

## HR Excellence in Research

# GAP Analysis (Charter and Code Checklist)

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**Case number**

2023PT164279

**Name Organisation under review**

Instituto Superior Técnico - HRS4R

**Organisation's contact details**

Av. Rovisco Pais, 1, Lisboa, 1049-001, Portugal

**Date endorsement charter and code**

17/11/2023

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15/11/2024

### GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the GAP Analysis principles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

## 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
- **GAP** : In case of --, -/+, or +/-, please **indicate the actual “gap”** between the principle and the current practice in your organisation.
- **Implementation impediments** : If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals** : If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

**Status****Ethical and Professional Aspects****1. Research freedom**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Lack of organization of the information available about research careers Insufficient tools & Training Actions available to capacite the researchers EU Regulations: Article 11 of the EU Charter of Fundamental Rights(EN) The European code of Conduct for Research Integrity (EN) National Regulations: Article 37 of the Constitution of the Portuguese Republic declares the freedom of expression as a fundamental right (EN) (1976, last revised in 2005) Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Legal regime of higher education institutions (PT) (2007) University of Lisbon Regulations: University of Lisbon's Charter and Statutes (PT) (2019) Code of Conduct and Best Practice (PT) (2015) Institutional Regulations: Técnico Lisboa Charter and Statutes (PT) (2013) Técnico Lisboa Guiding Values (EN) (2023) Técnico Lisboa Strategic Plan 2020 - 2023 Regulation of the Ethics Committee (EN) Post Parental Leave (EN) (2017) Shaping the Future (EN): Técnico Lisboa researchers mandatory initial training is a tool to promote researchers freedom.	Initiatives undertaken: Tecnico Doctoral School (EN) Science and Innovation Skills Academy (EN)- Widening Suggestions for improvement: PhD4Value, is a newly underdevelopment programme that aims to support young researchers career development. Development of an on-line page aggregating all the documentation in an user friendly mode. Development of the Researchers Kit aggregating and making this information easily available.

**Status****2. Ethical principles**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Level of Awareness in dissemination of the topic EU Regulations: The European code of Conduct for Research Integrity (EN) Directive (EU) 2019/1937 of the European Parliament on the protection of persons who report breaches of Union law (EN) National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (PT) (ECDU, 2009) Legal regime of higher education institutions (PT) (2007) General Regime for the Protection of Whistleblowers (EN) (Law 93/2021) University of Lisbon Regulations: University of Lisbon's Charter and Statutes (PT) (2019) Code of Conduct and Best Practice (PT) (2015) Whistleblowing Channel (EN) Institutional Regulations: Técnico Lisboa Charter and Statutes (PT) (2013) Técnico Lisboa Guiding Values (EN) (2023) Regulation of the Ethics Committee (EN) has the mission of promoting high ethical standards at IST, presenting proposals or recommendations in this regard consulting on ethical issues raised related to teaching, scientific research, service provision to the community and functioning of the institution's services. Shaping the Future Program (EN) for Professors and Researchers has the mission of facilitating the full integration of their academic experience inside IST and their Department, at the same time transmitting the school's ethical values and good institutional practices, welcoming them and supporting them in their career planning in alignment with IST's strategic plan. Ombudsman for IST Staff (PT) User's data Policy (EN) and Privacy Policy (EN) Annual Cybersecurity Report (PT): by Law all public Institutions have to report to the National Center for Cybersecurity.</p>	<p>Suggestions for improvement: Offer Training on Research Ethics for Researchers Development of a 5 year training programme for the tenure track system, Shaping the Future/SISA Development of the international Widening Training Academy Upgrade the Plagiarism software available for researchers Dissemination of the Ethics Committee activities and its role in the research community Development of an on-line page aggregating all the documentation in an user friendly mode.</p>

