment of researchers at the USC includes the following processes:

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- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules about postdoctoral researchers).

Teaching and researc Staff (R3 and R4):

- Process of Recruitment of Teaching and Research Staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above).
- The Selection Committees of the USC apply in the following cases:
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- Postdoctoral researchers, in the recruitment under research activities, there is a Selection Committee.
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STRENGTHS

- Regulatory Compliance: The processes are conducted in accordance with the rules and including the merits cited in the C&C. (There is a system already defined to assess the merits and experience, including mobility or seniority)

ACTUAL GAPS

- Weighting and definition of scientific curricular criteria in the context of positions that require teaching skills.
- The weaknesses of the process are more associated with the criteria for the definition of positions and not to the valuation of the recruitment process.

Survey

3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include:

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- b. Teaching experience. AVERAGE: 3,5 (1 to 5 scale).
- c. Supervision of staff. AVERAGE: 3,6 (1 to 5 scale).
- d. Capacity for teamwork. AVERAGE: 4,1 (1 to 5 scale).

- e. Knowledge transfer. AVERAGE: 3,9 (1 to 5 scale).
- f. R&D management. AVERAGE: 3,6 (1 to 5 scale).
- g. Scientific knowledge dissemination. AVERAGE: 3,9 (1 to 5 scale).
- h. International experience. AVERAGE: 3,9 (1 to 5 scale).
- i. Intersectorial mobility. AVERAGE: 3,4 (1 to 5 scale).
- j. Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
- k. Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
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Actions required	When											Who
	16	17			18			19	20	21		
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Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Academic Organization and Teaching and Research Staff
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination.ATIC
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Management
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vicerectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures

21. Postdoctoral appointments (Code)

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

Relevant legislation

INTERNATIONAL LEGISLATION

NATIONAL LEGISLATION

REGIONAL LEGISLATION

Law 14/2011, of 1 June, of the Science, Technology and Innovation (Art.20, 21 and 22).

Royal Decree 63/2006 of 27 January, approving the Statute for research personnel in training. 6th additional provision.

Organic Law 3/2007 on the March, 22 for the Equality between women and men. Art. 16

LAW 6/2013, of June 13, of the University System of Galicia. Article 98.2. Article 112. Article 113.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC ([http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf](http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf))
- Access to doctoral programs: <http://www.usc.es/en/perfis/estudiantes/matricula/doutoramento.html>
- PhD researchers and Postdoctoral Researchers: "Regulations for the recruitment of researchers in charge of R&D activities" (http://imaisd.usc.es/ftp/oit/documentos/1447_gl.pdf)
 - Teaching and Research Staff: Repository: <http://www.usc.es/en/servizos/profesorado/normativa.html>. Regulations: http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/Definit.Normativa_Seleccion_PDI_Func.pdf, http://www.usc.es/export9/sites/webinstitucional/gl/centros/filosofia/descargas/Normativa_contratados_refundida.pdf

Procedures/Practices

- The recruitment of postdoc researchers includes the following processes:
 - Researchers hired by public funded programs of HR promoted by national and international agencies (eg. Postdoctoral Programs like Ramón y Cajal). The selection processes and procedures are those of the funding body (Xunta, Ministry, etc.).

- Researchers hired by projects for carrying out R&D activities. It is done according to the rules of the USC "Regulations for the recruitment of researchers in charge of R&D activities" in compliance with national regulations (see above internal rules Postdoctoral Researchers acerca above).
- Profesor Contratado Doctor, recruitment process of teaching and research staff. It is done according to the "Regulations for the competition of access to university teaching bodies as public officials" in compliance with national regulations (see internal rules concerning Teaching and Research Staff above)..

STRENGTHS

- Postdoctoral researchers recruited by HR programs are assimilated as Teaching and Research Staff can be IPs, and have teaching assignments.

ACTUAL GAPS

- The position of non-permanent postdoctoral researcher hired by a given project is not developed. As a result there are asymmetries between contractual arrangements and functional research profiles, as researchers cannot have teaching assignments, cannot lead projects, etc...
- The limitations on recruitment procedures limit opportunities for career development (unable to provide teaching or lead projects, etc.).
- The current R scale does not reflect the postdoctoral casuistry regarding their functional profile and degree of evolution throughout the research career.
- The USC does not have a specific service for postdoctoral affairs.

Survey

No questions related

Actions required	When											Who	
	16	17				18				19	20		21
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol for the international dissemination of selection processes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination: ATIC and Web Office
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
eGovernment	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

4.1.3 Working Conditions and Social Security

22. Recognition of the profession		
All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).		
Relevant legislation		
INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of Science, Technology and Innovation Art 13, Art 14, Art 25, Art 27</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU Art. 2. Art. 40. Art. 68</p>	
Existing Institutional rules and/or practices		
INTERNAL RULES AND PROCEDURES/PRACTICES		
Internal Rules		
<ul style="list-style-type: none"> Statutes of USC (http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf) 		
STRENGTHS		
<ul style="list-style-type: none"> Regulatory Compliance: recognition of the profession is based on a set of principles that are already in the Law of Science. This allows a clear regulation of the position of the researcher and of general aspects of their work (eg regulation regarding occupational risks, access to training, recruitment regulations, etc...). 		
ACTUAL GAPS		
<ul style="list-style-type: none"> Recognition of the predoctoral researcher in the Spanish labor legislation. The predoctoral researcher is not found in any collective agreement. Although it is indeed mentioned in the Spanish Constitution, it is not regulated in the field of labor relations, and is also out, for example, of training plans (it is only included in the general training for all workers). 		
Survey		
No questions related		

Actions required	When											Who
	16	17				18				19	20	
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat

23. Research environment

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

Relevant legislation

INTERNATIONAL LEGISLATION

NATIONAL LEGISLATION

REGIONAL LEGISLATION

Law 14/2007 of Biomedical Research. Art 88.

Law 14/2011, of Science, Technology and Innovation. Art14. D. Ad. 8. 2. b) and c)

LAW 6/2013, of June 13, of the University System of Galicia. Article 88

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Risk prevention policy: <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/priscos.pdf>
- Rules About Infrastructures: <http://www.usc.es/gl/investigacion/riaidt/regulamento.html>

Procedures/Practices

- Concerning safety and hygiene, the USC has a risk prevention service responsible for the design, implementation, dissemination and evaluation of relevant actions (policies, plans, instructions, courses, etc...) <http://www.usc.es/en/servizos/sprl/index.html>. In this regard, it is strictly compliant with the regulations, and has regulations and specific processes and procedures for different types of research activities. See: <http://www.usc.es/export9/sites/webinstitucional/gl/servizos/sprl/descargas/comrispro.pdf>, for example: Radiological Protection Service <http://www.usc.es/en/servizos/sprl/spradio/>
- Concerning infrastructures, services in charge are the following:
 - Infrastructures network of support to Research and Technological Development <http://www.usc.es/gl/investigacion/riaidt/>
 - Technical Service for Scientific Instrumentation <http://www.usc.es/en/servizos/stic/>
 - Research management area. This services advices researchers about funding for infrastructures. <http://imaisd.usc.es/seccion.asp?i=gl&s=-2-26-31>

STRENGTHS

- Risk prevention service with broad coverage and well structured in terms of processes and procedures relating to health and safety.
- State of the art infrastructure and equipment: As for resourcing, an effort is done to provide researchers with the spaces and scientific facilities more suitable for the development of their work. The USC has been awarded with the International Campus of Excellence Award, which includes the evaluation of research technical capabilities <http://campusvida.usc.es/en/>
- The research management services also provide information and advice on the financing of scientific equipment in the framework of the projects.

ACTUAL GAPS

- Better training of researchers in risk prevention.

Survey

4.1.- In relation to the rules concerning the protection of health and safety at work (health monitoring and risk prevention), the USC:

- Complies with regulations. AVERAGE: 3,7. (1 to 5 scale).
- Informs and trains properly. AVERAGE:3,4. (1 to 5 scale).
AVERAGE: 3,6 (1 to 5 scale).

