

PROCEDURE FOR THE ISSUANCE OF REPORTS FOR UNIVERSITY TENURE-TRACK LECTURERS AND THE ACCREDITATION OF RESEARCH (SENIOR FACULTY STAFF) AND ADVANCED RESEARCH (PROFESSORIAL STAFF)

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INTRODUCTION

Possession of a pre-selection evaluation report is a prerequisite for participating in a selection process for the recruitment of lecturers at a public university in Catalonia

The accreditation of either research and/or advanced research certifies the attainment of a level of excellence in research within a given field of study and makes the holder eligible to participate in selection processes for the category of either senior lecturer or professor, respectively.

Teaching staff assessment is based secondarily and indirectly on the quality indices associated with the merits provided in an applicant's CV. This means that a review panel is not expected to read a research project submitted by the applicant.

ELIGIBILITY REQUIREMENTS

Applicants for a tenure-track lecturer report must be in possession of a doctorate/PhD degree.

Applicants for the accreditation of research and advanced research must:

- 1. Be in possession of a doctorate/PhD degree.
- 2. Have more than three years post-doctoral research experience.

Applications that do not comply with these requirements will not be accepted.

NB

An application for advanced research accreditation is incompatible with a simultaneous application for research accreditation.

In the case where an application for advanced research accreditation is rejected, the applicant may submit a new application for research accreditation in the following call for applications. For the accreditation of advanced research, however, a new application may only be made in the next call for applications but one (i.e. not the next call, but the one after that) or one full year following the previous call for applications to which an application has been made.

In the case where an application for advanced research accreditation is rejected, a new application for the accreditation of either research or advanced research may only be made in the next call for applications but one (i.e. not the next call, but the one after that) or one full year following the previous call for applications to which an application has been made.



ANNOUNCEMENT OF THE CALLS

There are two times during the year when AQU Catalunya issues reports for tenure-track university lecturers and the accreditation of research and advanced research. The resolutions officially establishing the calls for applications are published annually by the Agency's Research Assessment Commission (CAR) in the Official Journal of the Autonomous Government of Catalonia (DOGC).

The resolutions establish:

- 1. The application periods and deadlines for applications for the issuance of reports and accreditations.
- 2. The eligibility requirements.
- 3. The required documentation.
- 4. The aspects that are evaluated by the review committees.
- 5. The evaluation criteria and publicising of the criteria.
- 6. The procedure for making an appeal.
- 7. Protection of personal data.

SUBMITTING AN APPLICATION

Applications are made online via the Generalitat de Catalunya's on-line applications webpage (Tràmits Gencat).

As a guideline, all applications must state the applicant's subject area and up to two subject-specific review committees covering subjects in the same subject area as that of the applicant, in accordance with Annex 1 on the classification of subject areas.

The corresponding fee must also be paid according to the instructions given on the AQU Catalunya website.



Documentation

All documentation must be submitted in digital format through the on-line applications website (Tràmits Gencat):

- > Step one is to complete the *application form*. The form, which can be downloaded from the Generalitat de Catalunya's on-line applications webpage (Tràmits Gencat), has to be filled out and returned online via the webpage.
- Step two is to send all the documentation required in the call for applications. All documentation must be sent in digital format via the Generalitat de Catalunya's on-line applications webpage (Tràmits Gencat) within five (5) days of sending the application form. It is not necessary to send a printed copy.

The documentation must include the following:

For the issuance of reports for tenure-track lecturers

- > The applicant's CV (use the standard form that can be downloaded from the AQU website).
- > The applicant's complete official academic transcript of records (undergraduate studies with the average grade, and Master's and doctorate studies).
- > The official certificate issued by the university on the applicant's degree-related teaching work. For evaluation purposes, any non-certified degree-related teaching work will not be taken into consideration
- > For applicants who have carried out stays (periods) of research, a certificate issued by the institution with the duration and work carried out must be submitted. For assessment purposes, research stays that are not officially certified cannot be taken into consideration
- It is not necessary to submit publications referred to in the CV form. In the case of publications that have been accepted but are pending publication, a copy must be submitted on-line together in one single file (preferably in.pdf format) with the supporting document of acceptance for publication from the publishing house.
- > A copy of the applicant's identity card or passport (only in cases where an applicant has not given authorisation for on-line data exchange/PICA)¹.
- > A copy of the large family concession certificate (in cases where an applicant has not given authorisation for on-line data exchange/PICA).
- > Title of the applicant's PhD/doctorate degree (only for foreign doctorate degrees and cases where an applicant has not given authorisation for on-line data exchange/PICA).