**3. Professional responsibility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>EU Regulations: The European code of Conduct for Research Integrity (EN) General data Protection Regulation (EN) National Regulations: Copyright and Neighbouring Rights Act (PT)(decree-law 63/85) Intellectual Property Code (EN)(decree-law 237/2018) General Data Protection Regulation Statute of the Scientific Research Career (EN) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) University of Lisbon Regulations: Intellectual Property Regulation (PT) (2015) Institutional Regulations and activities: Privacy Policy (EN) Intellectual Property Policy (EN) Mechanical Engineering Department Regulations (PT) Electrical and Computer Engineering Department Regulations (EN) Computer Engineering Department Regulations (PT) Training on Ethics in Science: citation and reference of scientific work (EN) Training on The ethical use of information: citing and referencing scientific work (EN) Webinar on Academic ethics: an approach for 1st cycle students (PT) IP Talks@tecnico (PT)</p>	<p>Initiatives undertaken: Development of a Risk Management and Compliance Plan by the Internal Audit Department) Open seminars on the Awareness of the relevant property issues (Transfer and Technology Office) Suggestions for improvement: Development of a Researchers Kit</p>

**Status****4. Professional attitude**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Insufficient Involvement of the Research Units KLOs on science dissemination Lack of training in project management for researchers National Regulations: Ethics Charter for Public Administration (PT) Regulation for Projects Financed Exclusively with National Funds (PT) National Bursary Grant Tables (PT) University of Lisbon Regulations: The University of Lisbon has several documents (EN) guiding the professional conduct of its employees and students, namely: - Code of Conduct and Good Practices (PT) - Student Disciplinary Regulations (PT) - Charter of Rights and Guarantees (PT) Institutional Regulations: Risk Prevention Plan (EN) Guiding Values (EN) Projects Management Division (EN) IST ERC Acceleration Programme (EN) International Affairs Division (EN)</p>	<p>Initiatives undertaken: Trainings on Science dissemination and R&amp;I for social networks organized by the Communication, Image and Marketing Department            Suggestions for improvement: Training/Manuals on Project Management An on-line page aggregating all the documentation in an user friendly mode. Protocol for dissemination of R&amp;I for social networks</p>

**5. Contractual and legal obligations**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>National Regulations: Legal Framework for Research and Development Institutions (PT) Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Research Fellow's Statute (PT) FCT Research Grant Regulations (EN) FCT Scholarship Award and Management Rules (PT) University of Lisbon Regulations: Teacher Performance Evaluation Regulations (PT) Institutional Regulations: RADIST (EN): the regulations governing the Probationary Period for Teachers: Assessment and Binding Regime. Regulations for the Assessment of the Probationary Period, DL 57 (EN) Research Grant Holder Recruitment Regulations (PT) IP Talks@tecnico (PT)</p>	<p>Initiatives undertaken: Shaping the Future Program (EN): enhance the training programme, including a module about Legislation. Técnico Doctoral School            Suggestions for improvement: Overall update (EN/PT) the platforms for open positions/calls bi-lingual. Development of a Researchers Kit</p>

**Status****6. Accountability**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Low level of transparency in the institutional information and data about the research activities</p> <p>National Regulations: Legal Framework for Higher Education Institutions (PT) Regulations for Scientific Employment (EN)(REC, 2023) FCT Scientific Employment Stimulus Competition (EN): is an incentive for the hiring of researchers and the development of scientific employment plans and scientific careers by public or private institutions (CEEC). National and International Business Trips Law (PT) (1998) University of Lisbon Regulations: University of Lisbon's Charter and Statutes (PT) (2019) Institutional Regulations: Técnico Lisboa Charter and Statutes (PT) (2013) Técnico Lisboa Strategic Plan 2020 - 2023 School Council Regulations (2017) (institutional restricted access) Regulation for Additional Pay (PT) Tenure-Track Period Monitoring Committee (CAPE) (EN) Mentoring Programme (EN) Annual School Council Days (PT): an annual open event to all the community, each year subjected to a different topic, promoting open and public discussion and overall engagement of the community. Agency for Assessment and Accreditation of Higher Education (A3ES) Regulation (EN) Code of Ethics for Internal Auditing (PT) Guide to Internal Auditing (PT) Internal guidelines toolkit for Project Management (EN) Financial Management Procedures on Overheads (PT) Técnico Lisboa Centralized Applications platform for the submission, approval and financial management of every business trip held. Institutional Archive Unit (PT)</p>	<p>Initiatives undertaken: Dashboard (Planning and Quality Management Direction ) IRIS is the Integrated Research and Innovation Services (IRIS) Network from the UNITE! Alliance, established in July 2022, is a collaborative initiative aimed at enhancing international and multidisciplinary research within the Alliance members and with other Alliances. It comprises research support staff from various offices at each partner university, including technology transfer officers, human resources managers, and research communication officers, among others. Suggestions for improvement: Development of a Researchers Kit</p>

