



Agència  
per a la Qualitat  
del Sistema Universitari  
de Catalunya

*Research Assessment Committee*

*Criteria for the issue of tenure-eligible  
lecturer reports*

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# SUMMARY

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## GENERAL CRITERIA

Act 1/2003 on universities in Catalonia (hereafter called LUC) provides that “tenure-eligible lecturers are doctoral assistant lecturers and they are contracted by the university for the performance of teaching and research tasks, in the initial phase of their academic career”. The tenure-eligible lecturer contract shall be for “full-time employment” and its duration may not in any case be more than five years.

From the foregoing, and from the context in which this provision is set, it is inferred that this position has been conceived for Doctors (a) who have, above all, a university teaching and research vocation; (b) who, having completed their training stage, are in a position to carry out, with rigour and quality, full teaching and research activities, and (c) whose university objective is to achieve, in a set period, a different position that will be the natural result of this preliminary phase, which is consequently conceived as a phase of maturation.

The position of the tenure-eligible lecturer is one of various established to cover the period between the training level and the permanence level (either of civil-service or contractual nature). It is, therefore, a transitional position, which the legislation in force has not sought to extend beyond a period of five years.

As a transitional position, a tenure-eligible lecturer must possess certain skills at the time of recruitment, together with the reasonable possibility that these skills will materialise over the course of a five-year contract. Such skills are what vouch for the teaching and research that a tenure-eligible lecturer will have to undertake. In addition, there should be reasonable indications that, at the end of this period, a tenure-eligible lecturer will be in objective conditions to apply for tenure.

This is the reason behind the requirements set by the LUC in its Section 49.3 and also behind the demands set by the functional context of the Act:

- a) In the first place, obviously, to hold a doctor’s degree.
- b) Secondly, to hold a positive report from the Agència per a la Qualitat del Sistema Universitari de Catalunya (hereinafter AQU Catalunya).

For the issue of these reports, AQU Catalunya, acting through the Research Assessment Committee (hereafter called the CAR) has set the criteria to assure that the persons who may be contracted as tenure-eligible lecturers will present the characteristics demanded by the transitory character of this position.

For the concretisation of these criteria, the CAR has kept in mind the flexibility necessary to be able to adapt them, on the one hand, to the broad diversity of assessed profiles, and on the other hand, to the specific characteristics of each area of knowledge.

In general terms, the criteria that guide the assessment of each of the significant particulars, in accordance with the resolution of the CAR dated 2 April 2003, which was made public by the Resolution UNI/938/2003, of 11th April (DOGC no. 3866, of 16 April 2003), are as follows:

## Research experience

### Publications

Publications are, generally, among the merits that are assessed on a priority basis.

The assessment of the publications is the specific assessment for each field of knowledge. Nevertheless, the goal pursued is that the particular parameters for the assessment may allow the prioritisation, in each field, of the articles, book chapters and other publications that form scientific contributions measured by their quality and originality. The publications that are most highly assessed are those that entail a progress of knowledge; in this respect, popularising publications are of much less importance in assessment.

The publications of scientific articles are assessed according to the prestige of the journal in its field, taking into consideration the number of authors and their order in those areas in which these variables indicate the degree of participation of the assessed person. In other areas consideration is given to the classification of the journal according to the Journal Citation Reports (JCR) or to the mere publication of the article in a journal indexed in the Science Citation Index Expanded (SCIE), the Social Science Citation Index (SSCI) or the Arts and Humanities Citation Index (AHCI). The values of the Journal Impact Factor (JIF) and the division of the lists of journals into quartiles will be applied as from the JCR edition of the year of publication of each article or as from the last available edition in the case of recent articles. In the case of journals not indexed in these three databases (SCIE, SSCI or AHCI), consideration will be given wholly to the scientific recognition of the journal in its area on the basis of its presence in international indexing and abstracting databases (especially Scopus as an alternative in indexing by citations), of the rigour and objectivity of the selection process of the articles, of the existence of an editorial committee formed by experts of acknowledged prestige or, quite especially, of the application of an independent external assessment process before publication. The publications of conferences are assessed by taking into consideration the process of selection and publication of the lectures.

In the publication of books, consideration is given to the quality of the publishing house, bearing in mind its exigency and scientific rigour in the selection processes of the published studies, the number of authors, and the type of contribution, whether it is in the book as a whole, in one or more chapters, or in the publication of a collective book.

Consideration has also been given to artistic works in the fields in which they form an important type of research production, assessing their quality and originality.

In the assessment of publications, consideration is given to the quality and quantity of the publications with respect to the time that the candidate has devoted to research. Generally speaking, the criterion has been established of assessing especially the candidate's career in recent years. As a general principle, quality, demonstrated by objective internationally accepted parameters, will prevail over quantity.

## **Participation in research projects**

In the participation in research projects, the projects that are of a competitive nature are assessed on a priority basis.

## **Contributions to congresses**

In contributions to congresses, consideration is given to their scope and international significance, to the circumstance that the selection process has undergone an independent external assessment, and to the type of contribution.

## **Stays at research centres**

The medium- and long-duration research stays (involving a minimum of three months but preferably more than six months) at research centres of acknowledged international prestige other than the centre at which the researchers usually carry out their work, are positive elements in the assessment and they are considered indicators of the assessed persons' training and research potential for the performance of their own lines of research.

## **Direction of research or development activities**

With respect to the direction of research and development activities, assessment is made of the direction of doctoral theses, licentiate theses or other research studies. The direction of competitive research or development projects is a merit that supplements this section.

## **Technology transfer, patents, utility models and other results.**

In the case of technology transfer, assessment is made of the originality involved and the degree of operation of the results. Consideration is also given in this section to the participation in competitive technology-transfer projects.

## **Academic background**

### **Predoctoral**

In predoctoral training, consideration is given to the academic record, and an additional merit is the fact of the applicant's possessing more than one degree.

