GAP ANALYSIS - OVERVIEW

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	Implementation: ++ = **fully implemented** +/- = **almost but not fully** implemented -/+ = **partially** implemented -- = **insufficiently** implemented	In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			

1. Research freedom	++	Relevant legislation: National:
		• Spanish Constitution, art. 20, 44, 149.15
		• Royal Decree 420/2015, of 29 May, on the creation, recognition, authorisation and accreditation of universities and university centres developed by article 10 Law 6/2001
		• Law 14/2007, of July 3, on Biomedical Research (Preamble and art.2)
		• Law 14/2011, on Science, Technology and Innovation
		UPCT own regulations-
		    • UPCT Statutes. Art. 4.5 Principles of action
		- Code of Good Practice in Research
		    - (https://www.upct.es/gestionserv/inter/web_servvicinv_fich/doc_secciones/273codigo_europeo_integridad_investigacion.pdf)
		    - Is it included in the UPCT Estatutos (Art. 2, Art. 4.5, 145 and 5)
		    - Publicación número 564 del BORM número 29 de 05/02/2020 (upct.es)
		    - Research Good Practice UPCT's Code
		    - https://lex.upct.es/download/fa51a727-a37a-496a-b5d9-5fb974d0e965
		    • UPCT's ethics code
			Incorporate information and links about ethical issues in the Welcome Manual for researchers.

		https://www.upct.es/contenido/universidad/secgen/codigo_etico/Codigo_Etico_Upct.pdf	
2. Ethical principles	++	• UPCT has a Research Ethical Committee (CEI) since 2018 and a Code of Good Research Practice. • Training to UPCT Staff on data Protection. Procedures checking • Specific training on Ethical Aspects in Research projects (3 meetings) • Research Ethic (A cross cutting PHD Subject) • EthiCo – an Erasmus Strategic Partnership (KA203) project with the aim to develop new approaches to ethics and ecology in technology education.	Although this principle is fully implemented, we plan to improve the publicity of the UPCT's and European University of Technology ethics code
3.Professional responsibility	++	UPCT provides an antiplagarism software (Turnitin). UPCT has a norm covering intellectual an industrial property and a Technology Transfer Section, supporting IP issues. IP topics and ethics are included in the horizontal training for PhD students: "Research Protection: How to file a patent?", "Ethics and Professionalism in Science" UPCT has a Research Ethical Committee (CEI) and a Code of Good Practice in Research.	Specific actions to promote the Code of Good Practice in Research. Incorporate information and links about the antiplagiarism software, and IP norms and rights in the Welcome Manual for researchers.
4. Professional attitude	++	Research Management and Technology Transfer Unit support researchers in the processes of participation in R&D competitive calls and the negotiation of tech-transfer agreements with industry. Proposals that include ethical issues (e.g. human participants, biological or animal samples or data protection) should be approved by CEI. UPCT research observatory, contributes providing visibility to research results: summary of research groups, researcher`s curricula., projects...	Incorporate on UPCT website updated and easy-to-understand for researchers documents. Incorporate information and links about UPCT's projects management support in the Welcome Manual for researchers.
5. Contractual and legal obligations	++	Research and Human Resources Areas ensure that hired personnel comply the requirements and conditions established by funders. Researchers are informed about specific requirements of their contracts when they start working in UPCT.	Translate into English the information available on the UPCT website. Incorporate information about GDPR, confidentiality, patents, conflicts of interests, etc. to the contracts.

