

# THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS (HRS4R)

FUNDACIÓN CENTRO NACIONAL DE INVESTIGACIONES  
CARDIOVASCULARES CARLOS III  
(CNIC)



## Brief description of the institution/organization

In spite of the enormous advances in diagnosis and treatment witnessed over the last 20 years, cardiovascular diseases continue to be the main cause of death in the developed world. The costs generated in economic, social and human terms are immense. In response to this reality, in 1999 the Spanish Health Ministry, through the Carlos III Institute of Health (ISCIII), authorized the creation of the “Centro Nacional de Investigaciones Cardiovasculares Carlos III” (CNIC) with the aim of bringing together the best of Spanish cardiovascular research and providing it with a modern infrastructure and ample funding to perform world-leading biomedical research.

In December 2005, the Spanish Government signed an agreement with a group of the most important Spanish companies to form the Pro-CNIC Foundation. This agreement signaled the commitment of these companies to providing a significant part of the funding for the CNIC’s research activity and to supporting the creation a centre at the forefront of cardiovascular research, devoted to the honest pursuit of science and the interests of society at large. With the creation of the Pro-CNIC Foundation, the CNIC was born as a new model approach to cardiovascular research with a clear focus on fostering close collaboration between basic and clinical research and converting acquired knowledge into real health benefits.

The CNIC is governed by a Foundation (Law of Foundations 50/2002, December 26), a new flexible administrative model that provides a legal framework and ensures accountability in the management of the centre’s budget. The Foundation is an official state organization and its accounts are compiled and audited by the State Public Accounts (Intervención General del Estado) and are submitted for final approval to the Court of Auditors (Tribunal de Cuentas), ensuring transparency in the administration of the Centre’s resources.

The CNIC’s scientific activities are reviewed and analyzed by the External Scientific Advisory and Evaluation Committee (SAB) which is composed of senior leading figures from some of the most prestigious international research institutions. The SAB ensures transparency and objectivity in the direction of the CNIC’s science and training policies, in the establishment of agreements and collaborations, and in the evaluation of the centre’s research scientists. It reports directly to the CNIC’s Governing Council, which is presided over by Estate Secretary for Scientific Research.

However, this evaluation process is only applicable to junior and senior researchers (group leaders) but not to postdoctoral or predoctoral ones who are internally evaluated.

For all of them, the CNIC’s recruitment policy is guided by principles of excellence in scientific achievement, merit and equality of opportunity in the access to employment.

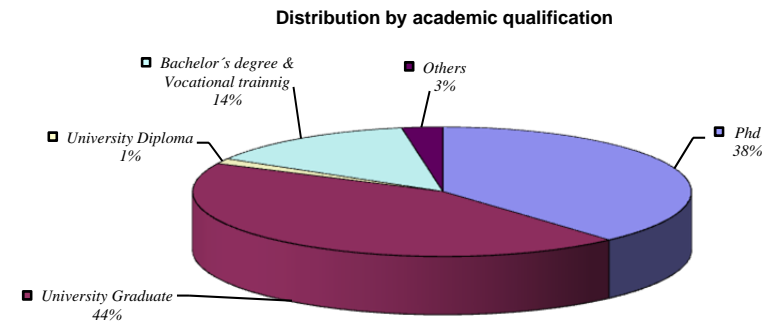
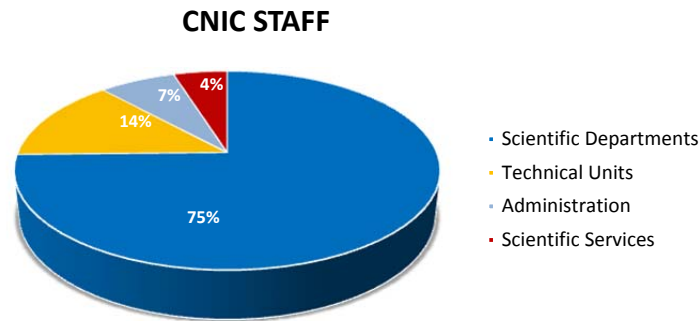
Researchers recruited to head a laboratory are employed by the CNIC on contracts that include a clause specifying a periodic scientific evaluation by the SAB. Salaries are competitive with other European centres and additional support is provided to finance research projects and hiring of staff.

