

GAP ANALYSIS

Name Organisation under review: UNIVERSIDAD PÚBLICA DE NAVARRA

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PROCESS

The HRS4R process has been carried out under a multistakeholder, inclusive and active-participatory approach, involving the whole research community, leaders, management departments and administrative and services staff. The following groups were appointed for the process:

Steering Committee (SC, responsible for supervising the process)

- Rector – Dr. Alfonso Carlosena
- Vice-rector for Research – Dr. Ramón Gonzalo
- Vice-rector for Economic Matters, Planning and Teaching Staff – Dr. Manuel Rapún
- Director of the Human Resources Service – Mr. Pedro Ardaiz
- Director of the Research Service – Mr. Benigno Gómez
- General Manager – Mr. Joaquín Romero

Working Group (WG, responsible for implementing the process)

- Director of the Area of Research Resources and Structures – Dr. Pablo Sanchis (R3, Associate Professor, Technology and Engineering)
- Head of the Knowledge Transfer Unit – Mr. Iosu García (staff)
- Director of the Organization and Quality Service – Ms. Piedad Muelas (staff)
- Head of the Personnel and Recruitment Unit – Mr. José Antonio Marañón (staff)
- Director of the Area of Professor Staff – Dr. Arantxa Villanueva (R3, Associate Professor, Technology and Engineering)
- Deputy Director of the Doctoral School of Navarre – Dr. Beatriz Rodríguez Sanz de Galdeano (R3, Associate Professor, Economic and Legal Sciences)
- Representative of the Research and Teaching Staff – Dr. Pedro Pascual, (R4, Professor, Economic and Legal Sciences)
- Representative of the Research and Teaching Staff – Dr. Paz Francés, (R2, Assistant Professor, Economic and Legal Sciences)
- Representative of the Research and Teaching Staff – Ing. Miguel Araiz, (R1, Predoctoral Researcher, Technology and Engineering)

In addition, the following **university departments and units** were involved in the process:

- Vicerrectorate for Research
- Vicerrectorate for Teaching Staff
- Human Resources Service
- Research Service
- Organization and Quality Service
- Doctoral School of Navarre
- Research Committee of the university

- International Relations Unit
- Health and Safety Unit
- Research Institutes of the university: Institute of Smart Cities, Institute for Advanced Materials, Institute for Advanced Research in Business and Economics and Institute for Innovation & Sustainable Development in Food Chain

Above all, inclusion of the **Research Community** in the process was a top priority from the first moment. As it is shown below, the community was informed through both meetings and electronic communication tools, and consulted by means of two surveys, one for R1 researchers and the other one for R2, R3 and R4 researchers. The first one achieved a response rate of 38% (58 out of 151 researchers) and the second one 61% (398 out of 651 researchers). That means that, in total, 456 out of 802 researchers took part in the consultation process, a very satisfactory rate. With these actions, the research community became aware that the HRS4R is a strategic commitment that involves all stakeholders that take part in the research activities of the university. The results of the surveys made it possible to develop the Gap-analysis, as well as to propose the actions included in the Action Plan and prioritize these actions according to both the previous analysis and the answers of the research community. The detailed results of the surveys can be consulted at <http://www.unavarra.es/investigacion/hrs4r-in-upna/action-plan?languaged=1>.

In order to involve the previous groups in the Gap-analysis and the HRS4R process, the following phases and steps were carried out:

A. Preliminary phase

- *March-April 2016*. Preliminary analysis of the applicability of the process to the university, involving Research, Human Resources and Quality Services. The analysis concluded that HRS4R would be very positive for the university and, consequently, the university Board of Management decided to implement the strategy.
- *May 2016*. Appointment of the Steering Committee and the Working Group.

B. Gap Analysis phase

- *June – September 2016*. Communication of the process to the UPNA Research Community, including researchers and staff from the Research, Human Resources and Quality Services. Open presentations for the community were given by representatives of the Steering Committee and the Working Group, highlighting the main aspects and advantages of the implementation of the HRS4R strategy for the university. Extensive information about HRS4R, particularly concerning the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, was also provided to the Research Community by electronic communication tools.
- *June - September 2016*. Internal gap analysis, managed by the Working Group. For the analysis, the following departments and units were involved and consulted: Research Service, Human Resources Service, Quality Service, International Relations Unit, Doctoral School of Navarra, Research Committee, and Research Institutes of the university.
- *September 2016*. Preparation of the questionnaire and survey, managed by the Working Group and approved by the Steering Committee.
- *October 2016*. Survey to the Research Community, with a high rate response. The results were made accessible to the whole research community at the end of October by posting them on UPNA website.

C. Action Plan phase

- *October 2016*. Analysis of the survey and development of the Action Plan, managed by the Working Group. The actions were ranked depending on their impact on the university strategy, the C&C principles and the

researchers. The following departments and units were involved and consulted: Research Service, Human Resources Service, Doctoral School of Navarra, UPNA Research Institutes, and International Relations Unit.