		UCPTlex website (https://lex.upct.es) includes national and institutional regulations related to contractual and legal obligations applying to UPCT researchers. The PDI Collective Agreement is also available at this website. UPCT owns an intellectual property norm (https://lex.upct.es/download/0b219aa4-a1db-443e-be7b-4317cd11a3f7) and a specific service to advice researchers about IPR. Tech-Transfer Section provides support and advice to researchers about IPR, technology transfer and exploitation of R&D results. Although this principle is implemented at UPCT, the Working Group considers it convenient to include information about this principle in the Welcome Manual for researchers and provide more visibility to the training activities.	Incorporate information and links about UPCT's IP norms and rights in the Welcome Manual for researchers.
6. Accountability	++	The Technical University of Cartagena, is still subject to control of its accounts by its internal audit service. At the end of each financial year, the settlement of the accounts is subject to its approval by its Social Council, and an external audit is carried out. https://transparencia.upct.es/info/auditorias-cuentas-anuales State intervention audits the annual accounts of the university https://transparencia.upct.es/container/fiscalizacion-del-tribunal-de-cuentas Parallel to the control of the annual accounts, the university performs an analysis of its data each academic year and publishes https://transparencia.upct.es/container/informe-de-rendicion-de-cuentas The university has research management tools to control income and expenses that allow precise and exhaustive control when it comes to the justification to be carried out. At the university there is a Research Ethics Committee https://www.upct.es/vicerrectoradoinvestigacion/es/etica/comite-de-etica-en-la-investigacion/#:~:text=El%20Comit%C3%A9%20de%20%C3%89tica%20en,con%20muestras%20de%20origen%20humano	

7. Good practice in research	++	Code of Good Practice in Research. Internal regulation of Internacional Doctorate School: ✓ https://lex.upct.es/download/319f64ea-8a6a-411b-8c44-62c94d5ec8a4 ✓ https://www.upct.es/estudios/doctorado/documentos/dt-12_compromiso_elaboracion_tesis_4694_6676.pdf ✓ https://www.upct.es/estudios/doctorado/documentos/directrices_control_originalidad_tesis_doctorales_4462.pdf ✓ https://www.upct.es/estudios/doctorado/documentos/instrucciones_publicacion_abierto_tesis_doctorales_4861.pdf	Improve the publicity of the Code of Good Practice in Research and the difusion of internal training actions. Incorporate information and links about security and workplace health in the Welcome Manual for researchers.
8. Dissemination, exploitation of results	++	European Regulation Regulation by which the Horizon Europe Research and Innovation Framework Program is created, and its participation and dissemination rules are established. National regulation • Law 14/2011, on Science, Technology and Innovation • Law 24/2015, of July 24, on patents • Law 14/2007, of July 3, on Biomedical Research • Royal Legislative Decree 1/1996	Incorporate information and links about UPCT's IP norms and rights, OTRI and Scientific Culture Unit (UCCi) in the Welcome Manual for researchers.
9. Public engagement	++	International • Rome Declaration on RRI 2014 National regulation • Law 14/2011, on Science, Technology and Innovation • Royal Decree 420/2015, of May 29, on the creation, recognition, authorization and accreditation of universities and university centers developed by Organic Law 6/2001 Regional Regulation • Law 12/2014, of December 16, on Transparency and Citizen Participation of the Autonomous Community of the Region of Murcia. UPCT own regulations • UPCT Strategic Plan • Adherence to the 2030 UPCT Agenda • UPCT Statutes UPCT performances • Collaboration with the Scientific Culture Unit in its actions: Technological Campus, European Researchers' Night, Healthy Ingenuity, Libraries, etc. • Advice on citizen participation to researchers through UPCT´s +/-European Projects Office. • Communication training	

		• Citizen participation in European projects: An opportunity for Associations and NGOs (within a cycle of talks on Legal Advice to Associations).	
10. Non discrimination	+/-	Recruitment calls are not published in english, reducing the options to attract researchers who don't speak spanish. UPCT cares about the recruitment of female students in STEM (Science, Technology, Engineering and Maths). Scientific Culture Unit actively participates in female students recruitment events, e.g. Quiero ser ingeniera. Institutional research calls include tiebreaker criteria in favour of the underrepresented gender and also take into account maternity/paternity leaves in research evaluation processes. UPCT has a Unit for Equality (https://www.upct.es/unidad-de-igualdad) and a gender equality plan that was approved in the Governing Board of February 7th, 2020. UPCT has the position of University Ombudsman in order to guarantee the rights and freedom of the university personnel and its students.	Publish recruitment calls in english. Incorporate information and links about UPCT's gender equality policies in the Welcome Manual for researchers. Ensure career breaks are accounted in recruitment and promotion procedures.
11. Evaluation/ appraisal systems	-/+	No external evaluation for research activity. Some criteria for evaluation of research activity were approved at the beginning of year 2021, but they have not been applied yet. There are no procedures to evaluate the research activity of researchers hired within research projects.	Development of a research activity evaluation system for all researcher's stages. The system will include procedures to evaluate the research activity of R1 and R2 researchers hired within research projects.
Recruitment and Selection			
12. Recruitment	+/-	Although the university has established recruitment procedures (selection, contract and incorporation), it does not have a written document that contains the Open, Transparent and Merit-based Recruitment policy. In some calls associated to research projects, the recruitment calls require a specific qualification.	Define an open, transparent and merit-based strategy for the recruitment of researchers at the UPCT. In particular, it will start by: - making the OTM-R recommendations available to evaluation committees for compliance https://cdn1.euraxess.org/sites/default/files/policy_library/otm-r-finaldoc_0.pdf - improving the bases of calls for the hiring of personnel.