### **Doctoral and postdoctoral**

In doctoral training, assessment is made of the centre at which the training has been carried out, of the applicant's having been awarded a competitive grant, of the grading of the doctoral thesis, and of the publications that have derived from this research study. Additional merits are that the doctoral student has made research stays at centres of international prestige during his

or her training. With respect to postdoctoral training, assessment is made of the research conducted at centres other than that where the thesis was prepared, taking into consideration its international prestige. The award of competitive grants or contracts is an additional merit.

## Teaching experience

### University teaching career

The assessment of formal degree programme-related teaching work at university is based on the number of courses given and the volume of accredited teaching, in terms of either theoretical or practical teaching. Non-university teaching is not a merit that is taken into consideration in this section, and such teaching, if any, is assessed in the section on other teaching merits.

### Assessment reports

These reports are assessed on the basis of the prestige of the person who has issued them, the information that they contain and the relation between the signatory and the applicant.

### Teaching innovation

In the assessment of teaching innovation, consideration is given to the teaching innovation projects on the basis of their degree of quality, their financing entity and their duration. Also assessed in this section are the institutional activities for the improvement of teaching.

## Final considerations

The issue of a positive report is the result of an overall assessment of all the merits proposed in each of the sections, placing the greatest weight on research experience and, especially, on publications.

A low assessment in one section may be compensated by merits in other sections; consequently, a positive report does not necessarily mean that the level demanded by the CAR has been reached in each assessed section, just as a negative report does not necessarily mean that insufficiencies have been observed in each one of these sections. However, for the issue of a positive report, a low assessment with respect to publications can only with difficulty be compensated by a positive assessment of the other sections.

# HUMANITIES

The committee dealing with Humanities, will assess the academic background, research experience and teaching experience of candidates. Consideration will be given to the merits accumulated over the course of the applicants' whole curriculum, and especially of their career during the previous four years.

## Academic background

### Predoctoral

The merit that is mainly assessed is the average of the record of the applicant's career. A supplementary (but in no case obligatory) merit is to hold a second degree (pre-Bologna or post-Bologna degree).

### Doctoral

The assessment is mainly based on the grade obtained in the reading of the doctoral thesis and, above all, on the circumstance of the thesis having given rise to research publications. Supplementary merits include the circumstance of having obtained a training grant in a competitive convocation, that of having made a stay with a minimum duration of three months at a research centre of acknowledged level during the preparation period of the thesis, or that of having won Highest Honours in the doctorate.

### Postdoctoral training

Adducible merits include Master's courses and postgraduate courses (which will be assessed on the basis of their value in teaching-hours), the circumstance of having been an intern in postdoctoral programmes (Ramón y Cajal, reincorporation, ICREA, etc.), stays at research centres of acknowledged prestige in the period following the reading of the doctoral thesis (minimum 3 months).

## Research experience

### Publications

Research publications will be assessed on the basis of their volume with respect to the candidate's career, and of their degree of quality.

In order to calculate the score for the generated volume of research, the basic measurement unit (1 point) is considered to be an article or book chapter with a minimum length of 10 pages. On the basis of the type of contribution and its length, application will be made of multiplying

factors (for example, a book has a factor greater than 1) or reducing factors (for example, an article or book chapter of less than 10 pages or a review are worth less than 1 point). Application will also be made of a reducing factor in consideration of the number of authors of the respective contributions. In any case, a minimum of 6 points must be achieved in order for this section to be positively assessed, regardless of the number of years that have elapsed since the termination of the applicant's undergraduate degree.

The quality of research is assessed on the basis of the journals and publishing houses in which the candidate has published his or her contributions. The international citation indexes which are prominent in the field (Social Sciences Citation Index, Arts and Humanities Citation Index, Scopus) and other specialised databases will be used. The confidential reports issued by academics at the request of the candidate may also be considered signs of quality. The qualitative dimension takes preference over the quantitative dimension, whereby a positive assessment with respect to the former may compensate a lower volume of production than that which is established as typical. In any case, in order to obtain a score corresponding to levels A or B in the publications section, a positive qualitative assessment must be obtained.

Deficiencies relating to quantity may be compensated by merits of very high or exceptional quality in the form of publications in which the applicant is the principal and corresponding author. The quality should be duly justified and proven by indicators and verified repercussion evidence<sup>1</sup> provided by provided by the applicant.

## Congresses

For congresses, criteria of volume and quality are followed that are similar to those set out for the section on publications. In this section, a basic contribution is considered to be an orally-presented communication (1 point). Reducing factors are applied on the basis of co-authorship and type of contribution. In order to be positively assessed in this section, the volume of contributions to congresses must reach one of the following two magnitudes: (a) average of 1 point per year from the achievement of the degree (pre-Bologna or post-Bologna degree) that bears the closest relation to the candidate's speciality, or if this score is not achieved, then (b) 1,25 points per year in the period of the last four years before the assessment. Signs of quality are the international and selective character of the congresses and the publication of the communications and lectures that were presented. In any case, in order to obtain a score corresponding to levels A or B in this section, it is necessary to have achieved a positive qualitative assessment.

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<sup>1</sup> The term 'repercussion evidence' is considered more precise than the term 'impact' since it allows consideration of other elements aside from the impact of the journals (citations, reviews, influence index of journals or authors, etc.).



## Research projects and others

Consideration is given mainly to the participation and contribution in competitive projects. Non-competitive agreements and projects have a supplementary consideration. A positive assessment is obtained in this section for having formed part of competitive projects during one half of the period elapsed since the awarding of the candidate's first degree or else during the previous four years. In this section, additional merits are considered to be the circumstance of having formed part of a quality research group (as recognised by the Generalitat de Catalunya) or that of having been the lead researcher in some competitive project. Consideration is also given to research stays and to the direction of research or development activities, and to other merits that may be adduced in this section.

## Teaching experience

### Teaching career

Consideration is given to the proven volume of formal university teaching and evidence of quality in teaching. In order to assess the latter aspect, consideration is given to the reports from academic managers on the teaching carried out, to the results of the student satisfaction surveys and to the diversity and content of the subjects taught. It is considered that a teaching volume equivalent to two years at full time (20 credits/year) is a sign of sufficiently significant teaching experience.