**7. Good practice in research**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: GDPR availability of information to researchers Community involvement Need of improvement in the info available about the Safety conditions in Labs National Regulations: Article 26th from the Decent Work Agenda (Law nr 13/2023) on Health and Safety at Work. (PT) Law nr 98/2009 on Work-related accidents and occupational diseases (PT) Law nr 58/2019 on GDPR and data protection (PT) Law 26/2016 on the access to administrative documentation (EN) Decree Law nr 16/93, establishes the General Regime of Archives and Archival Patrimony (EN) University of Lisbon Regulations, Documents and Services: University of Lisbon Intellectual Property Regulation (PT) Unite! White Paper on A new University open science and innovation governance model and policy (EN) Unite! Integrated Research and Innovation Services (IRIS) (EN) University of Lisbon Scientific Meetings (PT) Institutional Regulations, Documents and Tools: Laboratory Safety Manual (PT) Emergency Plans (PT) Privacy Policy (EN) ((Técnico Lisboa Privacy Team), the DPO and the Ethics Committee (EN). Free use available softwares for the IST research community (EN) Iberia Supercomputing (EN) Project PhD Open Days (EN) ERC Acceleration Programme (EN)</p>	<p>Initiatives undertaken: Undergoing by the Técnico Lisboa Privacy team, the IST Personal Data Processing Catalogue Suggestions for improvement: Organise an Emergency Training Plan for Teachers and Researchers Development of Specific Emergency Plans by Laboratory Type (taking into account the type of materials and chemicals used) Open Science Event</p>

**Status****8. Dissemination, exploitation of results**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Level of Awareness in dissemination of the topic Methodology guidance to improve events, conferences and workshops organization Number of thematic multidisciplinary science &amp; engineering networks National Regulations: Decree-Law nr 63/2019, Article 9th on the Promotion of Scientific and Technological Culture (PT) Decree-Law nr 115/2013, of 7 August on the Deposit of Theses and Doctoral Dissertations and Master's Dissertations (PT) Ordinance No. 285/2015, of 15 September on Technical Regulation for the Deposit of Theses and Doctoral Dissertations and Master's Dissertations (PT) Open Access Policy to Scientific Publications resulting from FCT-funded R&amp;D Projects (PT) University of Lisbon Regulations, Documents and Services: Unite! White Paper on A new University open science and innovation governance model and policy (EN) Unite! Integrated Research and Innovation Services (IRIS) (EN) University of Lisbon Scientific Meetings (PT) Interdisciplinary Thematic Networks (EN) ULisboa Colleges (EN) Institutional Regulations and Activities: Institutional Open Access Policy of Técnico Lisboa and its own or associated research units (EN) Reproduction Release Rights for Copyrighted And Proprietary Rights Material (EN) Agreement on the Regulation of Intellectual Property Resulting from a PhD Degree (EN) SCHOLAR Institutional Repository (EN) SCHOLAR Repository Users Guide (EN) Innovators@Técnico (EN), Technology Transfer Direction (EN) activities on incubators, Corporate partnership (EN) and entrepreneurship. Training for Técnico Research Units Communication Officers (EN) Science and Technology Week (yearly annual event) (EN) Instagram Técnico Lisboa (PT) Homepage of the 110 Stories, 110 Objects Project (EN) and Podcast (PT) Highlighted Research Projects (EN) Science Mugs (EN)</p>	<p>Initiatives undertaken: Técnico Lisboa HR Newsletter has a column to promote the Institution research projects Unite! Alliances Open Science Events CCN Innovation is a weekly tv show that presents the solutions of the future and the most daring ideas, led by the brightest minds in science and technology, developed in a partnership with Técnico Lisboa. Suggestions for improvement: Establishment of Interdisciplinary Thematic Networks under Widening Open Science Event/Training Best Practice Manual on how to Organize Conferences/Seminars Best Practices on Dissemination and Science Communication</p>