- *November 2016*. Prioritization of actions and approval of the Action Plan by the Working Group and the Steering Committee.

- *November 2016*. Publication of the Action Plan on the website.

- *December 2016 – December 2018*. Execution and monitoring of the Action Plan, being responsible for that the Dpt. and Units shown below.

More information about this process can be found at:

<http://www.unavarra.es/investigacion/hrs4r-in-upna?languageId=1>

GAP ANALYSIS

The outcome of Universidad Pública de Navarra's Internal Gap Analysis of the 40 principles of the Charter and Code is presented below.

In the annex, completed Open, Transparent and Merit-based Recruitment Check-list is also presented.

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers
UNIVERSIDAD PÚBLICA DE NAVARRA (UPNA)
INTERNAL GAP ANALYSIS

I. Ethical and professional aspects

1. Research freedom			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Article 20 of the Spanish Constitution - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law 6/2001 of Universities (Art. 2) - Statute of Universidad Pública de Navarra 	<p>The Statute of Universidad Pública de Navarra, UPNA, (article 66) clearly specifies that supports and promotes research freedom, as one of its essential functions, and recognizes and emphasizes that this research may be basic research (frontier research) and applied research.</p> <p>Besides external sources of funding for research, all internal calls for funding have a bottom-up approach, and researchers have total freedom to choose their research topics and lines. In the pursuit for external funding, University professors have no limitation to apply to any call or topic, and their involvement in any privately financed research is always voluntary.</p> <p>All these principles are not gathered in any Code of Best Practices for Research or Code of Best Practices for Doctoral School of Navarra Researchers, and are not made public or known specifically among researchers</p>	<p>Compilation of all research freedom and research principles in a Code of Best Practices for Research (in Spanish, Basque and English)</p>	<p>Vicerrectorate for Research Research Service Research Committee Ethics Committee Doctoral School of Navarra Board of Government Human Resources Service</p>

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, sectorial or institutional Codes of Ethics.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<p>- General: Spain's law 14/2011 of Science, Technology and Innovation (art. 14 and 15)</p> <p>- Data protection: Spain's law 15/1999 of Personal Data Protection</p> <p>- Research on humans: Helsinki's declaration on "Biomedical research on human beings" updated in Tokio 1975, Venetia 1983 and Hong Kong 1989 EC Directive 2001/20/CE</p> <p>- Research on animals: 86/609/CEE Spanish RD 1201/2005 on Animal experiments</p> <p>- GMOs: Spain's law 9/2003 and RD 178/2004 Regional law DF 204/1998</p> <p>- Biological agents: Spain's law 31/1995 and RD 664/1997</p>	<p>Universidad Pública de Navarra's Ethics Committee was established in 2004 for the supervision of the research activities that may be protected by ethical laws and principles.</p> <p>This Ethics Committee has a written procedure for the submission of research projects that need to be supervised but:</p> <ul style="list-style-type: none"> • The laws and rules affecting ethical principles are not updated and compiled into a single document • This principles and procedures are not clearly communicated to researchers. 	<p>Compilation of all ethical practices, laws and principles into an Ethical Code or within a Code of Best Practices for Research (in Spanish, Basque and English). This Ethical Code or Code of Best Practices may identify values and responsibilities for researchers and research staff.</p> <p>Make more visible the procedure to follow in order to submit a project or research experiment to be supervised by the Ethics Committee of Universidad Pública de Navarra.</p>	<p>Vicerrectorate for Research Research Service Research Committee Ethics Committee Doctoral School of Navarra Board of Government Human Resources Service</p>

3. Professional responsibility			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law on Intellectual Property (RD 1/1996) - Statute of Universidad Pública de Navarra - Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights 	<p>For all R1 researchers the Doctoral School of Navarra provisions and information about originality, innovation and plagiarism of research are given.</p> <p>Among R2-R3-R4 researchers those provisions and principles are observed but not gathered or compiled in any document</p>	<p>Compilation of all IPR, originality, plagiarism, joint data ownership and professional principles into an Ethical Code or within a Code of Best Practices for Research (in Spanish, Basque and English).</p> <p>Include a chapter of professional responsibility in the Code of Best Practices</p>	<p>Research Service Research Committee Ethics Committee Doctoral School of Navarra Board of Government Human Resources Service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's law 14/2011 of Science, Technology and Innovation - Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations, etc.) 	<p>UPNA has recently developed and published its Strategic Action Plan 2016-2019, with clear specific goals for Research.</p> <p>Open research funding calls and opportunities are evenly disseminated by various information channels to researchers</p> <p>UPNA regularly organises courses and information days about funding mechanisms and opportunities</p> <p>Researchers involved in specific projects, programmes and calls are evenly informed about the needed approvals and their obligations</p>	No action required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's legislation on Workers Regulations - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law 6/2001 of Universities - Spain's law 11/1986 (and 24/2015) of Patents - Statute of Universidad Pública de Navarra (art. 70) - Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations.....) - Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights - Spain's law RD 898/1985 on the dedication of University Professors 	<p>Working Conditions UPNA has internal regulations for the recruitment and working conditions of researchers (under revision).</p> <p>IPR UPNA has clear regulations on IPR (Art. 70 of Statute of UPNA) and a clear procedure for the communication and protection of the research results. The rules and procedures for the communication of research results are clearly published (in Spanish) in website.</p> <p>Moreover, principal investigators have full access to the contracts and grant agreements with the IPR terms and conditions of the sponsors and funders of their research.</p>	<p>Compilation of all contractual laws and regulation affecting researchers, and the legal consequences of their conduct and acts into a Code of Best Practices for Research.</p>	<p>Research Commission Vicerrectorate for Research Doctoral School of Navarra</p>