Within the limits and regulations laid out in the CNIC’s internal procedures, researchers have guaranteed independence in the management of their funds, resources, purchases and staff. This system has been adopted by other European research organizations, and proved as a successful model in training a large cadre of scientists who have colonized and fertilized many institutions throughout the world. This model seems particularly suited for the CNIC: a very focused programme, an international research staff recruited solely on the basis of research expertise, potential and complementarity of interests, excellent research infrastructure and budgetary support, as well as a highly collaborative and interactive organization.

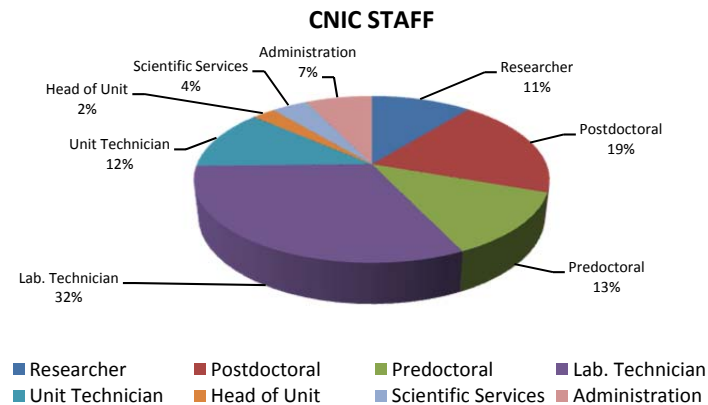
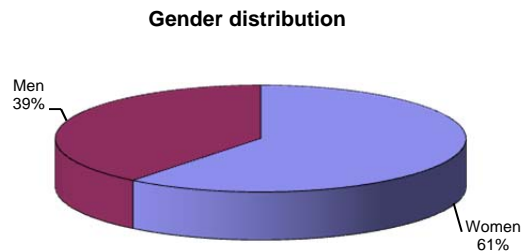
## Research and Training at CNIC

The CNIC’s scientific project focuses on three main areas: basic research, translational medicine and education-training. This approach will enable the centre to accomplish its objective of leading cardiovascular biomedical science through an innovative integration of basic and applied research in this field.

The CNIC is a center that focuses on personal development, training and knowledge (83% of staff have university degree)



The centre is currently composed by 377 people, with the next representation of career stages and genders:



*The CNIC treats all applicants and employees equally irrespective of nationality, ethnic origin, gender, marital or parental status, sexual orientation, creed, disability, age or political belief. Confidentiality is guaranteed throughout the selection process and all current regulations relating to the protection of personal data will be strictly adhered to.*

## CNIC Strategy

The Strategy in Centro Nacional de Investigaciones Cardiovasculares Carlos III (CNIC) is in line with the "European Charter for Researchers and The Code of Conduct for the Recruitment of Researchers"(C&C).

The Human Resources Strategy for Researchers – HRS4R has 5 steps:

1. HR Policy Institution Internal Analysis in relation to C&C principles (Gap Analysis)
2. Publication of the Strategy/Action Plan
3. European Commission (EC) approval and Excellence Logo concession
4. Strategy Implementation and Self- evaluation (at least every two years)
5. External evaluation (at least every four years)

An internal CNIC Work Group has carried out an internal analysis that has resulted in an Action Plan developed to reduce the detected gaps being recently approved by the Board of Directors.

The EURAXESS Work Group is made up of:

- Antonio Ureña (Human Resources Director) in connection with the Work Council and the Trade Unions
- Luzma García (Head of Project Management & TTO)
- Julia Redondo (Scientific Policy Manager and Member of the Board of Directors)
- Renato López (Benefits and Compensation Policy Manager )

## Step 1: Internal analysis

To carry out internal analysis, The EURAXESS Work Group conducted several meetings with different CNIC committees in order to debate and incorporate the restraints, claims, complaints, suggestions for improvements, etc.

