

# Gap analysis

**HR Excellence in Research**

# **GAP Analysis (Charter and Code Checklist)**

## **GAP Analysis (Charter and Code Checklist)**

**Case number**

2023PT81740

**Name Organisation under review**

Faculdade de Medicina

**Organisation's contact details**

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Lisboa, Portugal

**Date endorsement charter and code**

29/03/2023

## Submission date to the European Commission

12/06/2024

### GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles 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

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#### Ethical and Professional Aspects

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## Status

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### 1. Research freedom

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	There is not any declared initiative to promote research freedom. However, this was continuously reported by researchers in the survey and at world café as the major asset of FMUL. Thus, some initiatives in the current action plan could work to maintain and strengthen it throughout the years.	Implement a comprehensive research integrity strategy. Create a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers (lecturers, assistant professors, assistant researchers).

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### 2. Ethical principles

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Ethical support to research is low, with no specific training in research ethics and integrity or insufficient safe channels to support ethical decision making or report research/scientific misconduct. The existing ethics committee is responsible for evaluating different types of projects, which causes a significant overload, negatively affecting the development of research projects, especially those carried by master's and doctoral students.	Implement a comprehensive research integrity strategy. Implement a workflow with Ethics Committee to facilitate the ethical clearance of CAML research projects (mostly the ones carried by master's and doctoral students).

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## Status

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### 3. Professional responsibility

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Plagiarism is an occasional topic in the field of education. However, it is necessary to bring this and similar topics in the field of research integrity into a wider discussion.	Implement a comprehensive research integrity strategy.

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### 4. Professional attitude

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Low level of knowledge regarding what is expected from each academic/scientific role or position. Low level of knowledge of research soft skills.	Create and use standardised grids to clarify the allocation of time to each academic task/function (research/teaching). The standardised grids will be available at FMUL researchers' area and will be integrated into the annual evaluation report of FMUL's scientific activity. Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication). Create an online FMUL researchers' area to aggregate information relevant to daily research activities. Strengthen Research Projects Office.

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## Status

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### 5. Contractual and legal obligations

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Although there are standard regulations to staff recruitment in public institutions, FMUL does not have its own OTM-R policy. Also, it is not always evident how the workload distribution is done or exactly which tasks are supposed to be performed in different academic roles/positions.	Develop OTM-R policy and publish it in English and Portuguese at FMUL website. Create and use standardised grids to clarify the allocation of time to each academic task/function (research/teaching). The standardised grids will be available at FMUL researchers' area and will be integrated into the annual evaluation report of FMUL's scientific activity.

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### 6. Accountability

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Researchers and teaching staff are not acquainted with project management, data management or financial project management.	Implement a comprehensive research integrity strategy. Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication). Strengthen Research Projects Office.

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## Status

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### 7. Good practice in research

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	Data management plans and data management needs to be discussed and properly implemented. Generic project management practices need to be implemented.	Develop “how to” guides to standard procedures and workflows - the guides will be made available online at FMUL researchers' area. Implement a comprehensive research integrity strategy. Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication). Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management).

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### 8. Dissemination, exploitation of results

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	Internal communication channels are not fully effective to circulate relevant information to disseminate not only results, but also ongoing research projects, or even possible shared of results. Partnerships with industry or public sector to organise knowledge transfer actions are needed.	Create an online FMUL researchers' area to aggregate information relevant to daily research activities. Organise the FMUL annual Scientific meeting. Create a technology and knowledge transfer office (to support PhD program in enterprises; promote entrepreneurship in medical research, providing training in this particular field).

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## Status

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### 9. Public engagement

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Besides the current initiatives, public engagement could be promoted by targeted activities.	Create the FMUL open day - open to the general public and specific targeted groups (e.g. patients associations).

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### 10. Non discrimination

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The recently created Committee for Gender Equality, Inclusion and Non-discrimination has already started to discuss the topic in informal spaces, however, there is still missing an effective reporting channel for discrimination situations or training to all staff to raise awareness on this topic.	Implement a series of training workshops, as safe reporting channels of malpractice and abuse in terms of gender, discrimination and harassment. Develop OTM-R policy and publish it in English and Portuguese at FMUL website.

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## Status

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### 11. Evaluation/ appraisal systems

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	There is no intermediate evaluation system that allows researchers to plan their own careers, being able to understand what is needed to progress to the next career level.	Define and disseminate academic roles (research and teaching) functional content and the expected tasks to be performed in each one - the documents will be available at FMUL researchers' area.