6. Accountability			
<p>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.</p> <p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - European, national and regional legislation on transparency in the public sector, sound, transparent and efficient financial management, and public sector accountancy. - Navarra's law 6/2006 of public contracts - Navarra's law 13/2007 of Inland Revenue - Navarra's law 19/1984 regulating the Court of Audits (Cámara de Comptos) - ISSAI - International Standards of Supreme Audit Institutions - Specific rules and legislation set by research funders and sponsors (H2020, MINECO, INTERREG, private research funding organizations, etc.) 	<p>Researchers are always supported by administrative and technical staff in their purchasing, accountancy, payments, financial management and financial reporting of funds.</p> <p>There is an internal transparency guarantor (internal auditor and audit service) and external auditor (Court of Audits – Cámara de Comptos) that regularly audits and controls the accountability of research activities and expenditure and guarantees the compliance with all the legislation and the observance of the principles of sound, transparent and efficient financial management.</p> <p>The internal audit service and internal auditor act following the procedures and rules set by the Social Council of UPNA and reports directly to this Council.</p>	No action required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's legislation on Labor Risk Prevention - Agreement of the Council of Universities reached on 22/09/2011 for the implementation of Labor Risk Prevention laws in Spanish Universities - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law 6/2001 of Universities - Spain's law 11/1986 (and 24/2015) of Patents - Statute of Universidad Pública de Navarra (art. 70) - Spain's law 15/1999 of Personal Data Protection 	<p>Health and Safety: The internal Health and Safety Unit watches over the compliance of the legislation and safe working practices, and they have a plan and inventory of health and safety risks.</p> <p>All the information, legislation and procedures is gathered and public in a website (only Spanish). Together with the Mutual Insurance Company there are multiple services such as Psychological Advice, Medical Assistance, multiple training courses on health and safety....</p> <p>There are health, emergency and safety plans for each building in Campus</p> <p>IT Risk management: IT service of University has different data storage units available for researchers where several data recovery and back-up measures are taken (in various decentralized and distributed servers)</p>	<p>Health and Safety: Translate into English and make visible and accessible to all researchers information about Health and Safety. Include information in a Welcoming Pack for new researchers that may know who to contact if they need to learn more about these issues.</p> <p>Make more visible the assistance and training services on health and safety.</p> <p>IT disasters: Explore the range and scope of the given backup service and prepare a "IT Risk Management System"</p>	<p>Vicerrectorate for Research Health and Safety Unit IT services</p>