			- homogenizing the hiring model. Design of a website to include comprehensive information for foreign researchers.
13. Recruitment (Code)	+/-	Although the university has established recruitment procedures (selection, contract and incorporation) it does not have a written document that contains the Open, Transparent and Merit-based Recruitment policy.	Define an open, transparent and merit-based strategy for the recruitment of researchers at the UPCT. A document containing the UPCT's Human Resources Recruitment Policy will be developed. The following concrete measures will also be taken: - Publication of calls in Euraxess. - English version of the calls. - Improve the description of working conditions and rights in the texts of calls that do not currently detail them. - Improve UPCT´s website to make job offers more visible, with clear descriptions about what is required of potential candidates (including templates). - Include information about labour rights and the possible prospective of professional development. - Information to the candidates about the strengths and weaknesses of their applications.
14. Selection (Code)	-/+	The composition of the selection committees is limited by the Statutes of the Technical University of Cartagena as well as by the Collective Agreements (PAS and PDI). https://www.borm.es/services/anuncio/ano/2020/numero/564/pdf?id=782936 https://www.borm.es/services/anuncio/ano/2016/numero/2790/pdf?id=744447 In these, there is no formal mechanism to ensure gender balance. Members of selection committees does not receive standard instructions to proceed. There is a possibility of appointing external experts as advisors, which is permitted by the general regulations in force (R.D 364/1995, of 10 March).	UPCT equality plan should include measures to ensure gender balance in selection committee.

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15. Transparency (Code)	-/+	There is currently no stay where all the offers that are launched to job offers from researchers related to research projects reside. https://firma.upct.es/Portafirmas/servlet/firma.Firma	Create a job offer portal website where all offers are included.. The results of the selection will be made entirely by publishing all the points obtained by the candidates.
16. Judging merit (Code)	+/-	The UPCT is a public entity that acts as a host institution for researchers selected and financed by different external committees and, therefore, our researchers must comply with the requirements included in each external call in which they participate. In spite of the above, in the calls for contracts associated to projects, the merits to be assessed do not have a standard scale.	For calls for researchers to be hired within projects, a general merit model will be established in a template format that can be downloaded by those responsible for the selection processes and which contemplates the aspects recommended in the C&C.
17. Variations in the chronological order of CVs (Code)	+/-	The UPCT follows the procedures established by the personnel selection regulations set out in each call.	Define a recruitment procedure for the R1 and R2 research staff hired within research projects that will include information about the merit scales considered.
18. Recognition of mobility experience (Code)	+/-	The UPCT follows the procedures established by the personnel selection regulations set out in each call.	Define a recruitment procedure for the R1 and R2 research staff hired within research projects that will include mobility of the candidate as a positive criterion for the selection.
19. Recognition of qualifications (Code)	+/-	The university is a public entity that values the merits of all the candidates that are preset. There is no general evaluation commission so it needs to be established to meet and give operating guidelines. Nor procedures established for the procurement of R1, R2, R3 and R4.	Define a recruitment procedure for the R1 and R2 research staff hired within research projects that will include information about the merit scales considered.
20. Seniority (Code)	+/-	Recognition and evaluation of qualifications should focus on judge the person's achievements.	Implement an open and transparent recruitment document, taking into account the qualifications of the candidates.
21. Postdoctoral appointments (Code)	+/-	Positions are determined by the budget laws for each year, and the university must calculate them from the number of staff, attending to the needs of the university.	The calls will be announced on the website, in the specific section, established for this purpose.