These meetings have consisted of:

- Monthly Works Council Meetings

Works Council is made up of 13 employees who have been democratically elected in trade union elections. These employees have different roles and responsibilities and belong to four different areas (research, technical units, research support services and administration).

The trade unions represented in the Works Council are:

Comisiones Obreras (CCOO)

Coalición Sindical Independiente de Trabajadores-Unión Profesional (CSIT-UP):

Unión General de Trabajadores (UGT):

CCOO	CSIT-UP	UGT
1 Postdoctoral Researcher	1 Head of Unit (Animal Facilities)	2 Laboratory Technicians
1 Department Manager	1 Laboratory Technician	1 Maintenance Technician
2 Laboratory Technicians	1 Administrative Technician	
1 Administrative Technician	1 Support Technician	
1 Store Technician		

- Monthly Equality Plan meetings
- Quarterly Health and Safety meetings
- Fortnightly Board of Directors Meetings

Other committees:

Research Committee	Predocctoral Research Committee	Anti-bullying Committee
8 People	4 people	4 people

Scientific Activities Committee	Web Committee	Transgenic Animal Facility Committee
7 People	6 People	7 People

Biosafety Committee	Infrastructure Committee	Advanced Image Committee	Health and safety committee
7 People	8 People	8 People	6 People

Library Subcommittee	Cell Culture Subcommittee	Technology Subcommittee	Infrastructure Management Subcommittee
4 People	5 People	4 People	4 People










The following document shows that CNIC provides excellent working conditions in terms of human resource ( a salary higher than the Spanish average, a very complete program to support researchers, postdoctoral and predoctoral, an ambitious training plan, an excellent social benefits plan , the latest scientific equipment and research-support infrastructure and optimal work environment ) , but also it shows some shortcomings which had emerged in the last years, especially the staff's concern on employment stability in an adverse economic situation.

All policies and procedures are relevant to both researchers and other employees that are widely and constantly consulted through specialized committees in a wide variety of matters and trough the Work Council that allow them to participate and suggest improvements in these policies and / or procedures. This participation implies a direct involvement of employees and researchers in particular, which facilitates the implementation of the plan and therefore the success of these actions.

The EURAXESS Work Group have analyzed together with the various committees, 40 basic principles that have been encompassed in four key areas

- I. Ethical and professional issues
- II. Recruitment
- III. Working conditions and social security
- IV. Training

This joint work has resulted in the following shortages and the subsequent action plan:

-  Development of a code of good research practices.
-  Increase participation in public events in order to disseminate the CNIC research work
-  Promote the extension of external evaluations for postdoctoral researchers by an external review committee.
-  Rewarding mobility in recruitment procedures
-  Inform about EURAXESS services.
-  Publish all research offers in EURAXES JOBS and other international media
-  Promote the gender balance in the recruitment selection.
-  Extend a relocation policy for all researchers
-  Develop a plan for job stability (conversion of temporary contracts into permanent ones)

## Gap Analysis

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Spanish Constitution</b> Art 44. 2, Article 20. 1, Article 20. 4, Article 149. 15º)</p> <p><b>Law 14/2011, of Science, Technology and Innovation.</b></p> <p><b>Law 14/2007 of Biomedical Research</b></p>	<p><b>Payment Policy and Professional Classification</b> which includes royalties, patents, overheads, and other rights</p> <p><b>Addendum to the employment contract</b> which does include Confidentiality Rules, Inventions, Know-how, Procedures and Patents, Conflict of Interest, Data Protection, Work Health and Safety, Scientific Evaluation etc..</p>	Not needed	