8. Dissemination, exploitation of results			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's law 14/2011 of Science, Technology and Innovation - Specific rules of funding agencies and sponsors H2020, MINECO, etc. - Spain's law 2/2011 on Sustainable Economy. - Spain's law 11/1986 (and 24/2015) of Patents 	<p>Publication and dissemination of results: Research Service regularly informs and advises researchers participating in research projects where OpenAccess policy is mandatory. University Library regularly organizes courses on open repositories, OpenAccess publications and OpenAccess policies. There is a Publishing Service for scientific books and magazines and a Digital Documents Repository.</p> <p>Protection and commercialization of results: Article 70 of statutes clearly established the need to communicate to university research results that may need to be protected. Research Service regularly organizes meetings with researchers to explain the need for protection and the way to combine the protection procedures with the publication of results.</p> <p>There is a Knowledge Transfer Unit for results exploitation and commercialization.</p> <p>Several complementary learning activities for young researchers with topics related to dissemination and valorisation of research results are organized by the Doctoral School of Navarra.</p>	<p>Gather all the principles concerning dissemination and valorization of research results in a Code of Best Practices of Research.</p>	<p>Vicerrectorate for Research</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's law 14/2011 of Science, Technology and Innovation - Specific rules of funding agencies and sponsors H2020, MINECO, etc. on improving public's understanding of science (Swafs, MSCA fellows involvement, etc.) 	<p>Universidad Pública de Navarra created in 2007 a Unit for Scientific Culture in order to help researchers spread their research and results among the society at large and improve public's understanding of their science.</p> <p>In 2016 a new Unit for Knowledge Dissemination has been created in order to improve the communication of Science to Society, and to increase the participation of researchers in activities lead to improve the awareness in society about research activities.</p>	<p>Improve the dissemination to UPNA community about the activities carried out by UCC and the service they give to researchers.</p> <p>Inclusion of provisions about science dissemination and communication of Science to society in a Code of Best Practices of Research.</p> <p>Organization and participation of more events and activities of science with and for society such as dissemination events, initiatives for children and young people, initiatives with schools and companies, open laboratories and open doors initiatives....</p>	<p>Unit for Scientific Culture</p> <p>Unit for Knowledge Dissemination</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spanish Constitution - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law 6/2001 of Universities - Statute of Universidad Pública de Navarra (Additional Disposition 7) 	<p>The Statute of UPNA clearly states the principles of non-discrimination against researchers, professors, employees or students in any way, especially on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</p> <p>There is a Gender Equality Unit and a Gender Action Plan included in University's Strategic Plan. The Gender Equality Unit works in sensitization and training activities and makes regular diagnosis that ensure the compliance with all the equality principles.</p> <p>A Social Action Unit supports the implementation of non-discriminatory principles in UPNA community, and has a support programme for people with disabilities and ethnic minorities.</p>	No action required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's Law RD 63/2006 on the Statute of Doctoral Researchers - Spain's Law Orden CIN/2657/2008 the evaluation of Doctoral Researchers - Spain's Law RD 1052/2002 on the Accreditation for the hiring of University Professors. - Spain's Law RD 1086/1989 on the evaluation and additional rewards of University Professors - Navarra's Law DF 37/2009 on the evaluation and additional rewards of University Professors 	<p>There are national and regional systems for the evaluation of research activities of researchers (for R3 and R4)</p> <p>For predoctoral researchers (R1) there are clear evaluation procedures set by national laws and University's Doctoral School of Navarra.</p> <p>There is an internal indicators based system to monitor and evaluate research performance of Research Groups annually.</p>	<p>Establishment of evaluation systems for excellent researchers.</p>	<p>Vicerrectorate for Research Research Committee Board of Government</p>

II. Recruitment

12. Recruitment			
Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December: establishes PDI recruitment should be made through an open & public procedure, with wide publicity and respecting the constitutional principles of Equality, Merit and Ability - Law of Science, Technology and Innovation 14/2011, of 1st. of June, establishes Researchers selection procedures ensuring the Constitution principles of Equality, Merit and Ability and ensuring a Career Development Transparent, Open, Equal and Internationally recognised - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, de 12 de may). - Foral Decree 36/2009, of 20th April, ruling the legal status of PDI - PDI Collective Labour Agreement - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). - Royal Decree 1312/2007, of 5th. October, establishing National Accreditation for University Professor to become civil servant - Royal Decree 1313/2007, of 5th. October, ruling the Access to civil servant Professor procedures 	<p>No evidence of a specific ways for disadvantaged people or researchers back to research career</p> <p>Through rules and regulations ensures non-discrimination policies</p> <p>Research return guaranteed to every researcher, although their situation (leaves, licences, etc.)</p> <p>Clear requirements ruled by high level regulations.</p> <p>Access and Admission rules clearly explained</p>	<p>No action required</p>	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<p>Rules.- Organic Law of Universities 6/2001, 21st. December: establishes PDI recruitment should be made through an open & public procedure, with wide publicity and respecting the constitutional principles of Equality, Merit and Ability</p> <ul style="list-style-type: none"> - Law of Science, Technology and Innovation 14/2011, of 1st. of June, establishes Researchers selection procedures ensuring the Constitution principles of Equality, Merit and Ability and ensuring a Career Development Transparent, Open, Equal and Internationally recognised - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, de 12 de may). - Foral Decree 36/2009, of 20th April, ruling the legal status of PDI - PDI Collective Labour Agreement - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). - Royal Decree 1312/2007, of 5th. October, establishing National Accreditation for University Professor to become civil servant - Royal Decree 1313/2007, of 5th. October, ruling the Access to civil servant Professor procedures 	<p>Open, Transparent and Efficient Recruitment Procedures as mentioned in principle 12, those procedures are established by valid rules.</p> <p>Recruitment advertises describe the required competences. Job profiles are focused in the Research fields</p> <p>Solely researchers contract periods are short term, because of this, application period are short as well.</p> <p>Long-term contract it should be interesting to enlarge Application periods.</p> <p>Regarding Researchers application through professor recruitment procedures on-going and no on-going, all the administrative contents are included as e.g. call, periods, Nationwide publication, warrant committees, scales, complaints, etc.</p>	<p>Launching and starting up of a Welcome Service for new professors and researchers</p> <p>New regulation development for researchers recruitment helping to develop the Researcher Career and allows to state the calls, periods, complaint procedures, international spreading in English (when necessary)</p> <p>Code of Best Practices for Research establishment including a Chapter of Researcher recruitment describing the process and scale information</p>	<p>Vicerrectorate for Research</p> <p>Vicerrectorate for Teaching Staff</p> <p>Human Resources Service</p> <p>Research Service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th May). - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). - Royal Decree 364/1995, General regulation Civil Servant Admissions -Foral Decree 113/1985, Civil Servant Admission In Navarra Regulation 	<p>Private sector member are not legally accepted as part of selection committees, although it is possible to seek for their advice and opinions in the processes through reports.</p> <p>PDI regulation plans an equal inclusion between women and men and guarantees training, competences and experience levels in Selection Committees</p> <p>External expert assessment is unusual. Personal interviews are planned and are used when necessary</p>	<p>New Researchers Recruitment Regulation to ensure the competences and experiences of Committee members.</p> <p>Code of Best Practices for Research in the Researcher Recruitment chapter should include best practices for selection Committees start-up and operation</p>	<p>Vicerrectorate for Research</p> <p>Vicerrectorate for Teaching Staff</p> <p>Human Resources Service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	<p>Spreading and Publicity guaranteed by PDI and Researcher Regulation</p> <p>Candidates Strengths and Weakness reports fitting the post are provided by the PDI Regulations</p> <p>Candidates can complain and are aware about how to.</p>	<p>Introduction of clear procedures to allow candidates to access evaluation reports with detail of the strengths and weaknesses of their applications and resumes in a new regulation for the recruitment of researchers.</p> <p>Analysis of the minimum information that must be included in the calls and position announcements regarding recruitment process, selection criteria and number of available positions.</p>	<p>Vicerrectorate for Research</p> <p>Vicerrectorate for Teaching Staff</p> <p>Human Resources Service</p>