¹ The Catalan authorities' integrated administration database (PICA, Plataforma d'Integració i Col·laboració Administrativa)



> Up to three assessment reports from academics of recognised standing on the applicant's teaching and research work may be submitted. The e-mail addresses of these academics is to be provided in the Assessment Reports section of the application form available from the Generalitat de Catalunya's on-line applications webpage (Tràmits Gencat), and they will be asked to write a confidential reference on the applicant's academic/research career. Although these assessment reports are optional, the Specific Assessment Committees value very positively reports issued by researchers of recognised academic prestige in their field.

For the accreditation of research and advanced research

- The applicant's CV (use the standard form that can be downloaded from the AQU website). The CV must include a section with a summary no more than one page long of the applicant's scientific background, together with the applicant's ten most important scientific contributions. With regard to sections B (Publications), C (Artistic works and architectural projects) and D (Patents and utility models) of the CV, all information identifying the stated merits must be provided; any such merits will otherwise not be considered in the evaluation.
- In relation to directed doctoral theses, a certificate issued by the university with the following information must be enclosed: the title of the doctoral thesis and the date of the dissertation defense, the name of the doctorate degree holder, the name of the director or directors, and the qualification obtained.
- > Publications referred to in the CV form do not need to be submitted. In the case of publications that have been accepted but are pending publication, a copy must be submitted on-line together in one single file (preferably in.pdf format) with the supporting document of acceptance for publication from the publishing house.
- > A copy of the applicant's identity card or passport only in cases where an applicant has not given authorisation for on-line data exchange (PICA).
- > A copy of the large family concession certificate (in cases where an applicant has not given authorisation for on-line data exchange/PICA).
- > Title of the applicant's PhD/doctorate degree (only for foreign doctorate degrees and cases where an applicant has not given authorisation for on-line data exchange/PICA).
- > Up to three assessment reports from academics of recognised standing on the applicant's teaching and research work may be submitted. The e-mail addresses of these academics is to be provided in the Assessment Reports section of the application form available from the Generalitat de Catalunya's on-line applications webpage (Tràmits Gencat), and they will be asked to write a confidential reference on the applicant's academic/research career. Although these assessment reports are optional, the Specific Assessment Committees value very positively reports issued by researchers of recognised academic prestige in their field.



EVALUATION

Review of the documentation

Once the deadline for applications has passed, the Agency's Teaching Staff and Research section checks all the documentation submitted with each application to ensure that it is complete. Each applicant is then notified of any irregularities or anything that still needs to be provided or changed. A period of ten days is allowed for this, otherwise the application will be rejected.

Teaching staff assessment is based on the quality indices associated with the merits provided in an applicant's CV (e.g. the reputation of the publisher or journal; citations; impact factors such as the Journal Impact Factor, etc.). This means that review panels take into consideration the peer review of a research project.

In cases where the journal impact factor (JIF) is updated during the review procedure, the valid JIF value will be that given at the closing date of the call.

Review bodies

Pursuant to article 12 of Law 15/2015, 21 July, on the Catalan University Quality Assurance Agency, AQU's Research Assessment Commission (CAR) and its subject-specific committees are the bodies responsible for issuing reports of relevance to the recruitment of tenure-track lecturers and the accreditation of research and advanced research.

The composition of the Commission and its committees are governed by Law 15/2015, 21 July, on the Catalan University Quality Assurance Agency and the Research Assessment Commission's Rules of Internal Procedure.