4.2.- I have the resources and equipment needed to develop my research. AVERAGE: 3,2 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Improving research infrastructures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Training in occupational risk prevention	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Internationalisation of Doctoral Programmes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

24. Working conditions

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Organic Law 3/2007, for effective equality between women and men. Cap II. (Art. 44, 51 y 56)</p> <p>Law 14/2011, of Science, Technology and Innovation (art. 14.j)</p> <p>Plan to conciliate personal and professional life in the National Administration (Plan Concilia)</p> <p>III Collective Agreement for the General National Administration.</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.3. Article 88. Article 96. Article 100. Article 104. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of USC (<http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos de la Universidad de Santiago de Compostela - DECRETO 14-2014x de 30 de enerox por el que se aprueban los estatutos de la USC.pdf>)

Procedures/Practices

- Reconciliation of family and working life:
 - The USC has a School for Children <http://www.usc.es/es/servizos/breogan/> with extended hours.
 - There are also grants for researchers through the Service of Grants and Services for Students
- Service of University Participation and Integration: <http://www.usc.es/en/servizos/sepiu/index.html>
- Sabbatical year: <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Normativa de concesixn de licenzas por sabxtico.pdf>

STRENGTHS

- Compliance with legislation on working conditions.

ACTUAL GAPS

- Information on the Breogán School for Children is in Spanish and Galician.
- Access to information on the web. For example, information about the school, prevention services, etc... is found on the USC website within a generic section of services.

Survey

No questions related

Actions required	When											Who	
	16	17				18				19	20		21
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC

Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Procedures for admission and enrollment R1 in English	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

25. Stability and permanence of employment

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
Directive 1999/70/CE regarding Framework agreement of CES, la UNICE y el CEEP about Fixed-Term Work	Law 14/2011 , of Science, Technology and Innovation (Sec II. Art 20, Art 25)	DECREE 64/2016 , of May 26, which regulates the recruitment policy of the Galician Innovation Agency on research personnel under the modality of distinguished research staff.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Agreements of the Governing Council on stabilization of researchers. For example, the stabilization of researchers who join the university through the Ramón y Cajal programme http://www.usc.es/export/sites/default/gl/gobierno/consellogobierno/8_ENERO_2016_RESUMO_WEB_aprobada.pdf

Procedures/Practices

- All processes to incorporate permanent teaching and research staff use as evaluation criteria the research profile and the research career. <http://www.usc.es/gl/servizos/profesorado/prazasabertas/normativa.html>
- Oportunius Programme in collaboration with the Galician Agency of Innovation for stabilization of ERC researchers. <http://gain.xunta.gal/artigos/234/oportunius>. Veer exemplo en: http://xornal.usc.es/xornal/acontece/2015_03/noticia_0057.html

STRENGTHS

- Policy of stabilization of researchers who access the USC through programs to attract talent. In the current context of economic restrictions, in the last seven years 65 postdoctoral researchers have been promoted as permanent staff. In addition, the University annually attracts around 5/10 researchers through programmes of incorporation (Ramon y Cajal, Marie Curie, etc.). Later on, these researchers have the possibility of access to stabilization processes.
- Existence of a framework for the stabilization of ERC researchers and distinguished researchers through the Oportunius Program.

ACTUAL GAPS

Survey

No questions related

Actions required	When											Who	
	16	17				18				19	20		21
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

26. Funding and salaries

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Royal Decree 63/2006 Researchers at training stages. Art 5.</p> <p>Royal Decree 1/1995, Worker Statute Art11.e) Art 26.3 Art 37.</p> <p>III Collective Agreement for the General National Administration. CAPVIII. Art 45. Art 46. Art 47. CAP XIII</p> <p>Royal Decree Law 1/1994, General Social Security Law. Art 124. CAP IV BIS.TÍT III. Art 205 y 206.</p> <p>Law 14/2011, of Science, Technology and Innovation. Art. 14</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 75.3. Article 94. Article 108. Article 113.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statutes of the USC (http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/documentos/Estatutos_de_la_Universidad_de_Santiago_de_Compostela_-_DECRETO_14-2014x_de_30_de_enerox_por_el_que_se_aprueban_los_estatutos_de_la_USC.pdf)
- Collective Agreement for Teaching and Research Staff <http://www.usc.es/export9/sites/webinstitucional/gl/normativa/descargas/IIconperdocinvlabunicoruuscevigopdf>

STRENGTHS

- Regulatory Compliance: existing collective agreements govern the conditions of researchers regarding the remuneration system.

ACTUAL GAPS

- Access to information on employment regulations on the web is distributed in different sections.

Survey

No questions related

Actions required	When											Who	
	16	17				18				19	20		21
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation

27. Gender balance

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Spanish Constitution 1978. Art 14.</p> <p>Law 14/2011, of Science, Technology and Innovation. Art. 14</p> <p>Organic Law 3/2007, for effective equality between women and men. Art 5 TÍT V. CAP I. Art 27, Art 50-54, Art 60</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 2.d. Article 104. Article 112.</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Disposición adicional tercera.</p> <p>LEGISLATIVE DECREE 2/2015 of 12 February, approving the consolidated text of the legal provisions of the Autonomous Community of Galicia in the field of equality.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Although it is not a regulation per se, the development framework for actions of Gender Balance are contained in the Strategic Plan for Equality of Men and Women (IPEIOMH) http://www.usc.es/export9/sites/webinstitucional/en/servizos/oix/descargas/II_PEIOMH.pdf

Procedures/Practices

- The university has an Office of Equality responsible for the design, implementation and dissemination of actions on gender equality. <http://www.usc.es/en/servizos/oix/index.html>
- In addition, the USC has an Interdisciplinary Centre for Feminist Research and Gender Studies (CIFEX) This centre coordinates all research and teaching projects and tasks dealing with the issues of gender relationships and of women. <http://www.usc.es/en/institutos/cifex/index.html>
- Numerous promotional activities are carried out, for example: Woman Emprende, a program to promote the creation of spin-off promoted by women, <http://www.womanemprende.org/>, the outreach activity "A scientist woman in every school" http://www.usc.es/en/servizos/oix/modules/news/news_0058.html

STRENGTHS

- Regulatory and organizational framework: Solid regulatory strength and existence of operational plans.

ACTUAL GAPS

- Improvement of the implementation level of the IPEIOMH.

Survey													
No questions related													
Actions required	When											Who	
	16	17				18				19	20		21
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Simplification of administrative procedures for selection	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

28. Career development

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of Science, Technology and Innovation (art.6, 12, 13, 14 y 25).</p> <p>Law 7/2007, Statute of Public Officials Cap II.</p> <p>Law 14/2007 of Biomedical Research Art.10.2</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU Art. 33. Art. 40 to 42. Art. 76 and 76bis, DA14.</p> <p>Organic Law 3/2007, for effective equality between women and men. Art 46</p>	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Procedures/Practices

- **The USC has an area of Orientation and Work** serving the university community. The services are aimed primarily at providing advice on job search and on actions of sectoral mobility <http://www.usc.es/en/servizos/saee/aol/>

STRENGTHS

- **The access of researchers to continuous training is fostered and facilitated:** The institution promotes access to training (e.g. permissions for teachers) within the limits of the institution (temporary limitations, financing, etc...)
- **The USC has its own range of courses of continuous training for researchers:** different departments of the university have a wide and varied range of continuous education courses: courses in the training programmes of the doctoral school (project management, writing papers, ...), courses for Administration and Services Staff and TRS, entrepreneurship courses.
- **Participation of the USC in external initiatives on transversal skills:** The USC has participated in pilot programmes in training of transversal skills based on models of best practices at European level, such as the Vitae case. (Gradschool Programme promoted by the Fundación Barrié and Xunta de Galicia).