16. Judging merit (Code)			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	<p>Rules of Research Recruitment take into account qualification and research experience, including all kind of merits at quanti- and qualitative level.</p> <p>Within the recruitment process, the merits are detailed on the basis of the adaptation to the work to be carried out</p>	<p>Development of a Code of Best Practices for Research including the judging merits</p>	<p>Vicerrectorate for Research Human Resources Service Research Service</p>

17. Variations in the chronological order of CVs (Code)			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	<p>Selection committees assess overall professional development without penalizing chronological variations</p>	<p>No action is required</p>	

18. Recognition of mobility experience (Code)			
Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	<p>Mobility is a merit that is taken into account in the selection process.</p> <p>The university, through various calls, (such as the Training of Research Personnel (called FPI) for R1) promotes mobility as a valuable contribution to the professional development of the career.</p>	No action is required	

19. Recognition of qualifications (Code)			
Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	In the process for recruitment of researchers, the scales guarantee the recognition of qualifications, mobility, merit and seniority assessment (qualification levels coincide with the needs of the position).	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Rule of non-permanent PDI recruitment (Agreement of 7th. September of 2016). - Rule of PhD professor civil servant (Agreement of 7th. September of 2016). - Rule of Research Recruitment (Agreement of 15th. September of 2006). 	In the process for recruitment of researchers, the scales guarantee the recognition of qualifications, mobility, merit and seniority assessment (qualification levels coincide with the needs of the position).	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Foral Decree 36/2009, of 20th April, ruling the legal status of PDI 	The university annually offer calls for postdoctoral contracts, which clearly establish the rules and guidelines, maximum duration and objectives of the appointments.	No action is required	

III. Working conditions and social security

22. Recognition of the profession			
All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, de 12 de may). - Statute of workers - Collective agreement of the PDI of the university. 	<p>All researchers, included R1, have employment contract. The rights, terms and conditions for each category are the same regardless of the duration of the contract.</p> <p>R1 are included within the group of Teaching Staff and Researcher (PDI).</p>	No action is required	

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 sectorial 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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. - Law on prevention of occupational risk (PRL) 	<p>The university, through its departments and research institutes, provides to researchers with the appropriate equipment, facilities and opportunities, and guarantees health and safety prevention measures in accordance with current regulations.</p>	<p>No action is required</p>	

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, <i>inter alia</i> , 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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. 	<p>As a public administration, all the benefits, advantages, conciliation measures and licenses established in the current legislation are fulfilled and guaranteed. All personnel have the right to enjoy their corresponding permits.</p> <p>Likewise, the University provides facilities to make family life compatible: Playroom service, application of permits, etc.</p>	No action is required	