			Define a recruitment procedure for the R1 and R2 research staff hired within research projects that will include information about the maximum length and the objectives of the appointments.
Working Conditions and Social Security			
22. Recognition of the profession	++	The recognition of the profession derives from the generally applicable regulations that recognize researchers professional status in relation to their category, as well as their rights and duties: Law 14/2011, on Science, Technology and Innovation, R.D.L. 5/2015, of 30 October, approving the revised text of the Law on the Basic Statute of Public Employees, collective agreements and the University statutes. The right of professional recognition is considered in the national legislation (Law of Science), in collective agreements and the University statutes. Although this principle is implemented at UPCT, the results of the survey highlighted the precariousness of the early stages of research careers in Spain.	
23. Research environment	+/-	There is not a written catalogue of UPCT's infrastructures. The results of the survey highlighted that UPCT doesn´t facilitate the creation of collaborative research networks. Work is currently underway to close this gap by creating strategic research units that bring together researchers in key research areas.	Incorporate information and links about infrastructure, risk prevention associated with international mobility activities in the Welcome Manual for researchers. Increase efforts in the creation of strategic research units and design specific actions for R1 researchers.
24. Working conditions	++	Administrative and teaching/research Colletive Bargaining Agreements set out the working conditions of UPCT employees. Flexible working hours and sabbatical leave.	Elaborate the Welcome Manual for Researchers.
25. Stability and permanence of employment	+/-	The situation of insecurity in which researchers with temporary contracts are, stems, in many cases, from the resources of the project in particular, as well as the limitations imposed by the existing contracting legislation, which is restrictive in the consolidation	Procedures will be established to help researchers to plan, within the resources available at the regional, national and international levels, all those activities that help

		of temporary positions due to the replacement rate decreed in national regulations. This type of contracting is governed by the following legal texts: -Science Law (14/2011) -State Budget Law on limitations to the replacement rate.	to achieve job stability both outside and within the academic field. A study and review of the contracted researcher figures provided for by the Science Law (14/2011) will be carried out with a view to their possible application
26. Funding and salaries	++	A well-defined table is available to all UPCT researchers on the intranet, detailing the salaries according to each professional category. These salaries are in accordance with current regulations. The transparency portal includes the remuneration tables for public servants in accordance with the State Budget Law plus the specific and productivity supplements in force at the UPCT, as well as specific tables for the cost of hiring temporary research staff and staff tables. assigned to research projects, in accordance with the applicable Collective Agreements of PAS or PDI and the agreements of the Governing Council of the UPCT https://www.upct.es/recursos_humanos/secciones2.php?id_categoria=12&op=6&ambito=0 (Tablas salariales)	
27. Gender balance	+/-	The most of research positions considered "full professors" are men. Part of the reason comes from a domino effect coming from the lower number of female technical students in comparison with other disciplines. UPCT cares about the recruitment of female students in STEM (Science, Technology, Engineering and Maths). Scientific Culture Unit actively participates in female students recruitment events, e.g. Quiero ser ingeniera. Statutes of UPCT include provision about gender balance in the evaluation and selection commissions (art. 98.2 and 102.3)	Continue with specific actions to promote STEAM vocations among girls and women.
28. Career development	+/-	UPCT staff regulations https://www.upct.es/recursos_humanos/subdocs/2215.11-%20NORMATIVA%20PROFESORADO%20UPCT%20MODIF%20APROB%20CG%2005-11-15.pdf Internal Promotion Regulations. Company Committee document for hired professors and internal promotion for tenured professors. Inhouse Training: Resolution R-217/21, of May 25, of the Rectorate of the Polytechnic University of Cartagena, which approves the regulation of the UPCT staff training plan Recognition of Merits Official recognition of teaching merits to the professors hired doctors, who acquire the status of official of the university teaching bodies, approved in the Governing Council of July 19, 2018	Design a conceptual map of the researcher´s professional career. Incorporate information and links about professional careers at UPCT in the Welcome Manual for researchers. Set training activities related to professional career in the doctorate programs in third and fourth year.