ACTUAL GAPS

- **Although the USC has an area of orientation and employment, the activities of this area are aimed at students at the post-graduate level (masters) but not to the research community.**
- **Transversal skills associated with each stage of scientific careers are not identified.** Except for R1, where these are defined in each programme of studies.
- **There isn't a Continuous Training Programme for researchers.** Although there is a wide range of actions of continuous training provided by different services, these actions do not fall

into a specific training plan for researchers. However, there is indeed a Plan of Teaching Training and Innovation.

- **In the case of R1, specific and singular training in transversal skills is provided throughout the doctoral training but it is not certified** (e.g. courses on techniques, on instrumentation, on bibliographic searches, etc... for example, courses that qualify for the use of certain research infrastructures done by students but not certified). There are no structured and systematic processes of validation of skills. Although doctoral training includes training in transversal skills through the expertise acquired in the development of the research project, these skills are not recognized explicitly in the degrees. The annual progress report of activities of doctoral candidates can be a good tool to evaluate the acquisition of skills during the job.
- **The activities of continuous training are not designed with the aim of improving/enhancing the employability of researchers out of academia or out of the scientific arena.**

Survey

No questions related

Actions required	When											Who	
	16	17				18				19	20		21
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Map of professional skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Catalog of courses in transversal skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Certification of training in professional and transversal skills received during the doctoral period	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization

Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			ViceManagement for Staff
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Internationalisation of Doctoral Programmes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS

30. Access to career advice

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of Science, Technology and Innovation (art.6, 12, 13, 14 y 25).</p> <p>Law 7/2007, Statute of Public Officials Cap II.</p> <p>Law 14/2007 of Biomedical Research Art.10.2</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58.</p> <p>Law of Modification of LOU Art. 33. Art. 40 to 42. Art. 76 and 76bis, DA14.</p> <p>Organic Law 3/2007, for effective equality between women and men. Art 46. Art 51 a.,</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 2.d. Article 104. Article 106. Article 112.</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Article 10.2. Article 11.2n</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Procedures/Practices

- **The USC has an area of Orientation and Work** serving the university community. The services are aimed primarily at providing advice on job search and on actions of sectoral mobility <http://www.usc.es/en/servizos/saee/aol/>

STRENGTHS

- **The access of researchers to continuous training is fostered and facilitated:** The institution promotes access to training (e.g. permissions for teachers) within the limits of the institution (temporary limitations, financing, etc...)
- **The USC has its own range of courses of continuous training for researchers:** different departments of the university have a wide and varied range of continuous education courses: courses in the training programmes of the doctoral school (project management, writing papers, ...), courses for Administration and Services Staff and TRS, entrepreneurship courses
- **Participation of the USC in external initiatives on transversal skills:** The USC has participated in pilot programmes in training of transversal skills based on models of best practices at European level, such as the Vitae case. (Gradschool Programme promoted by the Fundación Barrié and Xunta de Galicia).

ACTUAL GAPS

- **Although the USC has an area of orientation and employment, the activities of this area are aimed at students at the post-graduate level (masters) but not to the research community.**
- **Transversal skills associated with each stage of scientific careers are not identified.** Except for R1, where these are defined in each programme of studies.
- **There isn't a Continuous Training Programme for researchers.** Although there is a wide range of actions of continuous training provided by different services, these actions do not fall into a specific training plan for researchers. However, there is indeed a Plan of Teaching Training and Innovation.
- **In the case of R1, specific and singular training in transversal skills is provided throughout the doctoral training but it is not certified** (e.g. courses on techniques, on instrumentation, on bibliographic searches, etc... for example, courses that qualify for the use of certain research infrastructures done by students but not certified). There are no structured and systematic

processes of validation of skills. Although doctoral training includes training in transversal skills through the expertise acquired in the development of the research project, these skills are not recognized explicitly in the degrees. The annual progress report of activities of doctoral candidates can be a good tool to evaluate the acquisition of skills during the job.

- **The activities of continuous training are not designed with the aim of improving/enhancing the employability of researchers out of academia or out of the scientific arena.**

Survey

4.3.- The USC provides support and guidance specialized in the scientific/research career for my professional development and for improving my skills and competencies. AVERAGE: 2,7. (1 to 5 scale).

5.2.- The USC promotes continuous training of researchers regardless of the stage of his/her career. AVERAGE: 2,8. (1 to 5 scale).

7.3.- In order to improve the performance of my research career, I consider relevant the existence of career development advising services. AVERAGE: 4,3. (1 to 5 scale).

7.4.- In order to improve the performance of my research career, I consider relevant the existence of a training program on transfereable skills. AVERAGE: 4,2. (1 to 5 scale).

Actions required	When										Who	
	16	17				18				19		20
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Map of professional skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Catalog of courses in transversal skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Certification of training in professional and transversal skills received during the doctoral period	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation

Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Internationalisation of Doctoral Programmes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

29. Value of mobility

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2007, of Biomedical Research Art 86.1.</p> <p>Law 14/2011, of Science, Technology and Innovation. Article 17</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives. Article 68.5-68.7. Article 76.3. Article 93. Article 98.3. Article 102. Article 103. Article 107. Article 110.1. Article 112.</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 33</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Procedures/Practices

- **The USC hosts the Galician Centre for Research Mobility.** This Centre is part of the Spanish network of Mobility Centres and the European EURAXESS network. The Centre provides information and advice to researchers visiting or returning to Galicia, to Galician organizations looking for researchers in other countries, and to Galician researchers who wish to carry out a stay in another country as part of their training. <http://www.usc.es/en/perfis/internacional/euraxess.html>

STRENGTHS

- Organization and services on mobility from the **Galician Centre for Research Mobility.**
- **Promotion of geographical mobility:** mechanisms for promoting mobility within the framework of the funding schemes of R&D&I in the European system are aimed primarily at promoting geographical mobility. In this sense, the university encourages the mobility of researchers within the inherent limits of the institution (financial, temporary, etc.) and promotes the establishment of strategic partnerships with prestigious scientific institutions that can accommodate the researchers of the USC; in this regard, the H2020 projects represent an excellent opportunity for networking. In the case of R1, the USC has its own programs to fund travel expenses for attending training activities abroad, for example in the framework of programmes such as Erasmus + (http://www.usc.es/es/centros/cptf/edi/convocatorias_anteriores.html)
- **Opportunities to boost sectoral mobility:** so far the mobility sector was not a priority in the funding mechanisms of the European R&D, more focused on promoting the outsourcing of university R&D (in Spain this was done through such schemes as Interconnecta, for example). Aiming to promote it through schemes such as mixed units or industrial doctorates, the USC can be considered as a reference (for example, we should note that it has two mixed units, the Campus houses a business technology centre, and it leads singular initiatives of collaboration with companies such as the Innopharma platform).