### Teaching innovation and teacher training

Consideration is given to the candidate's contributions to projects and other activities in teaching innovation and institutional activities to improve teaching. Proof of a minimum of three contributions in this field gives rise to a positive score. To determine the score in this section, consideration will also be given to the indexes of quality provided by the candidate in relation to the adduced activities. With regard to teacher training, account will be taken of participation as an assistant in university teacher training courses, programmes and postgraduate programmes on the basis of the number of hours in each.

## General considerations

The weighting of the sections and subsections that form the assessment will be as follows:

<b>a) Academic background</b>	<b>15%</b>
Predoctoral	5%
Doctoral	5%
Postdoctoral	5%
<b>b) Research experience</b>	<b>60%</b>
Publications	30%
Congresses	15%
Research projects and others	15%



<b>c) Teaching experience</b>	<b>25%</b>
Teaching career	15%
Teaching innovation and teacher training	10%

The grade obtained in each dimension is multiplied by the respective weighting coefficient, giving a maximum score of 300 points. A minimum of 150 points is required for a positive report.

## SOCIAL SCIENCES

Act 1/2003, dated 19th February, on Universities of Catalonia (LUC) provides in its Article 49.1 that "tenure-eligible lecturers are doctoral assistant lecturers and they are contracted by the university for the performance of teaching and research tasks, in the initial phase of their academic career." The tenure-eligible lecturer contract shall be for "full-time employment" and that the duration of this contract may not in any case be more than five years.

These criteria, which determine the outcome of the required reports, refer to three aspects of the applicants' curricula: A) research experience; B) academic background, and C) teaching experience.

In accordance with the foregoing, and especially within the framework determined by the general criteria, the specific criteria for the field of Social Sciences are as follows:

### Research experience

This is the fundamental aspect for report as tenure-eligible lecturer. For the assessment of this section, consideration is given to the results of this activity, materialised in the publications to which it has given rise. Also assessed are the research projects in which the applicant has taken part and the contributions to the congresses of reference in the applicant's field. In general, and bearing in mind that the report of a tenure-eligible teacher refers to the first stage in his/her academic career, the quality of the publications and projects is considered to be much more important than their quantity in absolute terms.

### Publications

The rigour, objectivity and exigency of the processes for selecting the publications (particularly in books and articles) to which the applicant is a contributor are basic elements for the assessment of such publications. For this reason, the fact that the publications are subject to peer review assessment processes is a basic quality indicator. Moreover, with regard to the specific characteristics of each field of knowledge, another highly significant element is the position of the journals in classifications like the Journal Citation Reports (or other rankings of international journals of similar scope and quality), and the indexing of the journal in the Social Sciences Citation Index, the Arts and Humanities Citation Index and selective databases of similar scope and quality. This assessment may be complemented with other quality indicators, such as citations received for specific studies of the applicant which are trackable in acknowledged transparent sources, or clarified with consideration being given to the number of co-authors of the studies or evaluative reports on research when the content of such reports provides added value given the prestige and independence of those issuing the reports.

The committee dealing with Social Sciences agreed on a classification of submissions by candidates based on three levels of quality, A, B, and C, which also correspond to specific

quartiles<sup>2</sup> used by journals in which articles have been published, defined according to international citation reference databases.

Level A:	For all fields of knowledge: JCR Q1, JCR Q2; Scopus Q1 (SJR) For Law: CARHUS Plus+ A
Level B:	For all fields of knowledge: JCR Q3; Scopus Q2 (SJR) For Law: CARHUS Plus+ B
Level C:	For all fields of knowledge: JCR Q4; Scopus Q3 (SJR) For Law: CARHUS Plus+ C

The committee may, where it considers appropriate, adjust the levels of quality in relation to a candidate's contribution in the case of scientific articles, beyond the location of a journal in a given quartile, bearing in mind various additional aspects, such as: the number of citations (e.g. Google Scholar), the number of authors and signature order, as well as the inclusion of journals from other citation indexes, repertoires and specialised journal rankings<sup>3</sup>. The committee dealing with Social Sciences has prescribed that the assessment of an article will take precedence over that of the journal in which it is published when determining the corresponding level of quality (A, B or C) of an article submitted by a contributor.

With regard to contributions in formats that are different to articles published in indexed journals, the committee assesses quality according to three levels (A, B, C) and, where applicable, taking into account the quality of the publishers through which monographs and book chapters are published, the number of citations, the number of authors and published reviews. The expert criteria of the reviewers, together with the information contained in listings and repertoires, such as Scholarly Publishers Indicators, SENSE and others of international standing, will also be taken into consideration.

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<sup>2</sup> When a journal has a Journal Impact Factor (JIF), or other analogous systems for indexing scientific impact, the value for the impact in the year of the article's publication takes precedence, whereas for articles published the same year it is the value for the impact closest to the deadline of the call for applications to which the applicant has submitted a contribution. For the field of Law, use is made of CARHUS Plus 2014.

<sup>3</sup> In this context, for example, in Economics and Business, other systematic and comprehensive classifications and repertoires used by peer-review journals may be considered, with special reference to: the classification of reviews in the CNRS's *Économie et en Gestion* (Comité National de la Recherche Scientifique, France); VHB-Jourqual<sup>3</sup>, produced by the Verband der Hochschullehrer für Betriebswirtschaft (VHB, Germany); and the Academic Journal Guide, produced by the Association of Business Schools (ABS, UK).

In this regard, the proposed minimum number of contributions required for a tenure-eligible lecturer report to be issued is as follows:

High quality contributions	Level of quality		
	“A”	“B”	“C”
2 (all of types A, B and C), where:	Minimum 1		Maximum 1

In other words, two high quality contributions, one of which must be at least level “A” and no more than one “C” contribution.

Any shortcomings relating to quantity may be compensated by merits of very high or exceptional quality in the form of publications in which the applicant is the principal and corresponding author. This level of quality should be duly justified and validated with indicators and reliable evidence of their impact provided by the applicant.