The following specific committees, which come under the Research Assessment Commission, are responsible for issuing the accreditation of research and advanced research and reports on tenure-track lecturers:

Reports on tenure-track lecturers

- > Committee for the assessment of tenure-track lecturers in the Humanities
- > Committee for the assessment of tenure-track lecturers in the Social Sciences
- > Committee for the assessment of tenure-track lecturers in the Experimental Sciences
- > Committee for the assessment of tenure-track lecturers in the Life Sciences
- > Committee for the assessment of tenure-track lecturers in Medical and Health Sciences
- > Committee for the assessment of tenure-track lecturers in Engineering and Architecture



Accreditation of research

- > Committee for the accreditation of research in the Humanities
- > Committee for the accreditation of research in the Social Sciences
- > Committee for the accreditation of research in the Experimental Sciences
- > Committee for the accreditation of research in the Life Sciences
- > Committee for the accreditation of research in Medical and Health Sciences
- > Committee for the accreditation of research in Engineering and Architecture

Accreditation of advanced research

- > Committee for the accreditation of advanced research in the Humanities
- > Committee for the accreditation of advanced research in the Social Sciences
- > Committee for the accreditation of advanced research in the Experimental Sciences
- > Committee for the accreditation of advanced research in the Life Sciences
- > Committee for the accreditation of advanced research in Medical and Health Sciences
- > Committee for the accreditation of advanced research in Engineering and Architecture

The composition of the abovementioned committees is published on the AQU Cataluña website.

Assignment of the applicants' dossiers to the review committees

When an applicant's dossier is complete and has been checked, it is then initially assigned by the Teaching Staff and Research section to a field of study according to the applicant's research background. The committees are grouped according to six main fields of study (Humanities, Social Sciences, Experimental Sciences, Life Sciences, Medical and Health Sciences, and Engineering and Architecture) covering 192 different specialised fields grouped according to 24 main subject areas (see annex 1).

The chairpersons of each committee then check the documentation that has been provided, together with the applicant's scientific and/or teaching background, and either confirm or modify the initial assignment to a specific committee.

Assessment

Once the applicants' dossiers have been assigned to the specific committees, the chairperson of each committee refers each application to at least two reviewers, one of which must be a member of the committee. The other reviewer/s assigned to each dossier can be either a committee member/s or external expert/s. Reviewers must always be from the specialised field that the dossier has been assigned to. For example, if the applicant's specialised field is Human Geography, the two reviewers who are assigned to the case will be from the field of Geography, which covers the specialised fields of Regional Geographical Analysis, Human Geography and Physical Geography. AQU Catalunya and



its review bodies thereby ensure that applications are always evaluated by at least two experts from the applicant's field of study (see annex 1).

The reviewers, who are assigned according to quality assurance criteria that are publicly available on the AQU website, then draw up a preliminary mandatory and non-binding assessment report, which is in turn referred to the corresponding committee.

In accordance with the current regulations, applicants may, through the chairperson of the Research Assessment Commission, request the disqualification of a reviewer/s. Evidence must be provided in support of the grounds given for such a disqualification. In order to resolve any challenge made regarding the role of a reviewer with adequate guarantees, a disqualification application must be made at least three weeks prior to the setting up of the committee that will review the application for assessment.

The preliminary assessment reports form part of the evaluation dossier and, in accordance with the scientific practice of assessment by peer review, are identified only by the professional category and field of study of the reviewers.

The committee discusses and assesses all of the applications in the light of the preliminary assessment reports, agreement is reached on whether an application is successful or not and the grounds are provided in the case of an unfavourable assessment. All of this is agreed and certified in a document known as the comprehensive evaluation report.

Once the result of the evaluation has been decided, the chairperson of the corresponding specific committee either signs the favourable (or unfavourable) lecturer's report or the accreditation or rejection of accreditation for research or advanced research, according to the call for applications that the applicant has applied to.

Communication of results

In compliance with the applicable regulations applicants receive a formal notification, which contains the result of the evaluation, which will either be favourable or unfavourable, and, if it is unfavourable, the comprehensive assessment report with the rating for the different dimensions assessed.

Results deadline

The results of the call for applications are published within six calendar months from the launch of the call.

Appeals

In the case of disagreement with the assessment decision of the committees, applicants may submit an appeal to the Appeals Committee up to one month from the date of receipt of postal notification or the date of publication of the notice in the Official Journal of the Autonomous Government of Catalonia (DOGC)



An appeal application must include the person's personal data and the reasons why the appeal is being made.