#### 2. Ethical principles

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

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who



<b>Law 14/2011, of Science, Technology and Innovation</b>	CNIC Ethics Committee. February 2009  Anti-bullying Committee. February 2011  Health and Safety Committee. May 2010  Payment Policy and Professional Classification  Addendum to the employment contract	To develop a Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014
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### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b>	Payment Policy and Professional Classification  Addendum to the employment contract	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014

### 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	Existing Institutional rules and/or practices	Actions required	When/Who

<b>Royal Decree 63/2006</b> Researchers at training stages  <b>Law 14/2007 of Biomedical Research</b>  <b>Royal Decree 1716/2011</b> , Biobanks  <b>Royal Decree 2132/2004</b> , Requisites for research with human ESC  <b>Royal Decree 223/2004, Medicine Clinical Trials</b>	Payment Policy and Professional Classification  Addendum to the employment contract	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014
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### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Royal Decree 63/2006</b> Researchers at training stages  <b>Law 14/2007 of Biomedical Research</b>  <b>Royal Decree 1/1995, Worker Statute</b>  <b>Law 11/86, of Patents</b>  <b>Royal Decree 55/2002 of exploitation of inventions by public research institutions</b>	Payment Policy and Professional Classification  Addendum to the employment contract  Welcome Guide	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 38/2003, of Subsidies</b>  <b>Law 14/2011, of Science, Technology and Innovation</b>  <b>Law 14/2007 of Biomedical Research</b>	Payment Policy and Professional Classification  Addendum to the employment contract	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014

**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	Existing Institutional rules and/or practices	Actions required	When/Who
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<p><b>Spanish Constitution</b> Art 40.2.</p> <p><b>Law 31/1995, Health Risk Prevention.</b> Safety and Health Committee</p> <p><b>Law 14/2011, of Science, Technology and Innovation.</b> Art10. Spanish Ethics Committe.</p> <p><b>Organic Law 15/1999, Personal Data Protection</b></p> <p><b>Law 14/2007 of Biomedical Research</b></p>	<p>Payment Policy and Professional Classification</p> <p>Addendum to the employment contract</p> <p>CNIC Procedures for Development and Declaration of Rights and Obligations about Safety and Health y the work place.</p> <p>Emergency and evacuation guide in case of fire, flood, bomb threat</p> <p>Penalties procedure in case of failure of obligations in safety and health in the work place</p> <p><b>Biosafety Guide (Rights and Obligations).</b></p>	<p>Code of Good Research Practices and Research Integrity Committee</p>	<p>Research Committee</p> <p>Board of Directors</p> <p>Works Council</p> <p>June 2014</p>
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<p><b>8. Dissemination, exploitation of results</b></p> <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 14 are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Law 14/2011, of Science, Technology and Innovation.</b> Cap II.</p> <p><b>Law 14/2007 of Biomedical Research</b></p> <p><b>Royal Decree 55/2002 of exploitation of inventions by public research institutions</b></p>	<p>Payment Policy and Professional Classification</p> <p>Addendum to the employment contract</p> <p>News dissemination through CNIC website</p> <p>Elaboration of CNIC Scientific annual report</p>	<p>Not needed</p>	

<b>9. Public engagement</b>			
<p>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.</p>			
<b>Relevant legislation</b>	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><b>Law 14/2011, of Science, Technology and Innovation</b> Cap III(arts.33, 34, 35 y 37)</p> <p><b>Law 14/2007 of Biomedical Research</b></p>	<p>News dissemination through CNIC website</p> <p>Elaboration of CNIC Scientific annual report</p>	<p>Code of Good Research Practices and Research Integrity Committee</p> <p>Improve a CNIC Participation in Popular science events, and a greater collaboration with other research's centers.</p> <p>Open Door Day</p>	<p>Research Committee</p> <p>Board of Directors</p> <p>Works Council</p> <p>June 2014</p> <p>Communication Department</p> <p>June 2014</p>