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**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.**

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### 12. Recruitment

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Although there are standard regulations to staff recruitment in public institutions, FMUL does not have its own OTM-R policy.	Develop FMUL OTM-R policy and publish it at FMUL website in Portuguese and English. Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 13. Recruitment (Code)

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	The recruitment process is hindered by the absence of established deadlines and workflows.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback. Design templates for researchers and teaching staff recruitment (to be available at FMUL researchers' area).

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### 14. Selection (Code)

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	In the case of tenure track positions, it is not possible to include a recruitment interview as defined by law. However, when recruiting researchers to research projects includes, in general, face-to-face, or online interviews.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 15. Transparency (Code)

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	In recruitment process, there are totally transparent steps, while others are not so clear. Usually, no specific feedback at the end of the selection process is provided.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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### 16. Judging merit (Code)

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	Although the assessment criteria are defined in the call opening, judging merit is not always clearly documented.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback Design templates for researchers and teaching staff recruitment (to be available at FMUL researchers' area).

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## Status

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

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Parental and sick leaves are already considered, however due to scarcity of open positions, academic activity is the mostly valued than other professional paths.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Although, there is a tacit positive valuation in mobility experience, especially experience abroad or professional experience as health professional in recruitment procedures, this is not a comprehensive or fully established practice.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 19. Recognition of qualifications (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Qualifications and diplomas obtained in foreign countries undergo through a recognition procedure regulated by law: Decree-Law no. 66/2018 and Portaria no. 33/2019, changed by Portaria no.43/2020. FMUL OTM-R policy provides links to the aforementioned legal framework.	Develop and publish OTM-R policy.

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### 20. Seniority (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Usually, the candidates experience is evaluated in absolute numbers, not considering the path and the diversity of professional experience.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 21. Postdoctoral appointments (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Current support/funding to scientific and academic careers is unclear and uncertain at a national level, creating serious constraints to careers stability.	Create a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers (lecturers, assistant professors, assistant researchers).

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### Working Conditions and Social Security

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### 22. Recognition of the profession

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Law no.124/99 established the Statutes of Scientific Research Career. The law is currently under revision at national level. Still the timeline to the release of the new revision is still unknown.	Develop and publish OTM-R policy.

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## Status

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### 23. Research environment

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>At the current moment, there is no welcome program that promotes the new staff to be integrated at FMUL environment, including the navigation in FMUL services and bureaucratic procedures. Additionally, researchers lack support to apply for research projects funding. The institutional communication is mostly done in Portuguese which turns difficult to international researchers to understand. Doctoral students lack a specific support community to target their specific needs. Although the proper employees health and safe measures are implemented there is the need to have a more comprehensive health at the workplace program.</p>	<p>Create an online FMUL researchers' area to aggregate information relevant to daily research activities. Strengthen Research Projects Office. Adopt bilingual communication by default in email and work/institutional communication, working forms/templates. Create the onboarding/welcome program for researchers and teaching staff. Implement a comprehensive occupational health program.</p>

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## Status

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### 24. Working conditions

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Administrative procedures are not always clear for researchers, and usually difficult to interpret. Also, the onboarding procedure varies widely across departments and depends on the recruitment route (ad hoc hiring or tenure-track) making difficult to create a good onboarding and good working environment in initial stage.	Implement a comprehensive occupational health program. Create an onboarding/welcome program for researchers and teaching staff. Adopt bilingual communication by default in email and work/institutional communication, working forms/templates. Create FMUL research area – a “one-stop shop” virtual platform.

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### 25. Stability and permanence of employment

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Mobility between careers is not always valued, to what contributes the scarcity of open positions, with researchers persisting in academia with more competitive CVs to be considered to recruitment, in comparison to others that have been working outside academia.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 26. Funding and salaries

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Funding and salaries for academic career follows the rules and the legal framework for academic careers in the public sector, which is limited and less competitive when compared to industry or medical careers in private sector. Current support/funding to scientific and academic careers is unclear and uncertain at a national level, creating serious constraints to careers stability.	Create an internal funding open call to support minor researchers' costs (e.g. conferences, training courses) with a clear and transparent attribution criteria. Create a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers (lecturers, assistant professors, assistant researchers).