		Selection of contracted Regulations for the selection of professors hired as PHD of the Polytechnic University of Cartagena, approved in the Governing Council of May 28, 2021	
29. Value of mobility	++	UPCT internal regulations • UPCT provides numerous supporting tools for international mobility of students and researchers:https://www.upct.es/estudios/doctorado/documentos/2018-19_convocatoria_movilidad_doctorandos_eindoc-upct_7149.pdf • Sabbaticals calls:https://www.upct.es/recursos_humanos/docs/152150.pdf https://www.upct.es/recursos_humanos/docs/152articulo_8.pdf • UPCT has an international web portal http://estudiaencartagena.upct.es/international/english/start/ • Guidelines for the authorization of virtual stays in the doctoral programs of the UPCT for the International Mention https://www.upct.es/estudios/doctorado/documentos/informacion_interes/diretricas_movilidad_2103_8739_4112.pdf	Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to reinforce the awareness of the research community. The general merit model to be developed will ensure that mobility is accounted in all recruitment and promotion procedures.
30. Access to career advice	-/+	UPCT´s information and career services are focused on graduate students. There is no career advice strategy for researchers at UPCT.	Design a conceptual map of the researcher´s professional career. Strengthen the training activities related to professional career in the third and fourth year of the Doctorate program.
31. Intellectual Property Rights	++	UPCT own regulations • Regulation of Official Doctorate Studies of the UPCT of 124 March 2021• Code of Good Research Practices • Guidelines for the control of the originality of the Doctoral Theses of the UPCT (15 October 2020)• Instructions for publication in open Doctoral Thesis of the UPCT (15 October 2020) • Guide of good practices for the realization of a doctoral thesis at the UPCT (July 4, 2013)https://lex.upct.es/download/7ec4f8b8-8563-461e-9a68-ad89722fade6 Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to include information about this principle in the Welcome Manual for researchers and provide more visibility to the training activities.	Incorporate information and links about UPCT's IP norms and rights and OTRI in the Welcome Manual for researchers. Improve the publicity of the internal training activities.

32. Co-authorship	++	The Research Ethics Committee is the body of the UPCT in charge of evaluating the ethical aspects of the research carried out within the University https://www.upct.es/vicerrectoradoinvestigacion/es/etica/comite-de-etica-en-la-investigacion Code of good practices in research, approved by the Governing Council of the UPCT on November 30, 2020 https://lex.upct.es/etica-investigacion (UPCT own regulations). Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to include information about this principle in the Welcome Manual for researchers.	Include information about coauthorship/ joint supervision in the Welcome Manual for researchers.
33. Teaching	+/-	Time invested by specialists in the training of new researchers, as part of their teaching load, is recognized through reductions in their maximum teaching load, as established by the Regulations for determining the teaching capacity and the maximum teaching load of the UPCT: https://lex.upct.es/personal-pdi The general legislation applying restrictions to this principle is as follows: Royal Decree-Law 14/2012, of 20 April, on urgent measures to rationalise public expenditure in the field of education. Venia docendi concession regulations https://www.upct.es/vicerrectoradoprofesorado/es/profesorado/venia-docendi//// (art. 16 Teacher Regulations)	Communication about the courses will be improved via the following link: https://www.upct.es/vicerrectoradoprofesorado/es/innovacion/innovacion-docente where there are courses for researchers in training and teachers on teaching in different fields
34. Complains/ appeals	++	UPCT currently has the following regulations in place to ensure compliance with this principle: Own regulations: University Ombudsman Regulations: https://lex.upct.es/download/bfc0018f-d061-4cf4-920e-e380affe44c4 General regulations: Article 46, Title VIII and fourteenth additional provision of Organic Law 6/2001, of 21 December, on Universities	Implement an effective communication system that reaches all researchers through the UPCT´s website and distribution lists.

