ARAID Foundation - GAP Analysis

The Human Resources Strategy for Researchers incorporating the Charter and Code

Step I - An internal analysis by ARAID, involving all ARAID Staff, to compare policies and practices against the Charter & Code principles

HRS4R Pre - Step I actions:

The ARAID Foundation endorsed the charter and code for researchers
The ARAID foundation joined the 4th Cohort of Institutions aiming to implement an HRS4R

Methodology:

1. Communication of the start of HRS4R procedure. Information provided to all Staff.
2. Organization of a Plenary Meeting with all Staff of ARAID, informing about the HRS4R process.
3. Organisation of a working group with 3 ARAID researchers (volunteers out of total 40) + Director, Project Manager and Secretary.
4. Working group GAP analysis.
   a. Revision on the questionnaire-GAP analysis template provided by the EU
   b. Filled present situation, legal requirements, local national and EU legislation.
   c. Initial priorization of the Charter & Code principles, discussion within the working group.
   d. Revision of Good Practices by other Institutions.
   e. Organization of a National Meeting with other HRS4R Institutions, to share best practices and EU& national legal frame.
   f. Identification of a strategy suiting the size and characteristics (umbrella) of ARAID (IMDEA Institute).
   g. Decision to perform a survey using all questions in the GAP analysis template by all ARAID Researchers to identify the main Charter & Code principles in opinion of all the staff, and obtain feedback on how the Researchers did perceive ARAID situation.
   h. Study of the results and priorization of both working group and survey demands.
   i. Decision to stablish a Quality Process to support the HRS4R plan implementation.
   j. Decision to stablish actions within 2 foundation ruling documents to support and standardize their implementation.

SURVEY on Charter & Code principles:

The working group decided to imitate one of the Good Practices Example (that of Foundation IMDEA) and run a survey on the Charter & Code principles for all research personnel, including all points on the GAP analysis template - Charter & Code principles template.

The survey and its results are available online at: https://docs.google.com/forms/d/1jKY9zTIqsjsOJeuNmHBmoGZBNzv8YSK77fSHQcysAG0/viewform
The survey enabled the whole research personnel to provide their opinion, prioritize and propose actions, and results serve as revision of the working group pre-selected areas/principles of initial actions. It was considered also as a way to evaluate the perception of the present situation of the Foundation at the start of the HRS4R process and establish a first channel of communication between Direction and Research Staff on HRS4R.
The survey requested to value the actual state of each point of the Charter & Code principles in ARAID, to assign priority to tackle this principle, and also propose initial actions. The survey was answered by all the Research personnel of ARAID. Research personnel of ARAID are at R2 R3 or R4 in their career stage.
Example on question 1 and 2 (of 40):

I. Ethical and professional aspects

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.
Present Status at ARAID
Please assign a Percentage of Completion / Coverage of this principle at ARAID

Priority to tackle the issue?
Which priority do you assign to this item in the future ARAID action plan

(Optional) Propose actions: Actions proposed should be accurate and realistic. Propose your actions. Please keep actions in SMART: Simple, Specific, Measurable, Achievable, Relevant, Time-bound.

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.

Present Status at ARAID

Please assign a Percentage of Completion / Coverage of this principle at ARAID

[____ ▼]

Priority to tackle the issue?

Which priority do you assign to this item in the future ARAID action plan

[____ ▼]

(Optional) Propose actions: Actions proposed should be accurate and realistic. Propose your actions. Please keep actions in SMART: Simple, Specific, Measurable, Achievable, Relevant, Time-bound.

Extract from the HRS4R Survey – Principles set by ARAID Researchers as having top priority

Survey Questions	(A+)+A	(A+)+A+B
25) Stability and Permanence of Employment	86%	97%
8) Dissemination, Exploitation of Results	73%	97%
28) Career Development	70%	94%
26) Funding and Salaries	76%	92%
22) Recognition of the Profession	72%	92%
39) Access to Research Training and Continuous Dev.	68%	92%
24) Working Conditions	77%	91%
23) Research Environment	79%	90%
7) Good Practice in Research	68%	90%
31) Intellectual Property Rights	63%	90%

Actions & Principles

WORKING GROUP: The outcome of the working group established the need for stablishing a quality process and prepare statuary reference documents that will serve as internal rules of the Foundation and will enable a quality process for the HRS4R implementation.