The time limit for a resolution of appeal is three months from the time an appeal is filed.

Notification of the outcome of an appeal will be given in accordance with the prevailing regulations. If the appeal in unsuccessful, a request for judicial review may be made before the courts.

META-EVALUATION

AQU Catalunya has established mechanisms in place for the meta-evaluation of the procedures involving the assessment of teaching staff. Surveys on the satisfaction of both applicants and reviewers are carried out, and the committee chairpersons draw up an annual report on calls for applications that have been carried out.

The Agency also annually reports to AQU Catalunya's Governing Board about the activities of the teaching staff review committees. The results for calls for applications are also regularly published and specific studies on teaching staff are also undertaken.



ANNEX 1: CLASSIFICATION OF THE SUBJECT AREAS

Humanities

Code	Area of specialisation	Subject area
285	Arabic and Islamic Studies	
568	East Asian Studies	
290	Hebrew and Aramaic Studies	
320	German Philology	
345	English Philology	
365	Basque Philology	
325	Catalan Philology	
327	Slavic Philology	
335	French Philology	
340	Greek Philology	Dhilelesu
350	Italian Philology	Philology
355	Latin Philology	
360	Romanesque Philology	
370	Galician and Portuguese Philologies	
575	General Linguistics	
580	Indo-European Linguistics	
583	Spanish Literature	
567	Spanish Language	
795	Theory of Literature and Compared Literature	
814	Translation and Interpreting	
30	Social Anthropology	
33	Archaeology	
85	Historiographic Sciences and Techniques	
185	Drawing	
260	Sculpture	
270	Aesthetics and Theory of the Arts	
285	Arabic and Islamic Studies	
568	East Asian Studies	
290	Hebrew and Aramaic Studies	
445	Ancient History	History and Art
450	Contemporary History	
455	History of America	
465	History of Art	
460	History of Science	
485	Medieval History	
490	Modern History	
635	Music	
690	Painting	
695	Prehistory	
270	Aesthetics and Theory of the Arts	

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381	Philosophy of Law	
375	Philosophy	
383	Moral Philosophy	
585	Logic and Philosophy of Science	Philosophy



Social Sciences

Code	Area of specialisation	Subject area
70	Political and Administrative Science	Political Sciences and
475	History of Social and Political Thought and Movements	Sociology
775	Sociology	
40	Library Science and Documentation	Communication and
105	Audiovisual Communication and Advertising	
675	Journalism	Documentation
125	Administrative Law	
130	Civil Law	
135	Constitutional Law	
140	Labour and Social Security Law	
145	Ecclesiastical Law of the State	
150	Financial and Tax Law	
155	Private International Law	
160	Public International Law and International Relations	Law
165	Company Law	
170	Criminal Law	
175	Procedural Law	
180	Roman Law	
381	Philosophy of Law	
470	History of Law and Institutions	
95	Commercialisation and Market Research	
225	Applied Economics	
230	Financial Economics and Accounting	
235	Economy, Sociology and Agricultural Policy	—
415	Foundations of Economic Analysis	 Economy and Business
480	Economic History and Institutions	
623	Quantitative Methods for Business and Economics	
650	Organisation of Businesses	
187	Didactics of Corporal Expression	
189	Didactics of Musical Expression	
193	Didactics of Plastic Expression	
195	Didactics of Language and Literature	
200	Didactics of Mathematics	
205	Didactics of the Experimental Sciences	
205	Didactics of the Social Sciences	Education
210	Didactics of the Social Sciences	
245	Physical and Sports Education	
625	Research and Diagnostic Methods in Education	
		_
805	Theory and History of Education Social Work and Social Services	-
813		
620	Methodology of the Behavioural Sciences	- Developeration
680	Personality, Assessment and Psychological Treatments Psychobiology	Psychology

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730	Basic Psychobiology	
735	Evolutionary and Educational Psychology	
740	Social Psychology	
10	Regional Geographical Analysis	
430	Physical Geography	Geography
435	Human Geography	