## Research projects

In this section assessment is made of participation in competitive research projects and the form that such participation has taken. The assessment is supplemented by taking into account the activities of direction of theses and master’s or licentiate’s dissertations.

## Other merits in research (congresses)

This section covers the assessment of other merits, for example, research awards and distinctions and the frequency of active participation in academic congresses in recent years..

The scope and international importance of each congress is also taken into consideration as being highly significant.

Finally, throughout the whole research experience, the assessment can be accompanied by reports of research when the content of these reports provides added value, in terms of the prestige and independence of those issuing the reports.

## Academic background

Both pre-doctoral training and doctoral and post-doctoral training will be assessed in this section.

## **Pre-doctoral training**

For the assessment of this section, consideration is given to the applicant's degrees (excluding the doctorate degrees assessed in the following section), the quality of the centres where they have been obtained, the accredited qualifications and the pre-doctoral stays.

## **Doctorate and post-doctoral training**

Regarding the doctorate, it will be taken into account the qualification obtained, and also the quality of the centre, having obtained an extraordinary prize, or the international doctorate mention.

Regarding post-doctoral training, preferential merits are the research stays in international prestige centres different from that where the applicant has defended the thesis or where he or she has been hired during the preparation of the thesis. The non-stop length of the research stay in the centre will be considered.

## **Teaching experience**

The assessment of the applicant's accredited recognised Bachelor's and Master's degree programme teaching work at university is dealt with in this section, together with his/her activities in teaching innovation and teacher training.

## **Teaching career**

The assessment of the applicant's accredited degree programme teaching work at university is based on the number of credits taught in recognised programmes, including both theoretical and practical teaching work. The assessment of this section is supplemented by the detailed content of the assessment reports on teaching activity, taking into consideration the position of the persons who issue them for assessing the teaching carried out, the student satisfaction surveys and the variety and typology of the subjects taught.

## **Teaching innovation and teacher training**

With respect to teaching innovation, consideration will be given to the applicant's contributions in one or more of the following sections: preparation of teaching materials of an innovative nature, participation in teaching innovation projects, and participation in institutional tasks relating to teaching. With respect to teacher training, consideration will be given to participation as an attendee of university teacher training postgraduate studies, programmes or courses, taking into account the number of hours involved.

## **General considerations**

The final assessment as it figures in the corresponding report is not necessarily the automatic numerical result of the assessment of the different aspects and sections answered, but stems

from the combined, qualitative evaluation carried out by the panel. Moreover, it should be emphasized that research experience, and publications in particular, have a preponderance over the other sections (academic background and teaching experience).

The weightings of the various sections are summarised in the following chart:

<b>a) Research experience</b>	<b>60%</b>
Publications	50%
Research projects	5%
Other merits in research	5%
<b>b) Academic background</b>	<b>20%</b>
Pre-doctoral training	5%
Doctoral and post-doctoral training	15%
<b>c) Teaching experience</b>	<b>20%</b>
Teaching career	10%
Teaching innovation and teacher training	10%

Two conditions must be simultaneously complied with in order to pass the assessment:

- 1) Obtain a minimum score of 50 points (sections *a + b + c*).
- 2) Obtain a minimum score of 30 punts in the “Publications” subsection.

## SCIENCES

For the issue of positive reports preliminary to the contracting of tenure-eligible lecturers and in accordance with the definition of this position in Act 1/2003 on Universities in Catalonia (LUC) and in Resolution UNI/938/2003 dated 11th April (DOGC no. 3866, dated 16.04.2003), the committee dealing with Experimental Sciences uses as the core element of assessment the candidates' research merits, and among them the scientific publications. Other merits of the candidate, including those relating to teaching, may modify the assessment, but they cannot, in themselves, be decisive for a positive or negative assessment.

### Research experience

Candidates shall demonstrate previous experience in their scientific career that assures their capacity to autonomously undertake research in the initial phase of their academic career as a tenure-eligible lecturer. In Experimental Sciences, prior merits in research are most accurately reflected in scientific publications, although other research-related aspects, such as pre- and/or post-doctoral stays at different research centres, will also count towards the assessment of scientific merits.

### Scientific publications

Assessment is basically made of the publications which have passed a peer-review assessment process and which are indexed in the Science Citation Index Expanded. Of the set of publications, the assessment will take into consideration the six best, assessed on the basis of the quality of the journal, although this number should not be considered an absolute minimum but rather, it will be compared in each case with the average productivity of the area and the fact that the candidate's scientific production has been sustained over the course of the years. To establish the quality comparison of the journals, application will be made of the listings by thematic categories of the Journal Citation Reports (JCR), in which the position of journals is defined by quartiles according to the value of the Journal Impact Factor (JIF). When a journal is listed in more than one category, the relative position of the journal in the category which is most favourable to the candidate is always considered. Assessment will be made especially of the publication in journals of the higher quartiles; consideration will be given to the length of the article and the number of authors, and it may also be given to the candidate's relative position among the set of authors. In order to assure the existence of a candidate's recent scientific career, consideration will be given to the fact of part of the assessed articles having been published in the last three years. In case that a substantial fraction of the research activity of the applicant has been carried out into a collaborative research model, the applicant should provide objective indicators of his or her personal contributions.

As a general principle, quality (demonstrated by objective internationally accepted parameters) will prevail over quantity. Specifically, deficiencies relating to quantity may be compensated by merits of very high or exceptional quality in the form of publications in which the applicant is the



principal and corresponding author. The quality should be duly justified and proven by indicators and verified repercussion evidence provided by the applicant.

## **Research projects**

Consideration will be given exclusively to the research projects financed in competitive convocations, held by both the Public Administrations (International, European, State, Autonomous regional) and the private sector (foundations, companies), and especially positive consideration will be given to the candidate's participation as lead researcher in the project.

## **Contributions to congresses**

The contributions to congresses will be considered only an additional merit, and in no case will it compensate other lacks of scientific experience. Consideration will be given to the scope and international significance of the congress, assessing the oral communications and guest lectures.