<b>10. Non discrimination</b>			
<p>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.</p>			
<b>Relevant legislation</b>	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><b>Spanish Constitution. Art 14 , Art 9.2, .Art 35.1</b></p> <p><b>Royal Decree 1/1995, Worker Statute</b> Sec 2, Art 4.2.c), Art17. 1</p> <p><b>Organic Law 3/2007, for effective equality between women and men.</b></p>	<p>Gender Equality Plan</p> <p>Anti-bullying protocol and Anti-bullying Committee.</p>		

<b>11. Evaluation / appraisal systems</b>			
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.			
<b>Relevant legislation</b>	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p><b>Law 38/2003, of Subsidies</b> (art. 22).</p> <p><b>Royal Decree 887/2006</b>, Regulation of Law 38/2003 of Subsidies. Título I. (art.60).</p> <p><b>Law 14/2011, of Science, Technology and Innovation</b> (art. 5, 16 y 25.5 y disp. Trans. 5ª).</p>	<p>Payment Policy and Professional Classification</p> <p>Addendum to the employment contract</p>	<p>Extend the external evaluation to postdoctoral researchers to guarantee the impartiality of the process. (External Research Committee)</p> <p>Recognition the mobility as specific merit in the evaluation processes giving it a score</p>	<p>Research Committee</p> <p>Board of Directors</p> <p>Works Council</p> <p>September 2014)</p>

## II. Recruitment

<b>12. Recruitment</b>			
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.			
<b>Relevant legislation</b>	<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>

<b>Law 14/2011, of Science, Technology and Innovation</b> Art 16, Art 25.	Payment Policy and Professional Classification  Gender Equality Plan	Inform to the staff about the services provided by the EURAXESS network and its benefits	HR Department Ongoing
<b>Royal Decree 63/2006</b> Researchers at training stages. Art 8.	Payment Policy and Professional Classification  Specific space for job opportunities in the CNIC website	Include a link on the CNIC intranet and in the welcome guide  Publish all the employment offers in an international media including EURAXESS JOBS	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Royal Decree 1/1995, Worker Statute</b> Art8. 5. Art 11.1 y ss. Art 22	Payment Policy and Professional Classification  Specific space for job opportunities in the CNIC website	Not needed	
<b>Organic Law 6/2001, of University</b> Art 40 y ss.			
<b>Law 14/2011, of Science, Technology and Innovation</b> Sec 2ª. Art 20.	Call for employment offers  Selection Procedure		

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 7/2007, Statute of Public Officials</b> (art. 60); <b>III Collective Agreement for the General National Administration.</b> (art. 34); <b>Law 14/2011, of Science, Technology and Innovation</b> (art. 5.2) y (art.15); <b>General regulation for Civil Servant Provision</b> (Cap. III) (RD 364/95, 10 March)	Payment Policy and Professional Classification  Selection Procedure  External Research Committee to guarantee the impartiality of the process for relevant positions.  External Selection company to guarantee the impartiality of the process for relevant positions in the managing area.	Promote Selection Committees with equal number of men and women	HR Department February 2014

**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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> Art 5, 16.  <b>Law 38/2003, of Subsidies</b> Art 8, Art 9, Art 17, Art 23.	Payment Policy and Professional Classification  Call for employment offers  Selection Procedure	Not needed	