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 <i>EU Directive on Fixed-Term Work</i> .			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. 	The regulatory framework is strict, especially regarding the figures of teachers. Stability is the permitted by law and by economic resources.	Develop a new Regulation for the Recruitment of researchers that includes and details the possible contractual figures, and that these allow to identify the different stages in the development of the research career.	<ul style="list-style-type: none"> Vicerrectorate for Research Vicerrectorate for Teaching Staff Research Committee Human Resources Service
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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, de 12 de may). - Statute of workers - Collective agreement of the PDI of the university. 	The regulatory framework is strict and depends on the funding entities (Government of Navarra). All university researchers, especially R1, have included the social security protection and are paid progressively according to the professional level in which they are.	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Action Plan for Gender Equality of the Public University of Navarra 	<p>The regulations already recognize equal opportunities in terms of gender in recruitment and in subsequent professional stages.</p> <p>In addition, the UPNA is committed to gender equality, with a specific Equality Unit, and an Equality Plan.</p>	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. 	<p>The university has a professional development strategy for its researchers, especially for R1, in which the development strategy is coordinated by Doctoral School of Navarra, thesis tutors, supervisors and academic commissions of Doctorate Programs.</p> <p>In the case of R2 (and R3), the professional development strategy is supervised by the director of the fund, the responsible of the research group or the main researcher of the project to which the R2 is ascribed.</p>	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. 	Mobility is recognized by the different regulations as one of the main aspects in the research career. The university favours mobility within this regulatory framework, with specific calls for grants and academic licensing.	No action is required	

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May). - Statute of workers - Collective agreement of the PDI of the university. 	<p>The university's professional development strategy includes access to career guidance for researchers. In the case of R1, those responsible for their professional orientation are the Doctoral School of Navarra and the thesis tutor. In the case of R2 (and R3), the director of the fund, the head of the research group or the main researcher of the project to which the R2 is ascribed, are the responsible person in charge of the professional guidance required by the researchers.</p>	<p>To increase the training workshops about career options for researchers, directed mainly to main researchers so that they can offer professional advice to the researchers they are supervising. Specific workshops about European projects under the H2020</p>	<p>Doctoral School of Navarra Research Service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Law of Science, Technology and Innovation 14/2011, of 1st. of June - Law 2/2011 sustainable economy - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May), art 70 - Spain's law on Intellectual Property (RD 1/1996) - Spain's Criminal Code, art 270-277 regarding crime against intellectual property rights 	<p>The regulatory framework is strict and fulfilled. In addition, specific training is given to PDIs related to their industrial and intellectual property rights.</p> <p>For informing, advising and helping researchers, UPNA has a Knowledge Transfer Unit that implements innovative procedures for the detection, protection, valorization and exploitation of research results and background emerged from the projects and research carried out by its researchers.</p>	<p>Development a Code of Best Practices for Research that includes the relevant information about IPR</p>	<p>Research Service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Spain's law 14/2011 of Science, Technology and Innovation - Spain's law on Intellectual Property (RD 1/1996) - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May) 	<p>Selection commissions value co-authorship within the candidate's merit of researchers' merits.</p> <p>The right of the researcher to be recognized as co-authors of any research results is known, guaranteed and respected. It is also included in the training part of the R1.</p>	<p>Include in the Code of Best Practices for Research these rights and principles, in order to improve their diffusion, especially for R2, R3 and R4.</p>	<p>Vicerrectorate for Research Research Service</p>

33. Teaching			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Spain's law 14/2011 of Science, Technology and Innovation - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May) - Collective agreement of PDI - Regulatory guidelines for PDI. - Calls for pre- and postdoctoral researchers 	<p>Regulations establish the teaching and research framework by which the PDI is regulated (in the case of teachers). In this context, it is pointed out that both activities, teaching and research, are fundamental and must be compatible. In addition, for intensive research dedication, the guidelines of the university establish deductions for dedication to research projects and for the direction of doctoral theses.</p> <p>In the case of R1, the university prioritizes its research, since they are at the beginning of their careers. And in the case that R1 requests it, the calls and associated regulations allow a small teaching dedication, which is then recognized and valued in the evaluation systems.</p>	<p>No action is required</p>	

34. Complain/ appeals			
Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May) - Defender of the university community of UPNA 	<p>The Defender of the University Community channels complaints of researchers.</p> <p>Rules clearly establish procedures for complaints on recruitment committees' decisions.</p> <p>Finally, in the case of R1 researchers, the university does not have a specific procedure to solve conflicts between supervisor and R1. This is an important issue since these researchers are at the beginning of their research career.</p>	<p>Implementation of a protocol led by Doctoral School of Navarra for resolution of conflicts between supervisor-R1.</p> <p>Incorporation to the Manual of Best Practices for Research.</p>	<p>Doctoral School of Navarra</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Organic Law of Universities 6/2001, 21st. December - Statute of Universidad Pública de Navarra (Foral Decree 110/2003, 12th. May) - Collective agreement of PDI 	<p>Researchers with teaching activities are represented on the PDI Committee and on the Contracted Personnel Committee.</p> <p>They are also represented in the Research Commission, and through this, in the commissions of the university that deal with subjects related with research: Editorial Committee, Council of Government, etc.</p> <p>They are also part of the Academic Commissions of the Doctorate Programs, and, through these, of the Doctoral School of Navarra</p>	No action is required	