## **Stays at research centres**

Positive assessment will be made of the medium and long-term research stays, at research centres of acknowledged international prestige other than the centre where the researchers carry out their usual work. When the stay has been after the presentation of the doctoral thesis, it will be considered postdoctoral training.

## **Direction of research or development activities**

Although the lack of these activities may not entail in any case a negative assessment of the candidates' scientific record at this point in their training as scientists, the direction of doctoral theses, Master's courses or similar activities will be assessed positively.

## **Technology transfer, patents, utility models and other results**

The lack of this type of activities will not have a negative influence on the candidate's overall assessment either. However, a positive assessment will be made of the existence of technology transfer activities, on the basis of their originality and the degree of operation of the results.

## **Academic background**

### **Predocctoral training**

This could be considered an additional merit as long as the academic record shows a value of at least 2. Another additional merit would be the fact that the applicant holds more than one degree.

## **Doctoral training**

In doctoral training, assessment is made of the centre at which the training has been carried out, of the fact of the candidate's having been awarded a competitive grant, and of the publications that have derived from this research work.

## **Postdoctoral training**

Assessment is made of the research conducted at centres other than that where a candidate's thesis has been prepared, with account taken of their international reputation. Postdoctoral stays must be of at least six months duration (i.e. stays of less than six months will not be considered), whereas assessment is in particular very positive for stays of at least eighteen months.

## **Teaching experience**

### **University teaching career**

The university teaching career is assessed on the basis of the number of subjects and the proven volume of formal university teaching, considering its theoretical or practical nature. Especially positive consideration will be given to the fact that the candidate has been responsible for some subject. Non-university teaching is not a merit that is taken into consideration in this section, and such teaching, if any, is assessed in the section on other teaching merits. The candidate's contribution in the preparation and publication of teaching materials are also taken into account.

The evaluation of this section is complemented with the results of the teaching assessment according to the procedures established in the institutions where the teaching activity has taken place.

### **Teaching innovation and teacher training**

Positive assessment will be made of the teaching innovation projects on the basis of their quality, their financing entity and their duration. Assessment is also made of institutional tasks for improvement of teaching. With regard to teacher training, account will be taken of participation as an assistant in university teacher training courses, programmes and postgraduate courses, on the basis of the number of hours in each.

### **Assessment reports**

These reports are taken into consideration on the basis of the prestige of the person who issues them, the information that they contain and the relation between the signatory and the applicant, and the rest of the aspects of the candidate's curriculum are of supplementary value.

## General considerations

The issue of the report is the culmination of an overall assessment of all the merits proposed in each of the sections, with the following weighting:

<b>a) Research experience</b>	<b>up to 65 points</b>
Scientific articles	up to 54 points
Other publications and congresses	up to 3 points
Projects and direction of research activities	up to 5 points
Other merits	up to 3 points
<b>b) Academic background</b>	<b>up to 20 points</b>
Predoctoral	up to 3 points
Doctoral	up to 3 points
Postdoctoral	up to 12 points
Professional merits	up to 2 points
<b>c) Teaching experience</b>	<b>up to 15 points</b>
University teaching career	up to 12 points
Teaching innovation and teacher training	up to 3 points

Consequently, a low assessment in one section may be compensated by merits in other sections, and therefore a positive report does not necessarily mean that the level set by the Specific Committee has been achieved in each assessed section, just as a negative report does not necessarily mean an insufficient level in each and every one of the sections. However, considering the above-mentioned weighting, to obtain a positive report it would be difficult to compensate a low assessment in the publications section with a positive assessment in the other sections.

To obtain a favourable report is required to achieve:

- 1) A minimum of 50 points (sections *a* + *b* + *c*).
- 2) Pass (get a score equal to or greater than half the maximum) two of the three blocks of main merits (*a*, *b* and *c*).

As a guideline, a favourable report will be issued with:

1. One year of postdoctoral experience in a laboratory and institution different to the one where a candidate has taken his/her thesis
2. Four articles published in journals in Quartile 1/Q1 of the Journal Citations Reports and one or two oral presentations at an international congress.
3. Teaching experience of between 12 and 24 credits.

Requirement 1 may be compensated for by a highly favourable evaluation in the publications section and a favourable evaluation in the teaching experience section. Similarly, requirement 3 may be compensated for by a highly favourable evaluation in the publications section and a favourable evaluation in postdoctoral experience section.

## LIFE SCIENCES

In order for a report to be issued for recruitment as a university lecturer, in accordance with the definition given in the prevailing legislation (Law 1/2003 on the Universities in Catalonia/LUC, and Resolution UNI/938, 11 April 2003/Official Journal of the Autonomous Government of Catalonia/DOGC no. 3866, 16 April 2003), a core element used by the committee dealing with Life Sciences for the evaluation is the candidate's merits in research, in particular, publications in scientific journals. A candidate's other merits, including merits in teaching, may influence the evaluation although on their own they will not play a decisive role in an evaluation being either positive or negative.

### Research experience

Candidates must show that their scientific career (their scientific background and experience) is an assurance of their ability to independently undertake research work during the initial stage of their academic career as university lecturers. In the field of the Life Sciences, scientific journals are the medium that most accurately reflects merits that have been acquired previously in research, although other aspects associated with research, such as postdoctoral leave to carry out research in other institutions, also contribute to the enhancement of scientific merits.

### Scientific publications

Only publications which have been subjected to a peer-review assessment process and which are indexed in the Science Citation Index Expanded will be considered. In order to establish the quality comparison of journals, application is made of the listings by thematic categories of the Journal Citation Reports (JCR), in which the position of journals is defined by quartiles according to the value of the Journal Impact Factor (JIF). When a journal is listed in more than one category, the relative position of the journal in the category which is most favourable to the candidate is always considered. Priority is given in particular to publication in journals in Quartile 1 (Q1, the top 25% of the impact factor distribution), whereas no value is given to journals in Quartile 4 (Q4, the lowest 25% of the impact factor distribution). It is also an advantage for the journal to be in the top decile of its category. When a journal appears listed under more than one subject, the listing where the candidate has the highest ranking is the one taken into consideration. The committee may, in exceptional cases, assess articles in other quartiles.