**16. Judging merit (Code)**

The selection process should take into consideration the whole range of experience 15 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Spanish Constitution</b> Art 44.2, Art149. 1. 15 <sup>a</sup> . <b>Law 14/2011, of Science, Technology and Innovation</b> Art 26. <b>Law 38/2003, of Subsidies</b> Art 23. 2 I, Art 24.3.b. <b>Royal Decree 887/2006, Regulation of Law 38/2003, of Subsidies.</b> Art 60. 1.	Payment Policy and Professional Classification  Call for employment offers  Selection Procedure	Not needed	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> Tít II. Cap I. Sec II. CapII. Art 26.  <b>Royal Decree 1/1995, Worker Statute.</b> Art11.	Payment Policy and Professional Classification	Not needed	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
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<p><b>Law 14/2007 of Biomedical Research</b>, art.86</p> <p><b>Law 14/2011, of Science, Technology and Innovation.</b> Art.16, Art 37, 3.</p> <p><b>Royal Decree 1/1995, Worker Statute</b> Art12 y 15</p>	<p>Payment Policy and Professional Classification</p>	<p>Recognition the mobility as specific merit in selection processes giving it a score</p>	<p>Research Committee HR Department February 2014</p>
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<p><b>19. Recognition of qualifications (Code)</b></p> <p>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.</p>			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Law 14/2007 of Biomedical Research</b> Art.10.2</p> <p><b>Law 55/2003, Framework Statute for personnel of National Health System.</b> Art. 17.1</p> <p><b>Royal Decree 63/2006</b> Researchers at training stages. Art.1.2 Objeto. Art.8.2.</p> <p><b>Mandate CIN/2657/2008, Regulation of Evaluation of Research Activities.</b></p> <p><b>Royal Decree 1837/2008, incorporation of EU Directive 2005/36/CE</b> regarding professional qualifications.</p> <p><b>Royal Decree 459/2010, Requisites for recognition of Titles of Health specialists obtained out of EU</b></p>	<p>Payment Policy and Professional Classification</p>	<p>Not needed</p>	

<p><b>20. Seniority (Code)</b></p> <p>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.</p>			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who

	Payment Policy and Professional Classification	Not needed	
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### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> (art.20, 21 y 22).  <b>Royal Decree 63/2006</b> Researchers at training stages. D.a.6	Payment Policy and Professional Classification	Not needed	

### 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).

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> Art 13, Art 14, Art 25, Art 27.	Payment Policy and Professional Classification  Welcome Guide	Not needed	

#### 23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and

safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Law 14/2007 of Biomedical Research.</b> Art 88.</p> <p><b>Law 16/2003, of National Health System Cohesion and Quality.</b> Art 51, D.a.2.2</p> <p><b>Law 14/2011, of Science, Technology and Innovation</b> Art14. D. Ad. 8. 2. b) and c)</p>	Payment Policy and Professional Classification	Not needed	

<b>24. Working conditions</b>			
<p>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.</p>			
Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who

<p><b>Organic Law 3/2007, for effective equality between women and men. Cap II. (Art. 44, 51 y 56)</b></p> <p><b>Law 14/2011, of Science, Technology and Innovation (art. 14.j)</b></p> <p><b>Royal Decree 1/1995, Worker Statute</b></p> <p><b>Law 31/1995, Health Risk Prevention.</b></p>	<p>Plan to conciliate personal and professional life</p> <p>Social Benefic Plan which include:</p> <p>Flexibility of working times</p> <p>Monetary assistance for the nursery school (319,8 €/month/child)</p> <p>Training within the working time</p> <p>Subsidized canteen (aprox. 50% of the cost)</p> <p>Relocation policy (monetary assistance for relocation)</p> <p>Salary guarantee for cases of temporary disability (100% of the salary)</p> <p>Life and Accident Insurance</p> <p>Reimbursable Advances</p> <p>Civil Liability Insurance</p> <p>Flexible remuneration plan</p> <p>Nursing room</p> <p>Family assistance (legal and tax assistance, help in house and school searching, etc)</p> <p>Elimination of architectural barriers.</p> <p>Safe and health workplace</p> <p>Periodic health recognition</p> <p>Occupational health and safety course</p>	<p>Extend the social benefits (specifically the benefits of relocation policy “monetary assistance for moving expenses and relocation”) to research technicians, postdoctoral and predoctoral researchers.</p>	<p>Board of Directors</p> <p>HR Department</p> <p>December 2014</p>
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## 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	Existing Institutional rules and/or practices	Actions required	When/Who
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<p><b>Directive 1999/70/CE regarding Framework agreement of CES, la UNICE y el CEEP about <i>Fixed-Term Work</i></b></p> <p><b>Law 14/2011, of Science, Technology and Innovation</b> Sec II. Art 20, Art 25.</p>	<p>Payment Policy and Professional Classification</p>	<p>To improve in terms of stability. (Change gradually temporary contracts for permanent contracts)</p>	<p>Research Committee Board of Directors HR Department Works Council January 2015</p>
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## 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	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Royal Decree 63/2006</b> Researchers at training stages. Art 5.</p> <p><b>Royal Decree 1/1995, Worker Statute</b> Art11.e) Art 26.3 Art 37.</p> <p><b>Royal Decree Law 1/1994, General Social Security Law.</b> Art 124. CAP IV BIS.TÍT III. Art 205 y 206.</p>	<p>Payment Policy and Professional Classification</p>	<p>Not needed</p>	