**9. Public engagement**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Level of dissemination of the activities Relevant publications about research available to the public in general University of Lisbon Activities: ULisboa Summer Programme (PT) Institutional Activities: - The "Explain it like I was 5 years old" programme (PT) - Students Support Unit Activities for young students: Engineer for a Day, Engineering Challenges (EN) - E-Lab Remote Laboratory - Physics on Wheels Project (PT) - European Researchers Night (PT) - Students Units Thematic Weeks: early events: Physics (EN); Biomedical (PT); Civil Eng. (PT): Tech (EN); among others. - Summer Schools (EN) - Guinness World Record for the Largest Computer Programming Lesson (EN) Science Mugs (EN) Open Labs (EN) Instagram Técnico Lisboa (PT) Homepage of the 110 Stories, 110 Objects Project (EN) and Podcast (PT)</p>	<p>Initiatives undertaken: Alumni Researcher Network for dissemination and exploitation of scientific results CCN Innovation is a weekly tv show that presents the solutions of the future and the most daring ideas, led by the brightest minds in science and technology, developed in a partnership with Técnico Lisboa. Suggestions for improvement: Development of national and international large scale events Development of research information activities for the broader public</p>

**Status****10. Non discrimination**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Level of dissemination of the activities EU Regulations: EU Charter of Fundamental Rights (EN) EU Principle of Non-Discrimination (EN) National Regulations: Constitution of the Portuguese Republic (EN) (1976, last revised in 2005) Law nr 93/2017 on the prevention, prohibition and combating of discrimination on grounds of racial and ethnic origin, color, nationality, ancestry and territory of origin (EN) University of Lisbon Regulations: University of Lisbon's Charter and Statutes (PT) (2019) Code of Conduct and Best Practice (PT) (2015) Institutional Regulations and Activities: Técnico Lisboa Charter and Statutes (PT) (2013) Regulation of the Ethics Committee (EN) Inclusive Language Manual (PT) Técnico Lisboa Guiding Values (EN) Diversity and Gender Balance (website and working group) (EN) Student Club on Mental Health and Inclusion (EN) Working Group for Students with Special Educational Needs (EN) Queer IST (LGBTI+ student group at IST) (PT)	Initiatives undertaken: Guiding Values Training Session for the Community Guiding Values promoted at the Welcoming and On-boarding activities for Staff, Professors and Researchers UNITE! Alliance Community activities Observatory for Diversity, Equity and Inclusion (PT) Suggestions for improvement: Non discrimination indicator to be accessed in the Survey to the researchers to be launched early 2025.

**11. Evaluation/ appraisal systems**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: The national regulations are out of date Insufficient user friendly tools lack of institutional commitment in the COARA guidelines National Regulations: Statute of the Scientific Research Career (PT)(ECIC, 1999), under revision by the Portuguese Government. Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Regulations: RADIST (EN): the regulations governing the Probationary Period for Teachers: Assessment and Binding Regime. Teaching Staff Evaluation Coordinating Board (PT) Probationary Period Assessment Regulations (PT) Quality Assurance System for Curricular Units (EN) Shaping the Future - Lecture Observation (EN)	Initiatives undertaken: COARA signature agreement and implementation of guidelines Suggestions for improvement: To be accessed in the Survey to the researchers to be launched early 2025. Online RADIST appraisal platform

**Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.**

**12. Recruitment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Information website lack of transparency National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members ( document with restricted Institutional access) Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT) The identified gaps are: Website Information availability and clarity (namely, the job advertisement) National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members ( document with restricted Institutional access) Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter(PT)	Suggestions for improvement: Development of a Researchers Kit improvement of the layout, design and the quality of contents in the HR webpage

**Status****13. Recruitment (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Website Information availability and clarity (namely, the job advertisement) National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members ( document with restricted Institutional access) Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter(PT)	Suggestions for improvement: Development of a Researchers Kit Internal Workshops "How to elaborate a Scientific CV" and "How to elaborate documents for job applications"