Another aspect considered is the candidate's relative position within the group of authors of the article: a higher rating is given to articles in which the author appears either as the primary author or *corresponding author*. To ensure that a candidate's scientific career is recent, some of the articles must have been published within the previous three years.

No consideration will be given to reviews, purely descriptive works and reiterations of previous work, except in cases where a significant contribution is/has been made to the consolidation and advancement of knowledge in the respective field.

As a general principle, quality demonstrated by objective internationally accepted parameters, will prevail over quantity, as long as the applicant is the first author, last author or corresponding author.

One additional merit is the publication of books where account is taken of the publisher's quality in terms of its international standing, the number of authors and the type of contribution, either overall in the publication, in one or several chapters, or in the publishing of a collective works.

## **Research projects**

Consideration is only given to the candidate's participation as head researcher in a research project funded through competitive tender by either public authorities (International, European, State, Autonomous regional) or the private sector (foundations and corporate).

## **Contributions to congresses**

Contributions to congresses are only considered as an additional merit and these shall under no circumstance offset any shortcomings in a candidate's scientific experience. Only papers by the candidate shall be considered, with particular importance being given to oral presentations at international congresses.

## **Research leaves**

A positive assessment is made of medium and long-term research leaves (stays) of a duration of at least six months at research facilities in different institutions to the one where the researcher normally works. When a research leave follows the completion of a doctoral thesis, it is considered to be postdoctoral research. An additional merit is where the institution has an internationally recognised standing.

## **R&D leadership**

The supervision of doctoral theses and Master's dissertations is an advantage.

## **Technology transfer, patents, utility models and other findings**

The transfer of technology is an advantage, especially in relation to originality and the degree of exploitation of the research findings.

## Formal education

### Predoctoral and Doctoral training

Predoctoral studies may be considered as an additional merit provided that the candidate's academic record (transcript of records) is at least 2.0 or that the applicant has received an extraordinary award.

### Postdoctoral training

As regards postdoctoral research, consideration is only given to research carried out in institutions other than the one where a candidate has taken his/her thesis. Research leaves of under six months are not taken into consideration, while research leaves of at least two years are rated at its maximum level. The international standing of the institution where postdoctoral research leave has been carried out is considered to be an additional merit, as well grants and awards for the predoctoral and postdoctoral stages.

## Teaching experience

### University teaching

The assessment of a candidate's certified state-regulated teaching experience at university is based on the number of courses and the volume of certified teaching (with a minimum of 12 credits), and according to whether they are theoretical or practical. Non-university teaching is not taken into account as a merit in this section, although it is acknowledged, where applicable, in the section on other teaching merits. Contributions by a candidate to the preparation and publication of teaching materials are also an advantage. The assessment of this section also includes the outcomes of the teaching assessment, which depends on the procedures set by the particular faculty/ies.

### Reference reports

Reference reports are taken into account bearing in mind the standing of the signatory (referee), the information contained and the relationship between the signatory and the candidate, and their value is complementary to the other aspects in the candidate's C.V.

### Innovation in teaching and teacher training

A positive assessment is made of a candidate's participation in projects involving innovation in teaching, bearing in mind the quality, the funding entity and project duration. Teaching publications and work at institutional level to enhance teaching are also an advantage.



## General considerations

A report is issued after an overall evaluation has been made of all of the merits demonstrated in each section. These are weighted as follows:

<b>a) Research experience</b>	<b>65%</b>
<b>b) Academic background</b>	<b>20%</b>
<b>c) Teaching experience</b>	<b>15%</b>

In terms of the score or number of points, these are as follows:

<b>a) Research experience</b>	<b>up to 65 points</b>
Scientific articles	up to 55 points
Other publications and congresses	up to 2 points
Projects and research leadership	up to 4 points
Other merits	up to 4 points
<b>b) Formal education</b>	<b>up to 20 points</b>
Predoctoral / Doctoral	up to 2 points
Postdoctoral	up to 18 points
<b>c) Teaching experience</b>	<b>up to 15 points</b>

The minimum number of points for a favourable report is 50 (sections *a + b + c*).

A low rating in one section can therefore be compensated for by merits in other sections and consequently a favourable report does not necessarily mean that the level called for by the Specific Committee in each section has been achieved, in the same way that an unfavourable report does not necessarily mean that there are failings in each and every section. Given the above weighting however, a low rating in the publications section cannot be compensated for by a positive assessment in other sections.

As a guideline, a favourable report will be issued with:

1. Two years of postdoctoral experience in a laboratory and institution different to the one where a candidate has taken his/her thesis
2. The publication of ten articles in journals indexed in the Journal Citation Reports, five of which are in the top quartile of the corresponding area and where the applicant is either the corresponding author or first author in three of the articles in the top quartile.
3. One or two oral presentations at an international congress.
4. Teaching experience of between 12 and 24 credits.

Requirements 1, 3 and 4 may be compensated for by a highly favourable evaluation in the publications sector; in order to obtain a favourable report however it is essential to have published at least two articles as the primary signatory in journals in Quartile 1/Q1 in the Journal Citation Reports.



## MEDICINE AND HEALTH SCIENCES

For the issue of the report for tenure-eligible lecturers, the committee dealing with Medical and Health Sciences, on the basis of the definition that is made of this position by Act 1/2003 on Universities in Catalonia (LUC) and in Resolution UNI/938/2003 dated 11th April (DOGC no. 3866, dated 16.04.2003), uses as the central element of the assessment, the candidate's research merits and, within them, the scientific publications. Other merits of the candidate, including teaching merits, may modify the assessment, but they will not in themselves determine a positive or negative assessment.

### Research experience

The candidates will have to demonstrate a previous scientific career that will assure their capacity to start research tasks autonomously, in the initial phase of their academic career as tenure-eligible lecturers. In the field of the Medical and Health Sciences, scientific publications are what most accurately reflect the previous research merits, even though other aspects relating to research, such as pre- and/or postdoctoral stays at diverse research centres, will also contribute to the assessment of scientific merits.