ACTUAL GAPS

- **The need to increase incentives to mobility**, not only from a financial standpoint, but also regulatory (ie. mobility of the teaching staff is penalized with increasing wage deductions when they move for more than three months).
- **Mobility processes are managed from the research group** based on the contacts of the researchers or on international cooperative projects. In order to maximize the chances of geographical mobility, an area for improvement is the management of the relational capital, for example, through shared databases of contacts, etc

Survey

3.4.- The assessment of merits in the selection processes of researchers in the framework of the R & D & I should include:

- Quality of scientific publications. AVERAGE: 4,3 (1 to 5 scale).
- Teaching experience. AVERAGE: 3,5 (1 to 5 scale).
- Supervision of staff. AVERAGE: 3,6 (1 to 5 scale).
- Capacity for teamwork. AVERAGE: 4,1 (1 to 5 scale).
- Knowledge transfer. AVERAGE: 3,9 (1 to 5 scale).
- R&D management. AVERAGE: 3,6 (1 to 5 scale).
- Scientific knowledge dissemination. AVERAGE: 3,9 (1 to 5 scale).
- International experience. AVERAGE: 3,9 (1 to 5 scale).
- Intersectorial mobility. AVERAGE: 3,4 (1 to 5 scale).
- Interdisciplinary mobility. AVERAGE: 3,5 (1 to 5 scale).
- Virtual mobility. AVERAGE: 3,4 (1 to 5 scale).
AVERAGE: 3,7 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Internationalisation of Doctoral Programmes	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Working Group OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Protocol and guide of the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Training under the OTM-R system	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Improvement of procedures for hiring non permanent Teaching and Research Staff.	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Academic Organization and Teaching and Research Staff

Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			ViceManagement for Staff
Procedures for admission and enrollment R1 in English	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS

31. Intellectual Property Rights

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Royal Decree Law 1/1996, Intellectual Property Law (Book I. art.7 and art.10).</p> <p>Law 14/2011, of Science, Technology and Innovation. Art. 14. Art.35</p> <p>Law 11/86, of Patents (art.1, 2, 3, 4, 5) (Disp.Adic 1ª,2ª y Disp.T.);.</p> <p>Law 10/2002, 29 abril adapting the Law of Patents to EU Directive related to legal protection of biotechnology inventions (art.1, 2, 3, 4).</p> <p>Law 20/2003, of Legal Protection of Industrial Design</p> <p>Royal Decree 55/2002 of exploitation of inventions by public research institutions</p>	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- In the field of protection of industrial and intellectual rights, internal regulations are contained in: Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf) Regulation for protection, exploitation and sharing of results of research generated at the USC (<http://www.usc.es/gl/normativa/investigacion/patentes.html>); Regulations on creating spin-offs (<http://www.usc.es/gl/normativa/investigacion/norcreaempresa.html>); Guide on protection of results and patents (https://imaisd.usc.es/ftp/oit/documentos/120_gl.pdf), etc

Procedures/Practices

- The USC has an area of services specialized in providing advice to researchers on valuation and transfer, including issues relating to the protection of results and exploitation rights. <http://www.usc.es/en/investigacion/avte/index.html>

STRENGTHS

- **Policy development, organization and processes** to promote the dissemination and exploitation of results. Highly developed management structure that directly supports researchers through outreach and support services.

ACTUAL GAPS

- The small size of the unit of valuation (in proportion to the number of researchers) determines the **reactive nature of our operations** (at the researcher demand).
- Dependence of the people of the service, **improving the structuring and systematizing processes**
- Although activities of dissemination and training are carried out, it is necessary to **improve the information and training of researchers in the field of exploitation of results.**

Survey

4.4.- The USC provides me with legal support and also support related to industrial and intellectual property thus ensuring my benefit from possible exploitation of the results of R & D. AVERAGE: 3,3 (1 to 5 scale).

6.3.- The USC keeps me informed about the national, sectorial and institutional regulations related to my training and my working conditions, for example, about the intellectual property rights. AVERAGE: 2,8. (1 to 5 scale).

6.5.- The USC facilitates the dissemination and exploitation of the results of my research. AVERAGE: 2,9. (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Information System on scientific production	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat

Map of professional skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Catalog of courses in transversal skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			ViceManagement for Staff
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vicerectorship for Research and Innovation

32. Co-authorship

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Royal Decree Law 1/1996, Intellectual Property Law</p> <p>Law 14/2011, of Science, Technology and Innovation. Art. 14.</p> <p>Law 11/1986, of 20 March, Research Patent and utility models</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 46.2.</p>	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statute of the University Ombudsman <http://www.usc.es/valedor/estatuto1.html>
- Statutes of University of Santiago de Compostela <http://www.usc.es/valedor/estatuto2.html>

Procedures/Practices

- The University Ombudsman is the dispute settlement body for issues regarding co-authorships. <http://www.usc.es/valedor/>
- The University Ombudsman is supported by a commission delegated from the University Staff Meeting (Claims Commission), formed by 7 professors: http://www.usc.es/export9/sites/webinstitucional/gl/gobierno/claustro/descargas/Comisixn_do_Claustro_2014/07112014_Comisixn_Reclamacixns.pdf

STRENGTHS

- **Policy development and conflict resolutions mechanisms.**

ACTUAL GAPS

- In the framework of internal regulations, **each research group operates autonomously with respect to practices of signature**. In the most hierarchized groups, early-stage researchers can be disadvantaged
- **Researchers should have a better understanding of conflict resolution mechanisms**

Survey

4.6.- The USC has the appropriate procedures for resolving appeals/complaints related to working conditions of researchers and conflicts with their supervisors. AVERAGE: 2,9. (1 to 5 scale).

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Information System on scientific production	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.

33. Teaching

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Law 14/2011, of Science, Technology and Innovation Art 31	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

Annual academic planning: <http://www.usc.es/es/servizos/sxopra/normativapaa.html>

Procedures/Practices

The Service of Academic Management and Programming has the aim of supporting the USC academic structures in order to develop an annual and comprehensive offer of higher education programs. The service is also responsible of organizing and regulating the annual academic planning (PAA, from "planificación académica anual"), which is approved by the Governing Council. In this planning, there is a detailed description of the different activities recognized as "teaching assignments") and also a quantification of Research Activity. PhD Thesis supervision is included in this part, but only when the thesis has already been presented and approved.

Postdoctoral researchers from national and regional programs (Juan de la Cierva, Ramón y Cajal, ...) may collaborate in teaching, with a maximum number of hours fixed by their type of contract, and once the department has authorized their collaboration. Their teaching activity is recognized and certified as for other professors and researchers. This is laid out in Articles 12.2 and 12.3 of the statutes of the USC for those researchers recruited by competitive programs of incorporation into universities that allow teaching activities .. They can also act as directors of

End-of-Degree Projects (TFG) and End-of-Master projects (TFM), which is recognized as teaching activity.

In regard to the direction of theses, the teaching activity is recognized once the thesis has been read and under certain conditions set by the annual academic planning (see internal regulations), for example: a specific number of hours are recognized and some conditions are required, such as the deadline for the completion of the thesis, grade obtained, etc

STRENGTHS

- Regulatory compliance.

ACTUAL GAPS

- There are no mechanisms of acknowledgment of the teaching activity developed in the framework of the direction of research activities
- In the case of thesis supervision, the teaching activity is only recognized when the thesis is read (figure in the analytical accounting).

Survey

4.5.- The USC facilitates and acknowledges the development of teaching responsibilities assigned to researchers. AVERAGE: 3. (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Certification of training in professional and transversal skills received during the doctoral period	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

34. Complains/ appeals

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Organic law of Universities 6/2001 , of 21 of December, LOU Art. 56 to 58. Law of Modification of LOU Art. 66.	

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

- Statute of the University Ombudsman <http://www.usc.es/valedor/estatuto1.html>
- Statutes of University of Santiago de Compostela <http://www.usc.es/valedor/estatuto2.html>

Procedures/Practices

- The University Ombudsman is the dispute settlement body for issues regarding co-authorships. <http://www.usc.es/valedor/>
- The University Ombudsman is supported by a commission delegated from the University Staff Meeting (Claims Commission), formed by 7 professors: [http://www.usc.es/export9/sites/webinstitucional/gl/gobierno/claustro/descargas/Comisixns do Claustro 2014/07112014 Comisixn Reclamacixns.pdf](http://www.usc.es/export9/sites/webinstitucional/gl/gobierno/claustro/descargas/Comisixns_do_Claustro_2014/07112014_Comisixn_Reclamacixns.pdf)

STRENGTHS

- **Policy development and conflict resolutions mechanisms.**

ACTUAL GAPS

- Researchers should have a better understanding of conflict resolution mechanisms.
- The current definition of the Ombudsman of the University Community is more geared to resolving conflicts regarding teaching matters.
- Information about the Ombudsman is mainly in Galician.

Survey

4.6.- The USC has the appropriate procedures for resolving appeals/complaints related to working conditions of researchers and conflicts with their supervisors. AVERAGE: 2,9. (1 to 5 scale).