These 2 documents do contain many of the improvement actions required by the GAP analyses, other deliverables were envisaged as well.

The main deliverables:

1. Best Practices (BP) Manual/Code for Research, in ARAID: This Document will contain the welcome information for new researchers and serve as a charter & code itself within ARAID, containing the description of the rights and obligations of the Researchers and External Evaluators, stablishing procedures for evaluation of the External evaluator capacity and performance as well.

2. Reference Document of ARAID Internal Rules (IR): There are several routine activities not included in the Foundation Legal Statutes. The GAP analysis evidenced that the Foundation lacks an internal ruling document in which define certain procedures such as those with Career development and prospect, roles tasks and responsibilities of the research and administrative staff, including also IPR rules for authorship, and exploitation of results, and particularly on the evaluation and recruitment.

3. Annual Training Plan (its related actions include provisions for training on Dissemination and IPR)

4. Report on Risk assessment for each job (coordinated with Health Check results and Data privacy revision and training).

5. Legal Frame Agreements with Host Institutions (the existing and new ones will accommodate actions on Researchers Careers and working conditions)

6. ARAID Website and Intranet as main channel for Dissemination of the Foundation activity and Researcher's achievements (it includes actions on service catalogue, publication of results, and transparency of processes and procedures. ARAID Intranet and new procedure for preparation of Research Reports (individual progress and overall annual reports)

The Human Resources Strategy for Researchers incorporating the Charter and Code

I. Ethical and professional aspects

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 (permitting or impeding the implementation of this principle)	**Existing Institutional rules and/or practices**	**Actions required**	**When/Who**
Law 14/2011 of Science, Technology and Innovation (PDF)	Araid Legal Statutes	1- Preparation of the documents Best Practices Manual/Code for Research, in ARAID and Reference Document of ARAID Internal Rules (IR) and Board Approval	1- May 2015 + Annual Administration Department and Board Members
Recommendations for the implementation of good scientific practice" – Comité de Bioética de España (PDF)	Frame agreements with Host Institutions		
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón	Regional R&D Plan: "Plan Aragonés de Investigación y Desarrollo"		
	"Internal Regulation of Host Research Centres"	2- Document Repository	2- May 2015 Administration Department
	Risk Assessment and Prevention Guidelines host Research Centres		

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
Recommendations for the implementation of good scientific practice" – Comité de Bioética de España	Araid Legal Statutes	1- Preparation of the documents Best Practices Manual and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members
Law 14/2011 of Science, Technology and Innovation	Frame agreements with Host Institutions		
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón		2- Document Repository	2- May 2015 Administration Department

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Law 14/2011 of Science, Technology and Innovation (PDF)	Frame agreements with Host Institutions	1- Preparation of the documents Best Practices Manual and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón		2- Document Repository	2- May 2015 Administration Department

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
	Frame agreements with Host Institutions	1- Preparation of the documents Best Practices Code and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members
	Internal Rules of Host Institutions (CSIC and UNIZAR)	2- Document Repository	2- May 2015 Administration Department

5. Contractual and legal obligations: 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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Work national legislation	Frame agreements with Host Institutions	1- Preparation of the documents Best Practices Code and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members
Standard Work Contracts for Graduates, Estatuto General de Trabajadores		2- Document Repository	2- May 2015 Administration Department

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Ley de subvenciones	Frame agreements with Host Institutions	Internal annual report + Intranet +website	June 2015 (yearly revised each June) + ongoing
Ordenes de Bases y Convocatorias	Routine Practices		
Financial Guidelines & Rules of participation (UE)			Administration Department
Autonomic Government special accountability rules			