### Scientific publications

Only publications which have been subjected to a peer-review assessment process and which are indexed in the Science Citation Index Expanded will be considered. In order to establish the quality comparison of journals, application is made of the listings by thematic categories of the Journal Citation Reports (JCR), in which the position of journals is defined by quartiles according to the value of the Journal Impact Factor (JIF). When a journal is listed in more than one category, the relative position of the journal in the category which is most favourable to the candidate is always considered. For the assessment, from the set of the candidate's publications in the last ten years, consideration will be given to the best five publications according to the aforementioned listings. The listings will be divided into four quartiles for each of the scientific subfields. When a journal is listed in more than one subfield, consideration will always be given to the journal's relative position in the subfield most favourable for the candidate. Special importance will be placed on publication in journals of the 1st quartile, and assessment will not be made of the journals of the 4th quartile. Another aspect that will be considered is the candidate's relative position within the set of authors of the article, assessing to a higher degree the articles in which the author appears in the first place, or as the last author when this is the result of the study having been directed by the candidate. In order to assure the existence of the candidate's recent scientific career, it will be required that part of the articles shall have been published in the last three years.

In the case of distinctive subject areas that are identified as such by the Commission, due to their explicit emerging or multidisciplinary nature, application will be made of a classification by quartiles generated *ad hoc* with data from the Journal Citation Reports on the basis of the

selection of titles which the Committee considers to be representative of the specific area of knowledge

As a general principle, quality, demonstrated by objective internationally accepted parameters, will prevail over quantity, as long as the applicant is the first author, last author or corresponding author.

In the publication of books, assessment will be made of the quality of the publishing house according to its international prestige, taking into consideration its exigency and scientific rigour in the selection processes of the published studies, the number of authors, and the type of contribution, either in the overall work, in one or more chapters, or in a collective work. In this case as well, special assessment will be made of the career in recent years, but without establishing a fixed limit in time.

### **Research projects**

Consideration will be given solely to the research projects financed in competitive convocations, both of the Public Administrations (International, European, State, Autonomous regional) and of the private sector (foundations, companies). Excluded are non-competitive grants, of the contractual type. Special positive consideration will be given to the candidate's participation as the lead researcher in the project.

### **Contributions to congresses**

The contributions to congresses will only be taken into consideration as an additional merit, but in no case will they substitute other lacks of scientific experience. Consideration will be given to the scope and international significance of the congress, and the type of contribution, especially assessing oral communications and guest lectures.

### **Stays at research centres**

Positive assessment will be made of the medium- and long-term research stays, lasting a minimum of six months and preferably over one year, at research centres of acknowledged international prestige other than the centre at which the researchers carry out their usual work. When the stay was made after the presentation of the doctoral thesis, it will be considered postdoctoral training.

### **Direction of research or development activities**

Although the lack of these activities may not entail in any case a negative assessment of the candidate's scientific record at this point in his or her training as a scientist, the direction of doctoral theses, master classes or similar activities will be assessed positively.

## **Technology transfer, patents, utility models and other results**

The lack of this type of activities will not either have any negative effect on the candidate's overall assessment. However, positive assessment will be made of the existence of technology transfer activities, on the basis of their originality and of the degree of operation of their results.

## **Academic background**

### **Predocctoral and Doctoral training**

This could be considered an additional merit as long as the academic record shows a value of at least 2.5. It would also be an additional merit if the applicant has more than one degree or has won Highest Honours. In doctoral training, assessment will be made of the centre at which the training was carried out, of the fact of having obtained a competitive grant, of the grade of the doctoral thesis, and of the publications that have derived from this research study.

### **Postdoctoral training**

Assessment will be made of the research conducted at centres other than the one where the thesis is prepared, on the basis of their international prestige. Consideration will not be given to stays of less than six months and the assessment will be especially positive in the case of stays of at least one and a half years.

## **Teaching experience**

### **University teaching career**

The university teaching career will be assessed on the basis of the number of subjects and of the proven volume of formal university teaching, considering its theoretical or practical nature. A maximum assessment in this section requires at least the equivalent of one full semester of theoretical teaching. Non-university teaching is not a merit that is taken into consideration in this section; such teaching, if any, will be assessed in the section on other teaching merits. The candidate's contributions in the preparation and publication of teaching materials are also taken into account.

The evaluation of this section is complemented with the results of the teaching assessment according to the procedures established in the institutions where the teaching activity has taken place.

### **Assessment reports**

These reports take into consideration the prestige of the person who issues them, the information that they contain and the relation existing between the signatory and the applicant,

and they have a value supplementary to that of the rest of the aspects of the candidate's curriculum.

## Teaching innovation and teacher training

Teaching innovation projects will be positively assessed on the basis of their degree of quality, their financing entity and their duration. Assessment will also be made of institutional tasks for improvement of teaching. With regard to teacher training, account will be taken of participation as an assistant in university teacher training courses, programmes and postgraduate programmes, on the basis of the number of hours in each.

## General considerations

The issue of the report is the result of an overall assessment of all the merits proposed in each one of the sections, with the following weighting:

<b>a) Research experience</b>	<b>65%</b>
<b>b) Academic background</b>	<b>20%</b>
<b>c) Teaching experience</b>	<b>15%</b>

In terms of score, this weighting is concretised in:

<b>a) Research experience</b>	<b>up to 65 points</b>
Scientific articles	up to 54 points
Other publications and congresses	up to 3 points
Projects and direction of research activities	up to 4 points
Other merits	up to 4 points
<b>b) Academic background</b>	<b>up to 20 points</b>
Predoctoral / Doctoral	up to 6 points
Postdoctoral	up to 12 points
Professional merits	up to 2 points
<b>c) Teaching experience</b>	<b>up to 15 points</b>

Consequently, a low assessment in one section may be compensated by merits in other sections, and therefore a positive report does not necessarily mean that the level required by the Specific Committee has been achieved in each assessed section, just as a negative report does not necessarily mean an insufficient assessment in each one of the sections. However, considering the foregoing weighting, to obtain a positive report, a low assessment in the aspect of publications can only with difficulty be compensated by the positive assessment of the other aspects.