## 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	Existing Institutional rules and/or practices	Actions required	When/Who

<p><b>Spanish Constitution.</b> Art 14.</p> <p><b>Organic Law 3/2007, for effective equality between women and men.</b> Art 5 TÍT V. CAPI. Art 51. CAP II Art 52. Art 53. Art 54.</p>	<p>Gender Equality Plan</p>	<p>Promote Selection Committees with equal number of men and women</p>	<p>HR Department February 2014</p>
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## 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	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Law 14/2011, of Science, Technology and Innovation</b> (art.6, 12, 13, 14 y 25).</p> <p><b>Law 14/2007 of Biomedical Research</b> Art.10.2</p>	<p>Payment Policy and Professional Classification</p>	<p>Not needed</p>	

## 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	Existing Institutional rules and/or practices	Actions required	When/Who
<p><b>Law 14/2007 of Biomedical Research</b> Art 86.1. Movilidad del personal investigador.</p> <p><b>Law 14/2011, of Science, Technology and Innovation</b> Art 17.</p>	<p>Payment Policy and Professional Classification</p>	<p>Recognition the mobility as specific merit in selection and the evaluation processes</p>	<p>Research Committee HR Department February 2014</p>

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
	Payment Policy and Professional Classification	To include a link to EURAXESS Website within the CNIC internet.	IT Department December 2013

### 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	Existing Institutional rules and/or practices	Actions required	When/Who



<p><b>Royal Decree Law 1/1996</b>, Intellectual Property Law (Book I. art.7 and art.10).</p> <p><b>Law 14/2011, of Science, Technology and Innovation</b> (art.35).</p> <p><b>Law 11/86, of Patents</b> (art.1, 2, 3, 4, 5) (Disp.Adic 1ª,2ª y Disp.T.);</p> <p><b>Law 10/2002, 29 abril</b> por adapting the Law of Patents to EU Directive related to legal protection of biotechnology inventions (art.1, 2, 3, 4).</p> <p><b>Law 20/2003, of Legal Protection of Industrial Design.</b></p> <p><b>Royal Decree 55/2002 of exploitation of inventions by public research institutions</b></p>	<p>Payment Policy and Professional Classification</p> <p>Addendum to the employment contract</p>	<p>Not needed</p>	
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### 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.

Relevant legislation	Existing Institutional rules and/or practices	Actions required	When/Who
	Payment Policy and Professional Classification	Not needed	
<b>Law 14/2011, of Science, Technology and Innovation</b> Art 31.	Payment Policy and Professional Classification	Not needed	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who

### 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	Existing Institutional rules and/or practices	Actions required	When/Who

	Works Council Research Committee Predoctoral Research Committee Anti-bullying Committee. Health and Safety Committee.	Not needed	
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### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> (art.8, 9, 10);	Works Council Research Committee Predoctoral Research Committee Anti-bullying Committee. Health and Safety Committee. Scientific Activities Committee web Committee Library Subcommittee Transgenic Animal Facility Committee Biosafety Committee Infrastructure Committee Cell Culture Subcommittee Technology Subcommittee Infrastructure Management Subcommittee Advanced Image Committee	Not needed	

#### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Royal Decree 63/2006</b> Researchers at training stages. (Art.7) (D.a.6ª)	Payment Policy and Professional Classification	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014