7.1.- In order to improve the performance of my research career, I consider relevant the existence of a Code of Good Practices in Research. AVERAGE: 4,1 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Training in research management procedures	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Job Website	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination.ATIC
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation

35. Participation in decision-making bodies

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 14/2011, of Science, Technology and Innovation (art.8, 9, 10);</p> <p>Organic law of Universities 6/2001, of 21 of December, LOU Art. 56 to 58.</p> <p>Law of Modification of LOU Art. 66.</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Article 88. Article 91. Article 104</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

Statutes of University of Santiago de Compostela <http://www.usc.es/valedor/estatuto2.html>

Procedures/Practices

Researchers participate both in unipersonal and collective government bodies. The first case deals with such positions as Rector, Vicerector, Deans, etc... Researchers are also represented in collegiate bodies such as the university's Senate, the Governing Council, Department Administrations, etc

STRENGTHS

- There are mechanisms for the participation of researchers in the government and decision-making bodies, both unipersonal and collective.

ACTUAL GAPS

- The level of information about the mechanisms for participation in decision-making is improvable.

Survey

4.7.- The USC ensures the participation of its researchers in decision-making processes through the corresponding organs of representation. AVERAGE: 3. (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
III PEIOHM	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR.
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff

4.1.4 Training and Development

40. Supervision

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Royal Decree 99/2011 for the Regulation of PhD teaching. Art. 11 to 13.	LAW 6/2013, of June 13, of the University System of Galicia. Article 104.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

With respect to R1 (PhD students) at the USC, **the supervisors are the tutor and the thesis director**. Their profiles and functions are regulated by R.D 99/2011.

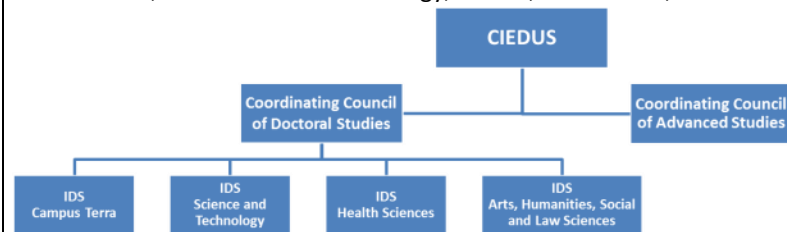
Internal regulations on doctoral studies are available in the repository <http://www.usc.es/gl/centros/ciedus/normativa.html>

Procedures/Practices

R1

Supervision procedures are conditioned by the organizational framework of doctoral training. Since July 31, 2016, doctoral training has a new organizational structure at the USC, organized in the following structures: <https://sede.usc.es/sede/publica/taboleiro/anuncio/1311/carga.htm>

- Centre for Doctoral Studies (CIEDUS): administrative function and coordination of the doctorate system at the USC.
- Coordinating Council of Doctoral Studies: coordinating body that assumes the functions of the Doctoral Committee.
- International Doctoral Schools. The four schools created are responsible for the organization of doctoral studies (structured in Doctoral Programs). The four schools are: 1-Health Sciences, 2-Science and Technology, 3- Arts, Humanities, Social and Law Sciences, 4. Campus Terra. (<http://www.usc.es/doutoramentos/>)



Due to the recent coming into operation of this organizational framework, all processes and procedures related are under review for improvement and optimization. This review also includes the supervision process.

The appointment of the **figures of tutor and director of doctoral students is carried out according to the aforementioned regulation** (RD 99/2011, USC regulation and agreement on allocation of directors).

In addition, the functions to be **developed by the supervisor** are included in "Documentary commitment of supervision".

R2A

The supervision of postdoctoral researchers is a clear gap because the figure of supervisor is not formalized as such. This function is performed by the director of the project they join, and it focuses on the development of the research project.

STRENGTHS

- **Organisational model of the doctoral training system:** the organization of the doctoral training at the Centre for Doctoral Studies and the Doctoral Schools has an impact on improving the management of various processes related to doctoral training, including supervision. For example, some benefits are: a defined hierarchical scheme, better coordination for defining new policies and practices...
- **Clearly defined hierarchy of supervision:** at programme level, a defined hierarchy (tutor, director, Academic Committee of each programme) clearly exists. Additionally, there are the school committee, the PhD coordinator committee at the CIEDUS and Director of the CIEDUS, and a mechanism for conflict resolution. The Regulation of Doctoral Studies at the USC and the Documentary Commitment of Supervision are well described and communicated to the student.
- **The figure of supervisor and his/hers functions defined in regulations and procedures:** there is a general regulation for the admission procedure and for appointing the figures of tutor and director of the doctoral student, and each programme has its own regulations approved by the ANECA.
- **Access / Dissemination of information on the supervision system:** the process of developing the thesis is described in the website including supervision. Furthermore, a meeting is held with the new students at the moment of incorporation, where the procedures are explained.

ACTUAL GAPS

R1

- **Allocation of directors:** procedures for matching the demand for doctoral studies with the capacity of theses should be improved. Each programme works autonomously, generating some asymmetries in the allocation of supervisors. For example, the admission of students is not known by the directors themselves, and sometimes, it is not known the availability and location of the proposed directors. A good practice to match students with capacities for direction of theses: some programmes require students to attach a letter of support from a director of the programme or a report on the viability of the thesis project. This mechanism could be extended to all programmes.
- **Supervision methods:** there is great diversity in the methods of supervision of doctoral students from each of the programmes.
- **Communication with supervisors:** so far the communication between the School and the supervisors is done through the coordinators; this mechanism is not always effective and does not ensure that communication with the supervisors is smooth.
- **Improvements in the management processes of doctoral training:** linked to the implementation of the new organizational model, it is necessary to address the review and rationalization of the management processes of doctoral training.
- **Linguistic aspects:** computerized processes for admission and on-line enrollment are not in English.

R2A

- **The figure of supervisor of R2 and procedures associated with this figure do not exist:** the figure of the supervisor does not exist beyond the director of the project they join.
- **The R2A have no mechanisms for supervision and protection established with guidelines or laid down procedures.** Supervision of postdocs is performed in the frame of the direction of the project they are developing. Although there is a certain homogenization of the functioning of research groups, the working dynamic of the research groups is based on criteria for each group.
- It is specially important is to establish a **Code of Good Practices for the supervision of postdoctoral students** through the coordination of the career of postdoctoral students..

- The method to control the supervision (and the conflicts that may arise) of the R2, recent PhDs, is not clear beyond the Student Ombudsman. There are no guidelines governing conflicts between R2 and their supervisors.

Survey

7.2.- In order to improve the performance of my research career, I consider relevant the existence of a system of supervision of postdoctoral researchers (with supervisors assigned). AVERAGE: 3.8 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and

														Improvement of Procedures
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					ViceManagement for Staff
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q					CIEDUS

36. Relation with supervisors

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Royal Decree 63/2006 Researchers at training stages. (Art.7) (D.a.6ª) Royal Decree 99/2011 for the Regulation of PhD teaching	LAW 6/2013 , of June 13, of the University System of Galicia. Article 104.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

With respect to R1 (PhD students) at the USC, **the supervisors are the tutor and the thesis director**. Their profiles and functions are regulated by R.D 99/2011. Internal regulations on doctoral studies are available in the repository <http://www.usc.es/gl/centros/ciedus/normativa.html>

Procedures/Practices

R1

Direction and tutoring of the thesis

- The development planned for the supervision process is found in these documents: "Documentary commitment of supervision", "Research Plan", which set the working plan with milestones and the planned programme of supervision.
- The progress and results of the process are included in these documents: "Document of activities" and "Annual Report of supervision" (both are done annually).

R2A

The supervision of postdoctoral researchers is a clear gap because the role of supervisor is not formalized as such. This function is performed by the director of the project they join, and it focuses on the development of the research project.