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### 27. Gender balance

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Currently, the recently created Committee for Gender Equality, Inclusion and Non-discrimination has already started to discuss the topic in informal spaces, however, there is still missing an effective reporting channel for discrimination situations or training to all staff to raise awareness on this topic.	Implement a series of sessions and training workshops on gender and non-discrimination area, as safe reporting channels to malpractice and abuse in terms of gender, discrimination, and harassment.

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## Status

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### 28. Career development

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Tasks and roles assignment could be organised differently to promote the diversity mostly in coordination roles. Early career researchers lack support from a mentor or advisor to help them to proceed in their careers.	Create a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers (lecturers, assistant professors, assistant researchers). Create a technology and knowledge transfer office (to support PhD program in enterprises; promote entrepreneurship in medical research, providing training in this particular field). Create and use standardised grids to clarify the allocation of time to each academic task/function (research/teaching). The standardised grids will be available at FMUL researchers' area and will be integrated into the annual evaluation report of FMUL's scientific activity.

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### 29. Value of mobility

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Mobility between careers is not always valued, to what contributes the scarcity of open positions, with researchers persisting in academia with more competitive CVs to be considered to recruitment, in comparison to others that have been working outside academia.	Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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## Status

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### 30. Access to career advice

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-- insufficiently impleme...	No specific career advice is provided. At the moment, there is no activities ongoing.	Create of a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers (lecturers, assistant professors, assistant researchers).

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### 31. Intellectual Property Rights

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Intellectual property rights are regulated by University of Lisbon through the University of Lisbon Intellectual Property regulation. Thus, a Technology and knowledge transfer office located at FMUL might be helpful to respond to the specific needs of FMUL community, disseminate the Intellectual Property regulation in a proper manner, better working in the articulation of the services of University of Lisbon with FMUL researchers, and provides them with local assistance.	Create a technology and knowledge transfer office, support PhD program in enterprises; promote entrepreneurship in medical research).

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## Status

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### 32. Co-authorship

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	Co-authorship is not always easy to identify in collaborative work.	Implement a comprehensive research integrity strategy. Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication).

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### 33. Teaching

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<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	Teaching and research activities are not always balanced, and it is difficult to know how effectively how many hours are dedicated to one or another.	Create and use standardised grids to clarify the allocation of time to each academic task/function (research/teaching). The standardised grids will be available at FMUL researchers' area and will be integrated into the annual evaluation report of FMUL's scientific activity.

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## Status

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### 34. Complains/ appeals

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	All recruitment procedures are compliant with the national law, which considers complains/appealing procedures. After the publication of 1) admission results 2) final results, the candidates have usually a 10 working days period to claim.	Develop and publish OTM-R policy. Offer training in recruitment and selection of researchers, including how to organise a call, dissemination of code of conduct in the recruitment of researchers, how to report and provide adequate feedback.

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### 35. Participation in decision-making bodies

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Many decision-making bodies includes a diversity of areas and people, there are others that still needs to be improved.	Organise the CAML PhD Students Committee. Integrate a representative of CAML PhD Students Committee in relevant decision-making bodies (e.g. pedagogical council).

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## Training and Development

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## Status

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### 36. Relation with supervisors

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Supervisors-students relationships could be optimised and potentialized in the future.	Offer a training program in science soft skills for doctoral students (open science, research data management, science communication). Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management).

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### 37. Supervision and managerial duties

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	There is already implemented a limitation on supervision duties to avoid low quality and unfair distribution of students per supervisor. Still, it is not a common or fully implemented practice, senior researchers acting as advisors or mentors of junior researchers.	Create of a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers. Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management).

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## Status

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### 38. Continuing Professional Development

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The access to research training is improving, still there is the need to plan in advance and to provide a consistent and predictable offer all year round addressing topics according researchers' needs.	Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management). Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication). Create a mentorship Program for Early Career Researchers and Teaching staff at initial stages of their careers.

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

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The access to research training is improving. Still there is the need to plan in advance and to provide a consistent and predictable offer. Additionally, it is not always possible to support researchers and staff to go to conferences or training.	Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management). Create an internal funding open call to support minor researchers' costs (e.g. conferences, training courses) with a clear and transparent attribution criteria.

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## Status

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### 40. Supervision

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Supervision of master and doctoral students could be improved regarding quality and workload distribution.	Organise the annual hands-on soft skills training program for researchers and teaching staff (early development of teaching skills, supervision skills; project management, team leadership, research data management). Offer a training program in science soft skills for doctoral students (e.g. open science, research data management, science communication).