##### 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	Existing Institutional rules and/or practices	Actions required	When/Who
	Payment Policy and Professional Classification	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014

##### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> (art.14.1.k);  <b>Royal Decree 63/2006</b> Researchers at training stages (art. 4 and 5)	Payment Policy and Professional Classification  The CNIC-JOVEN Training Plan	Not needed	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who
<b>Law 14/2011, of Science, Technology and Innovation</b> (art.14.1.k).  <b>Royal Decree 63/2006</b> Researchers at training stages (art. 4 and 5).	Payment Policy and Professional Classification  The CNIC-JOVEN Training Plan	Not needed	

### 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	Existing Institutional rules and/or practices	Actions required	When/Who

	Payment Policy and Professional Classification	Code of Good Research Practices and Research Integrity Committee	Research Committee Board of Directors Works Council June 2014
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## CNIC calendar and responsibilities for the implementation of the Action Plan

PROPOSAL TO INCORPORATE THE C&C IN CNIC			
Area / Principle number	Action Plan	Time Frame	Actors
<p><b>Ethical and professional aspects / 2, 3, 4, 5, 6, 7 &amp; 9</b></p> <p><b>Training / 36, 37 &amp; 40</b></p>	<p>Develop, complete and update the guidelines on the ethical aspects to be met by managers and researchers of the CNIC on:</p> <ul style="list-style-type: none"> <li>Responsibilities in scientific practices</li> <li>Relationship between the components of the working group</li> <li>Preparation of research protocols</li> <li>Maintenance of records, data and samples</li> <li>Standards Publication</li> <li>Authorship of scientific papers, publications and theses</li> <li>Property Protection</li> <li>Relations with companies</li> <li>Creation of the Committee for Research Integrity References.</li> </ul> <p>All these aspects will be reflected in a Code of Good Research Practices and Research Integrity.</p>	June 2014	<p>Research Committee</p> <p>Board of Directors</p> <p>Works Council</p>
<p><b>Ethical and professional aspects / 9</b></p>	<p>Improve CNIC participation in popular science events, and a greater collaboration with other research's centers.</p> <p>Establish an open day.</p>	June 2014	<p>Communication Department</p>
<p><b>Ethical and professional aspects / 11</b></p>	<p>Extend the external evaluation to postdoctoral researchers to over guarantee the impartiality of the process by an External Research Committee.</p> <p>Recognition the mobility as specific merit in the evaluation processes giving it a score.</p>	September 2014	<p>Research Committee</p> <p>Board of Directors</p> <p>Works Council</p>

<b>Recruitment / 12</b>	<p>Inform (once a quarter) to the staff about the services provided by the EURAXESS network and its benefits.</p> <p>Include a link on the CNIC intranet and in the welcome guide.</p> <p>Publish all the employment offers in an international media including EURAXESS JOBS.</p>	Ongoing	HR Department
<b>Recruitment / 14 Working conditions and social security / 27</b>	Promote a Selection Committees with equal number of men and women.	February 2014	HR Department
<b>Recruitment / 18</b>	Recognition the mobility as specific merit in selection processes giving it a score.	February 2014	Research Committee HR Department
<b>Working conditions and social security / 24</b>	Extend the social benefits (specifically the benefits of relocation policy “monetary assistance for moving expenses and relocation”) to research technicians, postdoctoral and predoctoral researchers.	December 2014	Board of Directors HR Department
<b>Working conditions and social security / 24</b>	Improve in terms of stability. (Change gradually temporary contracts for permanent contracts). It would be necessary to negotiate with the works council the homogeneous criteria for the change in order to prevent randomness and establish a schedule for their implementation.	January 2015	Research Committee Board of Directors HR Department Works Council
<b>Working conditions and social security / 29</b>	Recognition the mobility as specific merit in selection and the evaluation processes.	February 2014	Research Committee HR Department



**Working conditions  
and social security /  
30**

Include a link to EURAXESS Website within the CNIC internet.

December  
2013

IT Department