IV. Training

36. Relation with supervisors			
Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Internal Regulation of Doctoral School of Navarra - General guidelines for official doctoral studies: RD 99/2011 - Regulatory rules of doctorate at the UPNA - Academic Commissions of the Doctorate Programs (Memories of the Doctorate Programs) 	<p>Internal Regulation of the Doctoral School of Navarra establishes the duties of both PhDs' tutors and supervisors. In order to guarantee this supervision, the thesis supervisors have to make two annual reports regarding R1 fulfilling of their research plan and the training activities.</p> <p>Both the PhD supervisor and the Academic Committees of the Doctorate Programs use a SIGMA-based internal web platform to manage, verify, oversee and approve the activities of the PhD researcher. The platform is also used by the Doctoral School of Navarra.</p>	<p>Elaborate a mediation protocol between supervisor and R1</p> <p>Launching and starting up of a Welcome Service for new professors and researchers</p> <p>Welcome workshop with R1</p>	<p>Doctoral School of Navarra</p> <p>Research service</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Internal Regulation of Doctoral School of Navarra - General guidelines for official doctoral studies: RD 99/2011 - Regulatory rules of doctorate at the UPNA - Academic Commissions of the Doctorate Programs (Memories of the Doctorate Programs) 	<p>A seminar is held at Campus Ibero for supervisors of thesis about training in teaching techniques.</p> <p>Thesis supervision activities are included in the researchers teaching program.</p>	<p>Conferences for thesis supervisors (some are already done), leadership of research teams, etc.</p> <p>They are actions for supervisors (expert researchers) to be held in a training program that also includes the actions of principle 36.</p>	<p>Doctoral School of Navarra</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Internal Regulation of Doctoral School of Navarra - General guidelines for official doctoral studies: RD 99/2011 - Regulatory rules of doctorate at the UPNA - Academic Commissions of the Doctorate Programs (Memories of the Doctorate Programs) - Internal Regulations of UPNA Research Institutes - Internal Regulation of the Higher Center for Educational Innovation (UPNA) 	<p>Extensive range of activities are organized complementing researchers' records: workshops on bibliographic managers, specific software courses (R, Matlab, LaTeX, AutoCAD), seminars on technology transfer and innovation, and language courses focused on investigation. In addition, a large number of courses on teaching tools are included in this offer, as well as seminars, workshops, etc., some of them organized by the Research Institutes. There is a policy of assistance for congress attendance and mobility of researchers. Doctoral School of Navarra collaborates in helping the commissions of the doctoral programs to carry out thematic training activities.</p>	<p>Make a calendar and an annual package of funds (integrating and stable planning of all funds) Dissemination days organized by the Research Institutes.</p>	<p>Doctoral School of Navarra Research Service Research Institutes</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Internal Regulation of Doctoral School of Navarra - General guidelines for official doctoral studies: RD 99/2011 - Regulatory rules of doctorate at the UPNA - Academic Commissions of the Doctorate Programs (Memories of the Doctorate Programs) - Internal Regulations of UPNA Research Institutes - Internal Regulation of the Higher Center for Educational Innovation (UPNA) 	<p>There is a Doctoral School of Navarra's training program for R1. Each doctoral program includes in its guide the number of hours of training that each assigned R1 must fulfill during the years of implementation of the thesis.</p> <p>Access to this training is guaranteed (courses are free with a variety of schedules). The R1 are obliged to carry out a certain number of activities to achieve cross-cutting competences.</p> <p>The university has a high coverage rate of predoctoral grants and mobility grants.</p> <p>Possibility of obtaining academic licenses by the PDI for training and research stays outside the university.</p>	<p>Project to analyze and support the integration of doctors in industry, with the aim to increase the attitude of the companies towards the incorporation of doctorees to their staff.</p>	<p>Doctoral School of Navarra</p>