STRENGTHS

R1

- **Clear hierarchical layout of the supervision:** the Programme Director is in contact with the doctoral student and there is a Coordinator coordinating the directors, so the hierarchical layout of the supervision is clear.
- **Defined and procedural supervision process:** the supervision process is defined in the "Documentary commitment of supervision" and it applies to all doctoral studies at the USC. It is a contract between the institution and the student. The document is signed by the director(s), the tutor and the doctoral candidate, the programme coordinator and the director(s) of the school.
- **Record of progress:** The progress and results of the supervision process are included in the "Annual Report of supervision." The procedures for proper accountability by researchers in their field of research are clearly established through progress reports.
- **There is a system for resolving conflicts that may arise between doctoral candidates and directors:** the committees of the doctoral programmes of research, which resolve the conflicts that may arise. Ultimately, a conflict can reach the Coordination Committee of Doctoral Studies at the CIEDUS.
- **Documents related to the supervision process in English:** the Commitment of Supervision and the Research Plan are available in English, Spanish and Galician; and they may be filled out in any of the three languages.

ACTUAL GAPS

R1

- **Improvements in competences of supervision:** The current period is one of transition as the new organizational model of the doctoral training system is being implemented. The regulatory, organizational and procedural scheme regarding supervision is solved and its performance does not usually give rise to complaints from students. However, so far doctoral programs worked independently and there was no mechanism to document and facilitate the transfer of expertise in relation to supervision. The process of training of supervisors was done through the co-direction of theses.
- **Mechanisms of progress report do not include the assessment of the student on the development of the supervision process.** The follow-up report is not enough to assess the development of the relationship between the supervisor and the researcher R1. There is no information system that includes the degree of satisfaction of the students with their supervisors.

R2A

- **The figure of supervisor of R2 and procedures associated with this figure do not exist:** the figure of the supervisor does not exist beyond the director of the project they join.
- **The R2A have no mechanisms for supervision and protection established with guidelines or laid down procedures.** Supervision of postdocs is performed in the frame of the direction of the project they are developing. Although there is a certain homogenization of the functioning of research groups, the working dynamic of the research groups is based on criteria for each group.
- It is specially important to establish a **Code of Good Practices for the supervision of postdoctoral students** through the coordination of the career of postdoctoral students..
- The method to control the supervision (and the conflicts that may arise) of the R2, recent PhDs, is not clear beyond the Student Ombudsman. There are no guidelines governing conflicts between R2 and their supervisors.

Survey

5.1.- The USC promotes that researchers in their training phase and their directors/tutors keep a relationship:

- Scheduled. AVERAGE: 3,2 (1 to 5 scale).
- Beneficial. AVERAGE: 3,2 (1 to 5 scale).
- Regular. AVERAGE: 3,1 (1 to 5 scale).
- With record of progress. AVERAGE: 3,2 (1 to 5 scale).
AVERAGE: 3,2 (1 to 5 scale).

Actions required	When											Who	
	16	17				18				19	20		21
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

37. Supervision and managerial duties

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	Royal Decree 63/2006 Researchers at training stages. (Art.7) (D.a.6ª) Royal Decree 99/2011 for the Regulation of PhD teaching	LAW 6/2013 , of June 13, of the University System of Galicia. Article 104.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

En relación a las obligaciones de gestión:

- In regard to this subject, the following regulations should be noted: Regulation of research activities (http://imaisd.usc.es/ftp/oit/documentos/40_gl.pdf); Regulation for protection, exploitation and sharing of results of research generated at the USC (<http://www.usc.es/gl/normativa/investigacion/patentes.html>); Regulations on creating spin-offs

(<http://www.usc.es/gl/normativa/investigacion/norcreaempresa.html>); Guide on protection of results and patents (https://imaisd.usc.es/ftp/oit/documentos/120_gl.pdf), etc.

- Information on funding: <http://imaisd.usc.es/seccion.asp?i=en&s=-2-26-31>

Procedures/Practices

As referenced in relation to the principles 36 and 40, the supervision of researchers R1 through doctoral training procedures is the only formalized supervision at the USC.

The supervision of postdoctoral researchers is a clear gap because the figure of supervisor is not formalized as such. This function is performed by the director of the programme they join and it focuses on the development of the research project.

In regard to management obligations, the university provides support services for researchers to develop their management obligations: R&D Management area (<http://imaisd.usc.es/default.asp?i=en&s=>) and Valuation and Knowledge Transfer area (<http://imaisd.usc.es/default.asp?i=en&s=>)

STRENGTHS

In regard to the Management obligations of the directors of projects:

- Extensive development of regulations; information is available to researchers.
- Model of organization and services: highly developed management structure that directly supports researchers through the dissemination of information and services

In regard to activities of supervision, mentoring, etc...:

- There have been experiences in supervision programs at the USC which can be taken as reference for the development of the role of supervisor of R2 (in terms of the type of activities to be developed, identification of experts, etc.) For example: Programme of mentoring for students <http://www.usc.es/gl/proyectos/mentoring/index.html> or the ARGOS programme for entrepreneurs, focused on the creation of teams: <http://www.usc.es/en/investigacion/avte/emprendedores/argos.html>

ACTUAL GAPS

In regard to the function of supervision:

- Structuring and systematization of processes in R&D Management and Valuation services, and Knowledge Transfer.
- Access to information of interest for researchers: information distributed in different sections of the web
- Low use of English (documentation only available in Galician)

En cuanto a la función de supervisión:

- **The figure of supervisor of R2 and procedures associated with this figure do not exist:** the figure of the supervisor does not exist beyond the director of the project they join..
- **The R2 have no mechanisms for supervision and protection established with guidelines or laid down procedures.** Supervision of postdocs is performed in the frame of the direction of the project they are developing. Although there is a certain homogenization of the functioning of research groups, the working dynamic of the research groups is based on criteria for each group.
- It is specially important is to establish a **Code of Good Practices for the supervision of postdoctoral students** through the coordination of the career of postdoctoral students.

The method to control the supervision (and the conflicts that may arise) of the R2, recent PhDs, is not clear beyond the Student Ombudsman. There are no guidelines governing conflicts between R2 and their supervisors.

Survey													
5.1.- The USC promotes that researchers in their training phase and their directors/tutors keep a relationship: <ul style="list-style-type: none"> • Scheduled. AVERAGE: 3,2 (1 to 5 scale). • Beneficial. AVERAGE: 3,2 (1 to 5 scale). • Regular. AVERAGE: 3,1 (1 to 5 scale). • With record of progress. AVERAGE: 3,2 (1 to 5 scale). AVERAGE: 3,2 (1 to 5 scale). 													
Actions required	When											Who	
	16	17				18				19	20		21
Ph D Supervision Good Practice Guide	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Supervision of postdocs (I / III): International Benchmarking	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (II / III): Pilot project	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Supervision of postdocs (III / III): Postdocs Supervisor	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
System of Internal Quality Guarantee of the CIEDUS	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Feasibility report of the PhD Research Proposal	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charters for Services on Human Resources Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Management
Creation of the "USC Welcome Center" ("Centro de Bienvenida Internacional de la USC")	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Internationalization
Welcome Guide for new researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Charter for Services on Research Management for researchers	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation

Review procedures of allegations in doctoral training	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Satisfaction Survey on Doctoral Education	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Communication and Coordination. Area of Quality and Improvement of Procedures
Language training for management staff	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				ViceManagement for Staff
Postdoctoral Affairs Office creation	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Quality Manual for Resarch and Development Management	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vicerectorship for Research and Innovation
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

38. Continuing Professional Development

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

Relevant legislation

INTERNATIONAL LEGISLATION

NATIONAL LEGISLATION

REGIONAL LEGISLATION

Law 7/2007, Statute of Public Officials (art. 14.1.g);
Law 14/2011, of Science, Technology and Innovation (art.14.1.k);
Royal Decree 63/2006 Researchers at training stages (art. 4 and 5)

LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives. Article 67.4. Article 68.3. Article 75.2. Article 88. Article 104.
LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Article 10.2. Article 13.2.