**14. Selection (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of training of assessment committee members National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members ( document with restricted Institutional access) Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT)	Suggestions for improvement: Development of a Researchers Kit Training for the Assessment Committee Members

**15. Transparency (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of advisory for candidates National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT)	Suggestions for improvement: Development of a Researchers Kit Creation of a Career Advisory Unit

**16. Judging merit (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of training of assessment committee members Selection Process mainly based on quantitative criteria National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT)	Suggestions for improvement: Development of a Researchers Kit Training for the Assessment Committee Members



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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of training of assessment committee members National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT)	Suggestions for improvement: Development of a Researchers Kit Training for the Assessment Committee Members

**18. Recognition of mobility experience (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) University Regulations: Regulations for the Equivalence to Research Grant Holders of Teaching Staff and Researchers of the University of Lisbon (PT) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members Workshops to R1-R4 researchers (EN) Tenure Track Sabbaticals (EN) Scientific Council recommendation on International Sabbaticals ( document with restricted Institutional access)	Suggestions for improvement: Development of a Researchers Kit

**19. Recognition of qualifications (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of training of administrative staff National Regulations: Decree-Law no. 66/2018 on the recognition of higher education degrees and diplomas awarded by foreign higher education institutions (PT) Institutional Recommendations and Actions: Short period Trainings or visits outside institutions- Staff Mobility for Training Erasmus + Programme (EN)	Suggestions for improvement: Development of a Researchers Kit Training for administrative staff on academic and professional qualifications and non-formal qualifications.

**20. Seniority (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of training of assessment committee members National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Institutional Recommendations and Actions: Scientific Council recommendations on recruitment and Jury Assessment Committee's: scouting, gender balance, international members Workshops to R1-R4 researchers (EN) HR Bi-monthly Newsletter (PT)	Suggestions for improvement: Training on assessment procedures for committee members Development of a Researchers Kit

**Status****21. Postdoctoral appointments (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Website Information availability and clarity lack of advisory for postdoctoral researchers National Regulations: Monthly maintenance grant values applicable to FCT scholarships (PT) Institutional Actions: Trainings for professional development (PT) (Técnico Lisboa) Trainings for professional development (EN) (Unite!)	Suggestions for improvement: Creation of Career Advisory Unit Development of a Researchers Kit PhD4Value Programme

**Working Conditions and Social Security****22. Recognition of the profession**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Increase the number of PhDs in a non-academic environment National Regulations: Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Legal regime of higher education institutions (PT (2007) Research Fellow's Statute (PT Regulations for Scientific Employment (EN) (REC, 2023) University Regulations: Regulations Governing Research Grants at the University of Lisbon (2022) (PT) University of Lisbon Regulations for the European Doctorate (PT) Institutional Regulations and Actions: Mentoring for Early Career researchers (PT) (R2) Start-Up Funds (EN) (R2)	Initiatives undertaken: Técnico Doctoral School Regulation Suggestions for improvement: Creation of Career Advisory Unit PhD4value Researchers Kit

**23. Research environment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Accessibility to research labs, facilities and classrooms Institutional Regulations and Actions: Laboratory Safety Manual (EN) Emergency Plans (PT) Remote access via VPN, Support Softwares (EN)	Initiatives undertaken: Unite! catalogue of shared research infrastructures (EN) Unite! Research Networks Suggestions for improvement: Translation of Key Documents into English Annual Survey on research conditions Improve the accessibility of the research infrastructures

**24. Working conditions**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Lack of physical space due to the location of the campi National Regulations: Law 35/2014 regulates the General Labour Law in Public Functions (PT) Law 7/2009, the Portuguese Labour Code (PT) Law 90/2019 (PT) and Decree-Law 53/2023 (PT) on parental rights and protection. Higher Education Teaching Career Statute regulates the sabbatical leaves (EN) (ECDU, 2009) Institutional Regulations and Actions: RAPID - Procurement Management System, under the Legal Notice Nr n.o 14845/2018 (PT) Working Hours Policy: Exemption from Scheduled Hours for Academic Staff and Research Personnel Diversity and Gender Balance (website and working group) Post Parental Leave (EN) Técnico Lisboa Workers Association runs a kindergarten and nursery in the Alameda campi (PT) Regulation for Students with Special Educational Needs (PT)	Initiatives undertaken: Improvement of the classrooms and working spaces Laboratories security guidelines and training (EN) Suggestions for improvement: Development of an ergonomic study of the workplaces/offices.