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
Recommendations for the implementation of good scientific practice" – Comité de Bioética de España (PDF)	Frame agreements with Host Institutions	Report on evaluation risks in jobs	Continuous Process
Ley Orgánica de Protección de datos de carácter personal (15/1999) (PDF) y Real Decreto Real Decreto 1720/2007 de Desarrollo de la Ley (HTML)	Routine Practices		Administration Department and Regional Private Health Insurance (MAZ)
Ley 31/1995 de Prevención de Riesgos Laborales (PDF)			

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Ley de Subvenciones	ARAID legal Statutes	1 -Training on Communication skills towards public media – Annual Training Plan	1 - May 2015
Ordenes de Bases y Convocatorias		2 - Annual report research activity + Research activity (Intranet+website)	2 - June 2015 (yearly revised each June) + Ongoing Administration Department
Participation Rules (UE)			

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
	Routine activities	Annual report research activity + Research activity (Intranet+website)	June 2015 (yearly revised each June) + Ongoing Administration Department
	Website		

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
Ley Orgánica 3/2007 de 22 de Marzo, por la igualdad efectiva de hombres y mujeres (BOE 71 22/03/2007)	Araid Legal Statutes	1- Preparation of the documents Best Practices Code and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Ley de la Discapacidad (to guarantee 2% of human resources into the staff)	Routine Practices	2- Document Repository	2- May 2015 Administration Department
	COFUND evaluation procedures		

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**
Evaluación sexenios investigación de la CNEAI	Routine Practices	1- Preparation of the documents Best Practices Code and Internal Rules (IR) and Board Approval	1- May 2015 + Annual review Administration Department and Board Members
Grupos de investigación reconocidos por el Gobierno de Aragón	Routine Practices and regional Projects	2- Document Repository	2- May 2015 Administration Department

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**
Law 14/2011 of Science, Technology and Innovation	Routine practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website	1- May 2015 (Annual review) and Call information at each Recruitment Call
	ARAIDEU COFUND recruitment rules	2-Improve the use and review the appropriateness of the intranet	2- March 2015 (Revised annually) Administration Department

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
Guía de contratación pública	Routine practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website	1- May 2015 (Annual review) and Call information at each Recruitment Call
Legislación de Trabajo	COFUND recruitment strategy		
Informes Tribunal de Cuentas		2-Improve the use and review the appropriateness of the intranet	2- March 2015 (Revised annually) Administration Department

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
Guía de contratación pública	Routine practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website	1- May 2015 (Annual review) and Call information at each Recruitment Call
Legislación de Trabajo	COFUND recruitment strategy		
Informes Tribunal de Cuentas		2-Improve the use and review the appropriateness of the intranet	2- March 2015 (Revised annually) Administration Department
		3 - Rate the Evaluator/Scientific Committee Performance and preparation.	3- February 2016 Administration Department and Board Approval (if required)

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**
	Routine practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website	1- May 2015 (Annual review) and Call information at each Recruitment Call
	COFUND recruitment strategy	2-Improve the use and review the appropriateness of the intranet	2- March 2015 (Revised annually) Administration Department

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 (permitting or impeding the implementation of this principle)	**Existing Institutional rules and/or practices**	**Actions required**	**When/Who**
Evaluación sexenios investigación de la CNEAI	Routine Practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website	1- May 2015 (Annual review) and Call information at each Recruitment Call
		2-Improve the use and review the appropriateness of the intranet	2- March 2015 (Revised annually) Administration Department
		3 - Rate the Evaluator/Scientific Committee Performance and preparation.	3- February 2016 Administration Department and Board Approval (if required)

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	Routine Practices		
	Each Selection Process establishes the general criteria for selection. The evaluation of the Chronological order depends on each process.		