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

-

Procedures/Practices

- The access of researchers to continuous training is fostered and facilitated: The institution promotes access to training (eg. permissions for teachers) within the limits of the institution (temporary limitations, financing, etc...).
- Services related to activities of professional development are not centralized. For example, the university has an area of work and employment orientation focused on the access to the labour market and on the mobility sector <http://www.usc.es/en/servizos/saee/aol/index.html>. In this sense, some developed activities can be taken as a reference to strengthen support services to professional development. This is the case of the Mentoring Programme, which at the moment is focused on students: <http://www.usc.es/gl/proxectos/mentoring/index.html>. With regard to continuous training, there is a Training and Teaching Innovation Program, but mainly focused on teaching <http://www.usc.es/en/servizos/pfid/index.html>. The different services of the university have training programmes that focus on the professional development of researchers, but these activities are not reflected in a programme, and are addressed in a decentralized manner. For example, the language training given by the Centre of Modern Languages (CLM) <http://www.usc.es/en/servizos/clm/index.html>, and the training actions of the Area of Valuation <http://www.usc.es/en/investigacion/avte/emprendedores/argos.html>, among others.

STRENGTHS

- **The access of researchers to continuous training is fostered and facilitated.**
- **The USC has its own range of courses of continuous training for researchers:** different departments of the university have a wide and varied range of continuous education courses: courses in the training programs of the doctoral school (project management, writing papers, ...), courses for Administration and Services Staff and TRS, entrepreneurship courses.
- **Participation of the USC in external initiatives on transversal skills:** The USC has participated in pilot programmes in training of transversal skills based on models of best practices at European level, such as the Vitae case. (Gradschool Programme promoted by the Fundación Barrié and Xunta de Galicia).

ACTUAL GAPS

- **Transversal skills associated with each stage of scientific careers are not identified.** Except for R1, where these are defined in each programme of studies.
- **There isn't a Continuous Training Programme for investigators.** Although there is a wide range of actions of continuous training provided by different services, these actions do not fall into a specific training plan for researchers. However, there is indeed a Plan of Teaching Training and Innovation.
- **In the case of R1, specific and singular training in transversal skills is provided throughout the doctoral training but it is not certified** (eg. courses on techniques, on instrumentation, on bibliographic searches, etc... e.g. courses that qualify for the use of certain research infrastructures done by students but not certified). There are no structured and systematic processes of validation of skills. While doctoral training includes training in transversal capacities throughout the expertise acquired in the development of the research project, these skills are not recognized explicitly in the degrees. The annual progress report of activities of doctoral candidates can be a good tool to evaluate the acquisition of skills during he job.
- **The activities of continuous training are not designed with the aim of improving / enhancing the employability of researchers out of academia or out of the scientific arena.**

Survey

5.2.- The USC promotes continuous training of researchers regardless of the stage of his/her career. AVERAGE: 2,8 (1 to 5 scale).

Actions required	When										Who	
	16	17			18			19	20	21		
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Map of professional skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation

Catalog of courses in transversal skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			Vice-rectorship for Research and Innovation
Certification of training in professional and transversal skills received during the doctoral period	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
CIEDUS and Doctoral School Facilities	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			CIEDUS

39. Access to research training and continuous development

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

Relevant legislation

INTERNATIONAL LEGISLATION	NATIONAL LEGISLATION	REGIONAL LEGISLATION
	<p>Law 7/2007, Statute of Public Officials (art. 14.1.g);</p> <p>Law 14/2011, of Science, Technology and Innovation (art.14.1.k);</p> <p>Royal Decree 63/2006 Researchers at training stages (art. 4 and 5)</p>	<p>LAW 6/2013, of June 13, of the University System of Galicia. Exposition of motives. Article 67.4. Article 68.3. Article 75.2. Article 88. Article 104.</p> <p>LAW 5/2013, of May 30, to promote research and innovation in Galicia. Article 2.3. Article 10.2. Article 13.2.</p>

Existing Institutional rules and/or practices

INTERNAL RULES AND PROCEDURES/PRACTICES

Internal Rules

Procedures/Practices

- The access of researchers to continuous training is fostered and facilitated: The institution promotes access to training (eg. permissions for teachers) within the limits of the institution (temporary limitations, financing, etc...).
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STRENGTHS

- **The access of researchers to continuous training is fostered and facilitated.**
- **The USC has its own range of courses of continuous training for researchers:** different departments of the university have a wide and varied range of continuous education courses: courses in the training programs of the doctoral school (project management, writing papers, ...), courses for Administration and Services Staff and TRS, entrepreneurship courses.
- **Participation of the USC in external initiatives on transversal skills:** The USC has participated in pilot programmes in training of transversal skills based on models of best practices at European level, such as the Vitae case. (Gradschool Programme promoted by the Fundación Barrié and Xunta de Galicia).

ACTUAL GAPS

- **Transversal skills associated with each stage of scientific careers are not identified.** Except for R1, where these are defined in each programme of studies.
- **There isn't a Continuous Training Programme for investigators.** Although there is a wide range of actions of continuous training provided by different services, these actions do not fall into a specific training plan for researchers. However, there is indeed a Plan of Teaching Training and Innovation.
- **In the case of R1, specific and singular training in transversal skills is provided throughout the doctoral training but it is not certified** (eg. courses on techniques, on instrumentation, on bibliographic searches, etc... e.g. courses that qualify for the use of certain research infrastructures done by students but not certified). There are no structured and systematic processes of validation of skills. While doctoral training includes training in transversal capacities throughout the expertise acquired in the development of the research project, these skills are not recognized explicitly in the degrees. The annual progress report of activities of doctoral candidates can be a good tool to evaluate the acquisition of skills during he job.
- **The activities of continuous training are not designed with the aim of improving / enhancing the employability of researchers out of academia or out of the scientific arena.**

Survey

5.2.- The USC promotes continuous training of researchers regardless of the stage of his/her career. AVERAGE: 2,8 (1 to 5 scale).

Actions required	When						Who						
	16	17		18		19		20	21				
Career development Services	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Students, Culture and SR . Area of Work Orientation
Map of professional skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Catalog of courses in transversal skills	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Preliminary study for defining a Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				General Secretariat
Research Career Plan at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Research Career Chart at the USC (2016)	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Alignment of the strategic planning of research institutes with the HR Action Plan	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Code of Good Practices in Research at the USC	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				Vice-rectorship for Research and Innovation
Certification of training in professional and transversal skills received during the doctoral period	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
CIEDUS and Doctoral School Facilites	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS
Doctoral School unit at Campus de Lugo	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q				CIEDUS

4.2 Open, Transparent and Merit-based Recruitment Check-list

	Open	Trans- parent	Merit- based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
OTM-R system					No OTM-R policy yet at the USC.
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	--	[web link]
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	--	[Date of latest update; ensure that it is sent to all staff]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	--	- Existence of training programmes for OTM-R - Number of staff following training in OTM-R
4. Do we make (sufficient) use of e-recruitment tools?	x	x		--	Web-based tool for (all) the stages in the recruitment process
5. Do we have a quality control system for OTM-R in place?	x	x	x	--	
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	-/+	Trend in the share of applicants from outside the organization
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	--	Trend in the share of applicants from abroad
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	--	Trend in the share of applicants among underrepresented groups (frequently women)

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	--	Trend in the share of applicants from outside the organisation
10. Do we have means to monitor whether the most suitable researchers apply?				--	
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		-/+	
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [<i>see Chapter 4.4.1 a) of the OTM-R expert report</i>]	x	x		-/+	
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		--	- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x		-/+	
15. Do we keep the administrative burden to a minimum for the candidate? [<i>see Chapter 4.4.1 b)</i>]	x			-/+	
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [<i>see Chapter 4.4.2 a)</i>]		x	x	+/-	Statistics on the composition of panels
17. Do we have clear rules concerning the composition of selection committees?		x	x	+/-	Written guidelines