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Internal Regulation of Doctoral School of Navarra - General guidelines for official doctoral studies: RD 99/2011 - Regulatory rules of doctorate at the UPNA - Academic Commissions of the Doctorate Programs (Memories of the Doctorate Programs) 	<p>The Academic Commissions of the different Doctorate Programs are responsible for assigning the tutors and thesis supervisors. Commissions should guide the research lines of the program. There are conditions for supervisors and tutors that guarantee the level of research experience. In the case of external supervisors, the tutor is a researcher at UPNA.</p> <p>The university includes the supervision of doctoral theses as a teaching activity recognized from the third year of thesis. The Coordinators of the PhD Programs are recognized for their management activities with a reduction in their teaching capacity.</p>	<p>Development of a protocol to solve conflicts between supervisor-doctoral researchers.</p> <p>Modification of the requirements to be supervisor or tutor of thesis, in order to include also non-permanent teachers, keeping the requirement of sufficient researchers merits.</p>	<p>Doctoral School of Navarra</p>

Annex: Open, Transparent and Merit-based Recruitment Check-list¹					
<i>OTM-R checklist for organisations</i>					
	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)
OTM-R system					
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	++ <i>for the recruitment of professors or lecturers</i> -- <i>for the recruitment of researchers</i>	[Date of latest update; ensure that it is sent to all staff] Rationale: For the recruitment of professors and lecturers there are two sets of regulations with clear rules and procedures, it has been distributed and disseminated to all the staff. For the recruitment of researchers a new regulation has to be developed and after that a clear guide of procedures and practices should be produced and included in the Code of Best Practices for Research
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	-/+	Rationale: For the recruitment of professors and lecturers selection criteria and the composition of selection committees are reviewed and controlled, under a highly rights-based claim system, including specific commissions for that. For the recruitment of researchers a previous control of the selection criteria and the composition of selection committees is performed by Human

¹ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					Resources and Research Services before the launch of the call
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-	[Trend in the share of applicants from outside the organisation] Rationale: For the recruitment of professors and lecturers, there is a high rate of external candidates. Calls are shared and disseminated among all Universities in Spain. For the recruitment of researchers, there is a low rate of external candidates.
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)]
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	[Satisfaction surveys among researchers]
10. Do we have means to monitor whether the most suitable researchers apply?				+/-	[Rate of unfilled positions] Rationale: The calls rarely are unfilled. The principal researchers in charge of the positions usually the most suitable candidates, always taking into account the size of this university, and also budgetary and regulatory limitations
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		+/-	[Written guidelines] Rationale: There are written guidelines for the advertising of positions, but there should be more adapted to promote the publication of the calls in English and in international advertising sites.
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 ²]	x	x		<i>++ for the recruitment of professors and lecturers -/+ for the recruitment of researchers</i>	Rationale: More elements should be included in the job advertisements for the recruitment of researchers. The new regulation for the recruitment of researchers should include this, and index covers with all this references should be added to all

² <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					advertisements. Clear guidelines for this should be included in the Code of Good Practice for Research.
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] Rationale: All the positions funded by H2020 are published in Euraxess Jobs and also all those positions with international scope
14. Do we make use of other job advertising tools?	x	x		+/-	Rationale: Official website of University is used for all positions, and calls are published in the Official Journal of Navarra when necessary. In the case of the calls for the recruitment of professors and lecturers, an advertising system to spread calls among all Spanish universities is used
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			+/-	Rationale: The requested documents are those strictly necessary to assess the candidates. The lack of electronic tools makes difficult the reduction of the administrative burden for the selected candidates. In some cases, some supporting documents are requested at the time of signing the contract
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) ⁴⁵]		x	x	++	[Statistics on the composition of panels] Rationale: There are clear rules on the appointment of selection committees both for the recruitment of professors and lectures and for the recruitment of researchers. The appointment is always public and the process is clearly regulated
17. Do we have clear rules concerning the composition of selection committees?		x	x	++ for the recruitment of professors or lecturers -- for the recruitment of researchers	[Written guidelines] Rationale: External experts or inter-sectorial members are not included.
18. Are the committees sufficiently gender-balanced?		x	x	+/-	[Statistics on the composition of the panels] Rationale: Rules on the gender composition of the committees are not set but clear rules about gender equality and non-discrimination govern our

					University. The composition of the committees is not always gender-balanced.
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	++ for the recruitment of professors or lecturers -/+ for the recruitment of researchers	[Written guidelines] Rationale: For the recruitment of professors and lecturers there are clear regulations and selection criteria... Rules are clear; they are given to and used by selection committees.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Rationale: In all recruitment processes, all the results and information on steps taken are published in time for candidates in the website.
21. Do we provide adequate feedback to interviewees?		x		+/-	Rationale: For the recruitment of professors and lecturers, all candidates are informed and they are given a report on their results and the results of all candidates, guarantying their access to all the information of the selection file anytime. For the recruitment of researchers, an individual report on the evaluation results is not given to each candidate.
22. Do we have an appropriate complaints mechanism in place?		x		++	Rationale: Regulations clearly establish the complaint mechanisms for professors, lecturers and researchers.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	Rationale: Such an assessment system is not in place. Nevertheless, HR Service is aware of all these indicators. Internal meetings including Research and HR Services for the implementation of such an assessment system should be held.