**Status****25. Stability and permanence of employment**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The identified gaps are: more available support to foreign researchers lack of identification of different career paths National Regulations: Law 35/2014 regulates the General Labour Law in Public Functions (PT) Law 112/2011 allowed the Regularisation of Fixed-Term Contracts Decree-Law 112/2021 regulates the Promotion to Senior Positions in Higher Education and Research FCT Tenure-Track programme (EN) University Regulations: Regulation for the Employment of Professors (PT) Institutional Regulations and Actions: Regulation for the Employment of Professors (PT)	Initiatives undertaken: Mentoring SPF (EN) Suggestions for improvement: Creation of Career Advisory Unit

**26. Funding and salaries**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	The identified gaps are: more awareness of the existing Legislation National Regulations: Regulations for the Assessment of the Probationary Period, DL 57 (EN) Statute of the Scientific Research Career (PT) (ECIC, 1999) Higher Education Teaching Career Statute (EN) (ECDU, 2009) Regulation on Supplementary Payments under Contract, Regulation 500/2019 (PT) Law 35/2014 regulates the General Labour Law in Public Functions (PT) Law 7/2009, the Portuguese Labour Code (PT) Studentships Funding Programmes (EN)	Suggestions for improvement: Researchers Kit

**27. Gender balance**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The identified gaps are: Lack of awareness of the available tools and actions that promote and assure gender balance in the Institution National Regulations: Law n.º 38/2018 Decree-Law 392/79 Institutional Regulations and Actions: Gender Equality Plan (PT) Técnico Lisboa Guiding Values (EN) (2023) Regulation of the Ethics Committee (EN) Diversity, Inclusion and Gender Equality Group (EN) Trainings on Work-life balance, and the Gender Equality Plan (PT) Maria de Lourdes Pintasilgo Award Scholarships for PhD and MSc female students funded by external companies (EN)	Suggestions for improvement: Creation of a new website for the Diversity, Inclusion and Gender Equality Diversity, Equity and Inclusion Observatory

**Status****28. Career development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Lack of awareness of the actions and tools available to support the career development Lack of career counseling or support tools to explore all career paths National Regulations: Decree-Law 112/2021 regulates the Promotion to Senior Positions in Higher Education and Research Institutional Regulations and Actions: Shaping the Future Training Programme Shaping the Future Mentoring Shaping the Future Lectures Observation Shaping the Future Start-Up Funds Shaping the Future Partial Sabbatical	Initiatives undertaken: Phd4value Técnico Doctoral School Suggestions for improvement: Researchers Kit Creation of Career Advisory Unit

**29. Value of mobility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Increase the number of PhDs in a non-academic environment National Regulations: Science and Technology Foundation short term scholarships (EN) Institutional Regulations and Actions: Resolution of the Scientific Council on the provision of sabbatical leave for Professors and Researchers (PT) Técnico Lisboa Strategic Plan 2020 - 2023 has an ax on Internationalization Tenure Track Partial Sabbatical (EN) mandatory and abroad Short period Trainings or visits outside institutions- Staff Mobility for Training Erasmus + Programme (EN) Técnico is integrated in several international networks and programmes that aim at mobility in master's, doctoral programs, internships or research projects combined with unique experiences of growth and intercultural experiences: Studies Mobility (EN) Internships Mobility (EN) Short Courses Mobility (EN) Short Term Mobility for Doctoral Students (EN)	Suggestions for improvement: Unite! Research Communities Widening Research Communities

**30. Access to career advice**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Only available during the tenure track period. Institutional Regulations and Actions: Shaping the Future Mentoring	Initiatives undertaken: Phd4value Suggestions for improvement: Creation of Career Advisory Unit