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/- Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
18. Are the committees sufficiently gender-balanced?		x	x	+/-	
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	-/+	Written guidelines
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		+/-	
21. Do we provide adequate feedback to interviewees?		x		--	
22. Do we have an appropriate complaints mechanism in place?		x		+/-	Statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	

Comments to the OTM-R checklist:

	Answer	Comments on given answers
OTM-R system		No OTM-R policy yet at the USC.
Advertising and application phase		
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	-/+	Most are established by national/regional regulations. Most of those positions associated to research projects funding follow templates and procedures established by the university
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]	-/+	For PhD students (R1) and postdocs (R2) most of vacancies are related to national/regional competitive calls which are published in the national/regional Official journals. For University Teaching Positions (R3, R4) criteria established by national regulations should be followed.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	-/+	The minimum administrative burden according to the legal framework .
Selection and evaluation phase		
17. Do we have clear rules concerning the composition of selection committees?	+/-	For PhD students (R1) and postdocs (R2) most of vacancies are related to national/regional competitive calls which are published in the national/regional Official journals. They are selected by specific panels whose members follow pre-established rules. For University Teaching Positions (R3, R4) criteria established by national regulations are followed. Most of those positions associated to research projects funding follow procedures established by the university.
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?	-/+	For University Teaching Positions (R3, R4) criteria established by national regulations are followed

	Answer	Comments on given answers
Appointment phase		
20. Do we inform all applicants at the end of the selection process?	+/-	Results of selection are published in the university bulletin boards and the corresponding university web page
22. Do we have an appropriate complaints mechanism in place?	+/-	Most of vacant positions follow the corresponding national administrative procedures where rectification and appealing are a common practice during the selection and evaluation phase

4.3 Conclusions

4.3.1 Strengths

- With regard to the C&C, the general conclusion is that there is (and it is applied) a comprehensive **regulatory** base, in addition to **specific plans or mechanisms** related to most of the principles (Observatory of Ethics, Equality Plan, Regulation of Research Activities...), as well as **administrative procedures**.
- The **organizational model for the deployment of the action plan is solid** (people, structures, coordination and operation), particularly in key areas such as Quality, Research Management, PhD Training, Communication, etc...
- The survey concludes **that researches give approval to the compliance of the principles by the USC**, but there is ample room for improvement in this field, considered of high interest for the university community.
- The **ideal framework** is in place for strengthening policies and practices in Human Resources research and for deploying the action plan.

4.3.2 Gap Analysis

The detected Gaps were grouped into a number of Areas for Improvement that were the basis for the subsequent design of the Action Plan, through the Prioritization Process described above. These **Areas for Improvement** are:

1. Definition and formalization of the research career at USC
2. Improving the organization and the processes related to the management of Human Resources research
3. Internationalization of the recruitment and career development processes
4. Generalization and facilitation of the development of good practices in research
5. Adapting processes to the OTM-R
6. Preparing researchers integrally for their professional development
7. Improving monitoring processes
8. Managing information associated with the Charter and Code

4.3.2.1 Definition and formalization of the research career at USC

- The USC does not have a career research plan that establishes the different existing models, a plan that sets the minimum criteria to access each of them, a plan that associates the contractual modalities with funding mechanisms.
- The role of non-permanent postdoctoral researcher by project is not developed (asymmetry between contractual modality and functional profile).
- The limitations on the recruitment procedures limit the opportunities for career development.
- The current R scale does not reflect the postdoctoral casuistry regarding their functional profile and the degree of evolution throughout their research career.

4.3.2.2 Improving the organization and the processes related to the management of Human Resources research

- As a result of the lack of a research career plan, the management of Human Resources is not integrated. Although, to a greater or lesser degree, all scales have an area of support, the organizational fragmentation does not improve the visibility of the value of the services that the USC offers to the research community.
- Counselling and employment advisory services are oriented towards students.
- The USC does not have an area of postdoctoral affairs.
- It is necessary to improve the information on the selection processes. Researchers think that, in selection procedures, specifications over working conditions and explanations about the development of the process could be improved.
- Researchers feel that the selection committees are not multidisciplinary, do not include international experts, and the experience of their members is not sufficiently valued.
- The creation of an advisory service for the development of the research career is the priority action for researchers.

4.3.2.3 Internationalization of the recruitment and career development processes

- In the process of recruiting investigators for research projects, no systematic and structured processes exist to manage the international dissemination of the selection process.
- Selection processes are difficult to access for foreign researchers: physical delivery of documents, documentary requirements of access (translation of documents), homologation of titles...
- At the language level: translation of the information in English and strengthening the language skills of the management staff.
- There are no procedures for receiving foreign researchers.
- Researchers feel that the selection processes are not internationally comparable.

4.3.2.4 Generalization and facilitation of the development of good practices in research

- Although there is a regulatory framework, organizational systems and procedures to meet the principles of the C&C, the information is not structured, nor its dissemination makes it easily accessible to researchers.
- Researchers, particularly R3 and R4, feel that the USC does not handle properly the dissemination of the results of their research to the non-specialist public, nor their exploitation.
- Researchers are reasonably satisfied with health and confidentiality conditions, but not so much in relation to issues relating to information security.

4.3.2.5 Adapting processes to the OTM-R

- Reviewing the checklist on open, transparent and merit-based selection processes highlights the need to address this issue specifically in the context of the plan, especially to strengthen the comparability of processes and to attract international talent.

4.3.2.6 Preparing researchers integrally for their professional development

- There is no Continuous Training Program for researchers. Although the USC has a range of continuous training courses for researchers, this is not part of a plan and it is not disseminated in a coordinated manner.
- Transversal competencies are not identified in association to each stage of the research.
- In the case of R1, training in transversal capacities is offered throughout the doctoral training but it is not certified.
- Continuous training actions are not oriented towards improving the employability of researchers outside the scientific or academic arena.
- Researchers do not feel that the USC fosters the continuous training of its researchers and stress the relevance of establishing a training plan on transversal capacities.

4.3.2.7 Improving monitoring processes

- Although the regulatory, organizational and procedural scheme regarding the monitoring of PhD students is settled, so far doctoral programs have operated autonomously. The new organizational model is an opportunity to improve monitoring processes and to spread good practices in issues of direction of theses.
- Progress logging procedures do not reflect the evaluation of the student on the development of the monitoring process.
- Doctoral candidates are not consulted about their satisfaction with the monitoring process; however, the survey shows that in general, students are satisfied with its development (except doctoral candidates related to Engineering and Architecture).

4.3.2.8 Managing information associated with the “Charter and Code”

- One aspect common to almost all of the principles is how difficult it is to find information on each of them (scattered, outdated and sometimes exclusively in Galician).

5 ANNEX: SURVEY - CLASSIFICATION OF RESEARCH STAFF

R4

Permanent professors leading research areas who meet, at least, one of the three following requirements:

- To have all possible six-year research periods (“sexenio”) positively assessed (at least three).
- To be a “Referencia Competitiva” group leader.
- To be the head of an USC’s research institute or center.

R3

Permanent professors who do not meet the R4 requirements but carry out research and have teaching responsibilities and supervise PhD students.

R2B

Postdoctoral temporary researchers usually funded through programs such as “Ramón y Cajal”, “Marie Curie Reintegration” and “Human Frontier Science Program”. Researchers with a “Profesor Axudante Doutor” contract are also included.

R2A

Postdoctoral temporary researchers who have recently obtained a doctoral degree or have been hired within the framework of a research project. Examples: “Axudantes-USC”, “Postdoctoral Xunta de Galicia (Categories A and B)”, “Juan de la Cierva”, “Marie-Sklodowska Curie Fellowships” (Individual and Career Restart). Postdoctoral researchers hired in projects as “Investigador Asociado” are also included.

R1

PhDStudents



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