The minimum for obtaining a positive report is 50 points (sections *a + b + c*).

# ENGINEERING AND ARCHITECTURE

For the issue of the preliminary assessment report on the activity of persons holding a doctor's degree who are candidates to contracting as tenure-eligible lecturers, as established in Section 50 of Organic Law 6/2001, dated 21st December, on Universities, the Committee dealing with tenure-eligible lecturers in the Field of Engineering and Architecture, will assess candidates' academic background, research experience and teaching experience. Consideration will be given to the development over time of the task that is assessed, and especially to the candidates' career in recent years.

Applicants for the report shall possess a doctor's degree (Section 50 of Organic Law 6/2001, dated 21st December, and Section 49 of Act 1/2003, dated 19th February). The persons who are candidates to contracting by a university shall prove that they have at least two years of predoctoral or postdoctoral teaching or research activity not linked to the convoking university, or else that they have carried out their doctorate studies entirely at another university, which has issued the doctor's degree.

The assessment sections and criteria are as follows:

## Academic background

In predoctoral training, consideration will be given to the academic record; it will be an additional merit for the applicant to hold more than one degree. In doctoral training, assessment will be made of the centre at which the training has been carried out, of the fact that the applicant has won a competitive grant, of the grade of the doctoral thesis and of the publications that have derived from this research study. The making of predoctoral and postdoctoral research stays at centres of acknowledged prestige will be considered a merit. Such stays will be especially assessed when they have been for a considerable duration and have represented a significant contribution to the candidate's training or specialisation.

## Research experience

### Publications in journals of acknowledged international prestige

As an indicator of quality accepted by the scientific community, publication in periodical publications which, not being proceedings of congresses, are indexed in the thematic categories pertaining to the areas of Engineering and Architecture of the Science Citation Index Expanded (SCIE), the Social Sciences Citation Index (SSCI) and the Arts and Humanities Citation Index (AHCI). In the case of journals indexed in SCIE and SSCI, the information in the in o Reports (JCR) allows the titles to be classified into quartiles according to their relative volume of citation, considered as another quality indicator of the medium in which they are published.

As a general principle, quality (demonstrated by objective internationally accepted parameters) will prevail over quantity. Specifically, deficiencies relating to quantity may be compensated by merits of very high or exceptional quality in the form publications in which the applicant is the principal and corresponding author.

Congress proceedings published with ISSN will not be considered as journal publications even if they are indexed in SCIE, SSCI or AHCI. Such congress proceedings, including those referenced in such databases as the Conference Proceedings Citation Index of Clarivate Analytics and other similar ones, will be given the same consideration as contributions to congresses.

### **Papers and reports presented at congresses**

It is advantageous for communications to have undergone a prior assessment process and been published in non-summarised proceedings, for example, referenced works in high positions on the GGS ranking (GII-GRIN-SCIE <http://gii-grin-scie-rating.scie.es/>) for Information and Communication Technologies.

### **Books and book chapters**

Special assessment will be made of the books of an original nature, in which the applicant is the author, co-author or editor of a multi-author book (excluding congress proceedings) published by specialised publishing houses of international prestige.

### **Patents and utility models under operation**

Patents must have been licenced for use. Patents that have not been licenced for use may, in exceptional cases, be considered when interest in the patent can be duly demonstrated.

### **Award-winning artistic works or those with significant external assessments**

### **Participation in research projects and contracts with financing**

Special assessment will be made of the fact that the financing has been obtained in competitive convocations.

### **Other merits**

Assessment will be made of other research merits, such as prizes and awards, guest conferences at congresses and university centres or other research centres, positions of responsibility (participation in the direction of university departments, editorial committees, scientific committees, organisation of congresses, chairing of congress sessions, publication of

congress proceedings), assessment reports issued by professionals of acknowledged prestige, etc.

## Teaching experience

### University teaching career

Proven formal university teaching experience is assessed and in particular the publication of teaching materials, the defining of courses and structuring of undergraduate, Ph.D., postgraduate and Master's studies. Account is also taken of the directing of projects and final year dissertations, together with posts of responsibility. Consideration is also given to the results of the teaching assessment according to the procedures established in the institutions where the teaching activity has taken place, assessment reports issued by renowned professionals, etc.

In order to obtain a positive assessment in this section, fifteen credits of formal university teaching are required. Non-university teaching is not accounted for as a merit under this section but is included, where applicable, under the section on other teaching merits.

### Teaching innovation and teacher training

Consideration is given to the candidate's contributions to projects and other activities in teaching innovation and institutional activities to improve teaching. Other merits, such as awards and prizes for teaching activity, are also taken into account.

## General considerations

It will be considered necessary for candidates to present three contributions, between publications in journals of acknowledged international prestige (indexed in SCIE, SSCI, AHCI), patents under operation, or prize-winning or externally-assessed artistic works, and stays at centres of international prestige for over 6 months; no more than one of the latter will be counted, and the results achieved, which will have to be indicated, will be also taken into account. Consideration may also be given to the publications in congresses and in books when they are comparable to publications in journals of international prestige. In the assessment of the aforementioned publications, the number of authors, the candidate's relative position among the set of authors and the position of the journal in such assessment rankings as the Journal Citation Reports (JCR) or others will be taken into account. With respect to the aforementioned patents under operation or artistic works, the number of authors and the candidate's relative position among the set of authors will be taken into account.

These contributions shall be supplemented by significant merits within these or other categories.



The weighting of the various sections will be as follows:

<b>a) Academic background</b>	<b>15%</b>
<b>b) Research experience</b>	<b>65%</b>
<b>c) Teaching experience</b>	<b>20%</b>

The minimum to obtain a positive report is 50 points (sections  $a + b + c$ ).