**Status****31. Intellectual Property Rights**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	EU Regulations: The European code of Conduct for Research Integrity (EN) General data Protection Regulation (EN) National Regulations: Intellectual Property Code (EN)(decree-law 237/2018) University Regulations: ULisboa Technology Transfer and Knowledge Centre Regulation (TTC@ULisboa) (PT) Institutional Regulations and Actions: IST has an Intellectual Property Policy (EN) that was approved in 2010. The contents of this policy are important for all of IST's collaborators (students, professors, researchers and other employees) as well as for all entities that interact with the School Agreement on the Regulation of Intellectual Property Resulting from a PhD Degree (EN)	Initiatives undertaken: Open seminars on the Awareness of the relevant property issues (Transfer and Technology Office) IP Talks@Técnico (EN) Information on Invention or Creation Disclosure (EN)

**32. Co-authorship**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The identified gaps are: lack of awareness of researchers of the available means Institutional Regulations and Actions: Article 10.1 of Técnico teachers' evaluation system - RADIST (PT)- describes the parameters of the research aspect, both qualitative and quantitative, valuing diversity in scientific publication activity, either individually or in co-authorship: " Scientific publications, taking into account books, book chapters, articles in journals and in the proceedings of scientific/technical conferences that the appraisee has authored or co-authored Regulation of the Ethics Committee (EN) Intellectual Property Policy (EN) Shaping the Future recommendations on the researchers' independence: IST encourages co-authorship among its members, as well as with staff from other institutions (national and international). Researchers are provided with the necessary framework to ensure they are recognized and listed and/or cited as co-authors of papers, patents, etc., in alignment with their actual contributions. They are also given the right and recommended to publish their own research results independently of their supervisor(s).	Suggestions for improvement: Researchers Kit Professional Counseling under PhD4Value

**33. Teaching**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: lack of awareness of researchers of the available means lack of motivation to participate in teaching actions due to a reduced impact in the professional appraisal University Regulations and actions: Pedagogical Training for Professors (EN) Tenure track Professors training (PT) Project Observe and Learn (PT) Pedagogical Innovation Project and Award (PT) Pedagogical Consultancy (PT) Pedagogical Journeys - est. 2022 (PT) Post-Graduation in Higher Education Pedagogy (PT) Institutional Regulations and Actions: Contigo+, seminar on pedagogy for Higher Education (PT) Pedagogical Innovation Projects (EN) Excellent Teaching Staff (PT - institutional restricted access), As a factor of promotion of Good Practices, members of the teaching staff who show exemplary results will be publicly acknowledged by the Técnico-Lisboa's Governance Bodies Quality Assurance System (EN)	Initiatives undertaken: Teaching Spaces and Learning Resources (currently under renovation) Suggestions for improvement: Researchers toolkit

**Status****34. Complains/ appeals**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The identified gaps are: Lack of dissemination and awareness about the complains/appeals mechanisms National Regulations: Law 93/2021 defines the Whistleblower Protection Policy Legal regime of higher education institutions (PT) (2007) University Regulations and Actions: Whistleblower Channel (EN) Statutes of the University of Lisbon (PT) Institutional Regulations and Actions: Statutes of Técnico Lisboa (PT) Técnico Ombudsman Office (EN) Regulations of the Ombudsman's Office (PT) Training in Conflict Management (PT) Técnico Lisboa allow the hearing of interested parties in all competitions in multiple stages	Suggestions for improvement: Researchers toolkit

**35. Participation in decision-making bodies**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The identified gaps are: Although applying the National Regulation there's a lack of specific internal regulation indicating a minimum/maximum number of female/male representatives in the Governing Bodies of the Institution National Regulations: Law 26/2019, regulates the regime of gender balance in the composition of the governing bodies and organs of the Public Administration (PT) Institutional Regulations and Actions: School Assembly Regulation (PT) determines the following distribution for its 60 members: 30 professors and researchers, 20 students, 10 non-academic staff School Council Rules of Procedure (PT, restricted access) determines the following distribution for its 15 members: 9 Professors and Researchers, 2 students, 1 non-academic staff, 3 personalities non-linked to the Institution As defined in Técnico Lisboa Statutes (PT), the Management Board is composed by the President, the Vice-Presidents, the Administrator, other members designated by the President As defined in Técnico Lisboa Statutes (PT), the Consultative Council is composed of the outstanding personalities without any labor ties to the school As defined in Técnico Lisboa Statutes (PT), the Scientific Council is composed by 25 members, its President, 16 Professors and Researchers, 8 representatives from the Research Units As defined in Técnico Lisboa Statutes (PT), the Pedagogical Council is composed by 23 members, the President, 11 Professors and 11 students	Suggestions for improvement: Researchers toolkit