		Article 39, Title IV of Law 3/2005, on Universities in the Region of Murcia Articles 12, 46 and 51 of the Student Statute Statutes of the Technical University of Cartagena (articles related to the Ombudsman)	
35. Participation in decision-making bodies	++	The UPCT has a Research Commission that acts as an advisory body for research and knowledge transfer at the UPCT. In addition, the following regulations can be consulted to ensure compliance with this principle: Governing Council https://www.upct.es/contenido/universidad/org_gobierno/consejo_gobierno/index_consejo.php University Faculty https://www.upct.es/contenido/universidad/org_gobierno/claustro/claustro.php Social Council. https://www.upct.es/contenido/universidad/org_gobierno/consejo_social/index_cs.php Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to include information about this principle in the Welcome Manual for researchers.	Incorporate information and links about the participation of the different professional profiles in the decision-making bodies of UPCT in the Welcome Manual for researchers
Training and Development			
36. Relation with supervisors	++	For doctorate students, upon admission to the doctoral programme, the programme's academic committee assigns a thesis tutor to the doctoral student, who is responsible for aligning the tuition and research activity with the principles of the programme and of the International Doctoral School and must comply with the requirements and functions set forth in the UPCT internal bylaws. Doctoral School's internal bylaws In November 2020, a Code of Good Practices in Research was approved (https://lex.upct.es/download/fa51a727-a37a-496a-b5d9-5fb974d0e965). Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to design improvement actions for the effective compliance with the principle.	Incorporate information and links about good supervision practices at UPCT in the Welcome Manual for researchers. Strengthen the rol of tutor for R1 researchers, as a mediation figure in case of conflict between doctoral students and thesis directors.

37. Supervision and managerial duties	++	National regulation establishes the different functions of the university staff, in addition to their obligations as tutors of thesis directors. The funding organisms define the obligations of researchers as project leaders. Internal regulations of UPCT concerning the teaching and research staff, sets teaching, researching and administration as their duties. The norms for the recruitment of post-doctoral staff require that a mentor or tutor be provided for the post-doctoral researchers recruited.	Incorporate information and links about good supervision practices at UPCT in the Welcome Manual for researchers.
38. Continuing Professional Development	+/-	Doctoral students have access to transversal and specific training within their doctoral programme and in many cases funding to attend congresses and conferences to complete their training. However, off-site training is very limited. In addition, there is a lack of transversal training in soft skills, such as leadership, project management, technology transfer, communication, etc. For senior researchers UPCT offers courses and conferences, as well as the possibility of attending congresses and conferences, both within and outside the institution. However, in both cases, the offer of training in some specific aspects of research seems limited, as do the funding and time to carry it out.	Strengthen the internal training activities for personal and working development of UPCT´s researchers. Nowadays EINDOC is developing an internal meeting with experts from UPCT Staff in subjects related to patents, MSCA and regional and national calls.
39. Access to research training and continuous development	+/-	UPCT has organized single Journeys related to transversal Skills: Ethic and Integrity, Data protection and management, Communication and Dissemination, Patents and other ways of IPR. Also we have fostered our relationships with the Researcher Community through Monthly Meetings of variety contents such us: funding research and innovation programmes (ERASMUS+, ERC, LIFE), *How to be an Evaluator?* or *knowing the Funding&Tenders portal.* In order to guarentee the continuity the official character of this courses UPCT has included the workshop and journeys within the Training Programme launched from the Vicerrectorate of Teacher and Institutional Promotion	Improve the training offer for personal and professional development of UPCT´s researcher through launching a survey in order to detect the needs of the researcher.

| 40. Supervision | ++ | The UPCT recognised the work of supervising and directing doctoral theses to ensure that tutors and directors have the time and dedication necessary to offer the researcher the appropriate support during the working time (Regulations to determine the teaching capacity and the teaching assignment of the teaching staff, approved on 2nd October 2019).

All trainee researchers have a supervisor who is specialist in their R&D field.

In November 2020, a Code of Good Practices in Research was approved (https://lex.upct.es/download/fa51a727-a37a-496a-b5d9-5fb974d0e965), including a section regarding Supervision of predoctoral researchers.

Although this principle is implemented at UPCT, the results of the survey highlighted that is convenient to design improvement actions for the effective compliance with the principle. | Incorporate information and links about good supervision practices at UPCT in the Welcome Manual for researchers. |