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
Law 14/2011 of Science, Technology and Innovation	Routine Practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website 2-Improve the use and review the appropriateness of the intranet	1- February 2016 (Annual review) and Call information at each Recruitment Call 2- March 2015 (Revised annually) Administration Department
	Frame agreements with Host Institutions	3-Service Catalogue of the ARAID Researchers Activity	3- December 2016 Administration Department

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
Evaluación sexenios investigación de la CNEAI Grupos de investigación reconocidos por el Gobierno de Aragón	Routine practices	1- Transparency in evaluation and selection process – IR and publication in ARAID website 2-Improve the use and review the appropriateness of the intranet	1- May 2015 (Annual review) and Call information at each Recruitment Call 2- March 2015 (Revised annually) Administration Department

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
	Routine Practices		

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
Law 14/2011 of Science, Technology and Innovation	Routine Rules in ARAID		
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón			

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
Law 14/2011 of Science, Technology and Innovation	ARAID Legal Statutes		
Evaluación sexenios investigación de la CNEAI			
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón	Frame agreements with Host Institutions		

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
Grupos de investigación reconocidos por el Gobierno de Aragón	Legal Statutes	Review Frame Agreements with Host Institutions	December 2017 (Revised annually and updated if required)
Convocatorias diversas	Research Strategic Plan of ARAGON		Administration Department and Host Institution representatives
Plan nacional – Líneas de Actuación	Frame agreements with Host Institutions		
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón			
Ley 31/1995 de Prevención de Riesgos Laborales (PDF)			

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 sectorial 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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Ley 31/1995 de Prevención de Riesgos Laborales	Frame agreements with Host Institutions	Review Frame Agreements with Host Institutions	December 2017 (Revised annually and updated if required)
	Routine Practices		Administration Department and Host Institution representatives

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
Work national legislation	Internal Regulation of ARAID		
	Call conditions and requirements		

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 sectorial 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
Work national frame (and level) contracts	Routine Practices		
	Frame agreements with Host Institutions		

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
Ley Orgánica 3/2007, para la igualdad efectiva de hombres y mujeres (BOE 71 22/03/2007)	Routine Practices	Research Career - Reference Chapter in Internal Rules document	May 2015 (Revised annually and updated if required)
	COFUND recruitment strategy		Administration Department and Board Approval

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
	Frame agreements with Host Institutions	Research Career - Reference Chapter in Internal Rules document	May 2015 (Revised annually and updated if required)
			Administration Department and Board Approval

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

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**
	Routine Practices		
	Annual plenary meetings		

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**
Law 14/2011 of Science, Technology and Innovation	Routine Practices	Intellectual property rights – Reference in rules of procedure document	May 2015 (Revised annually and updated if required)
LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón			Administration Department and Board Approval
	Frame agreements with Host Institutions		

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**
Evaluación sexenios investigación de la CNEAI	Routine Practices		
Law 14/2011 of Science, Technology and Innovation	"Best Practices Code for Research, in the ARAID"		

LEY 9/2003 de fomento y coordinación de la investigación, el desarrollo y la transferencia de conocimientos en Aragón	Frame agreements with Host Institutions	Review Frame Agreements with Host Institutions	December 2017 (Revised annually and updated if required) Administration Department and Host Institution representatives

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	Routine Practices		
	Frame agreements with Host Institutions		

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 (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
		Structure a rule for representation of Researchers	February 2016 Administration Department and Board Approval (if required)

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
	ARAID Statutes	Structure a rule for representation of Researchers	February 2016 Administration Department and Board Approval (if 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
	Routine Practices	1- Annual reports of the Host Institutions 2- Review Frame Agreements with Host Institutions	1- December 2017 (Updated every December) 2- December 2017 (Revised annually and updated if required) Administration Department and Host Institution representatives
	Frame agreements with Host Institutions		

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
	Routine Practices		
	Frame agreements with Host Institutions		

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
	Routine Practices	Annual Training Plan	May 2015 (Renewed each May) Administration Department
	Frame agreements with Host Institutions		

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
	Training Courses Routine Practices	Annual reports of the Host Institutions	December 2017 (Updated every December) Administration Department and Host Institution representatives
	Frame agreements with Host Institutions		

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
	Routine Practices		
	Host Institution Agreements		