**Training and Development****36. Relation with supervisors**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	The identified gaps are: Lack of specific training, thoroughly organized/structured to follow the researchers tenure track period. Institutional Actions: Available Training under the Técnico Doctoral School Available Training under the PhD Open Days Available Training under the Training and Development Unit - Human Resources Training for Master Degree Students on how to deal with their Master Thesis Supervisor (PT, restricted access)	Suggestions for improvement: PhD4Value

**Status****37. Supervision and managerial duties**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Lack of specific preparation training for the supervisors. Lack of support structures for supervisors to share best practices - supervision for supervisors University Actions: Trainings on Pedagogy Development (PT) Institutional Actions: Trainings for Supervisors under the Fundamental and Complimentary Training - Shaping the Future Programme (EN) Assistant Professor and Researcher Mentoring - Shaping the Future (EN)	Suggestions for improvement: Development of a Guide for PhD Supervisions in the Researchers Toolkit Development of specific training for supervisors Development of specific training for Management Bodies representatives.

**38. Continuing Professional Development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The identified gaps are: Dissemination and engagement of the researchers in the training actions University Actions: Trainings on Pedagogy Development (PT) Observe and Learn: peer classes observation. Trainings for professional development (EN) (Unite!) Unite! Researchers Development Framework (EN) Unite! Development Needs Analysis Tool (EN) Institutional Actions: Fundamental and Complimentary Training (PDF) - Shaping the Future Programme (EN) Available Training under the Training and Development Unit - Human Resources (PT) Contigo+ Training Programme (EN) Assistant Professor and Researcher Mentoring - Shaping the Future (EN) Best Practices Observatory (ObservIST) (EN) Lectures Observation (EN)	Initiatives undertaken: Shaping the Future Mentoring during the tenure track (EN) Suggestions for improvement: Researchers Toolkit Career Advisory Unit

**39. Access to research training and continuous development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The identified gaps are: Dissemination and engagement of the researchers in the training actions Lack of a systematic assessment of the researchers competences development process and competencies acquisition planning through training University Actions: Trainings for professional development (Unite!) (EN) Unite! Researchers Development Framework (EN) Unite! Development Needs Analysis Tool (EN) Institutional Actions: Fundamental and Complimentary Training (PDF) - Shaping the Future Programme (EN) Available Training under the Training and Development Unit - Human Resources (PT) Contigo+ Training Programme (EN) Assistant Professor and Researcher Mentoring - Shaping the Future (EN) Lectures Observation (EN) ObservIST (EN) Participation in National and International Conferences of relevance to the the researchers field of study Academic Writing Training Horizon Europe Training (PT)	Suggestions for improvement: PhD4Value Programme Unite! and Widening Science Skills Academy Unite! and Widening Research Communities

**Status****40. Supervision**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The identified gaps are: Lack of a formal structure to support the Supervisors in their role University Actions: University of Lisbon Trainings for the support of early-career development (PT) Institutional Actions: Mentoring (EN): As part of the Shaping the Future Program, a mentor is assigned to all Assistant Professors and Assistant Researchers during their tenure. The mentor's role is to advise on IST values and best practices and on career development, helping mentees to manage their career during the tenure period, including the recruitment and supervision of PhD and Master's students, teaching practices, research and funding-seeking strategies and other mentoring/coaching components. Shaping the Future Trainings on supervision (EN, restricted access) Unite! Training Catalogue (EN)</p>	<p>Initiatives undertaken: The Shaping the Future Training has a session on sharing good practices in Supervision Suggestions for improvement: Researchers Toolkit Create Learning Communities (suggest a Session about Supervision in the Contigo+) Development of specific training for supervisors</p>