Sciences

Code	Area of specialisation	Subject area
38	Astronomy and Astrophysics	
247	Electromagnetism	
250	Electronics	
385	Applied Physics	
390	Atomic, Molecular and Nuclear Physics	
395	Condensed Matter Physics	
398	Earth Physics	Physics
405	Theoretical Physics	
600	Fluid Mechanics	
605	Continuous Media Mechanics and Theory of Structure	
647	Optics	
770	Radiology and Physical Medicine	
785	Electronic Technology	
120	Crystallography and Mineralogy	
240	Edaphology and Agricultural Chemistry	
280	Stratigraphy	
398	Earth Physics	
428	External Geodynamics	Geology
427	Internal Geodynamics	
655	Palaeontology	
685	Petrology and Geochemistry	
710	Prospecting and Mining Research	
5	Algebra	
15	Mathematical Analysis	
265	Statistics and Operative Research	Mathematics
440	Geometry and Topology	1
595	Applied Mathematics	
240	Edaphology and Agricultural Chemistry	
750	Analytical Chemistry	
755	Physical Chemistry	Chemistry
760	Inorganic Chemistry	
765	Organic Chemistry	



Life Sciences

Code	Area of specialisation	Subject area
28	Physical Anthropology	
50	Cell Biology	
60	Molecular Biology and Biochemistry	
410	Physiology	Molecular and Cell
420	Genetics	Biology
566	Immunology	
630	Microbiology	
640	Nutrition and Bromatology	
28	Physical Anthropology	
63	Botany	
220	Ecology	
240	Edaphology and Agricultural Chemistry	Organisms and
410	Physiology	
412	Plant Physiology	Systems
705	Plant Production	
790	Environmental Technologies	
819	Zoology	



Health and Medical Sciences

Code	Area of specialisation	Subject area
50	Cell Biology	
60	Molecular Biology and Biochemistry	
310	Pharmacy and Pharmaceutical Technology	
315	Pharmacology	
410	Physiology	
420	Genetics	Diamadiaina
566	Immunology	Biomedicine
630	Microbiology	
640	Nutrition and Bromatology	
725	Psycobiology	
780	Food Technology	
807	Toxicology	
25	Compared Anatomy and Pathological Anatomy	
27	Human Anatomy and Embryology	
20	Pathological Anatomy	
90	Surgery	
183	Dermatology	
275	Stomatology	
413	Physical Therapy	
443	Histology	
255	Nursing	
610	Medicine	
613	Legal and Forensic Medicine	Medicine
615	Preventive Medicine and Public Health	
645	Obstetrics and Gynaecology	
646	Ophthalmology	
653	Otorhinolaryngology	
660	Parasitology	
670	Paediatrics	
745	Psychiatry	
770	Radiology and Physical Medicine	
830	Orthopaedics and Traumatology	
817	Urology	
25	Compared Anatomy and Pathological Anatomy	
617	Veterinary Medicine and Surgery	
700	Animal Production	Veterinary Medicine
773	Animal Health	



Engineering and Architecture

Code	Area of specialisation	Subject area
100	Architectural Composition	
110	Architectural Constructions	
300	Architectural Graphic Expression	Architecture
715	Architectural Projects	
815	Urban Design and Territorial Planning	
500	Agro-Forestry	
700	Animal Production	Annioulturel
705	Plant Production	Agricultural
780	Food Technology	Engineering
790	Environmental Technologies	-
505	Cartographic Engineering, Geodesics and Photogrammetry	
510	Construction Engineering	
525	Terrain Engineering	
540	Hydraulic Engineering	Civil Engine anima
530	Transport Engineering and Infrastructure	Civil Engineering
295	Mine Operation	
605	Continuous Media Mechanics and Theory of Structure	
710	Prospecting and Mining Research	
65	Material Science and Metallurgical Engineering	
83	Navigational Sciences and Techniques	
115	Shipbuilding	
495	Aerospace Engineering	
520	Systems Engineering and Automatic Systems	-
515	Manufacturing Process Engineering	
535	Electrical Engineering	-
545	Mechanical Engineering	Industrial
550	Nuclear Engineering	Technologies
555	Chemical Engineering	.
565	Textile and Paper Engineering	
305	Graphic Expression in Engineering	
590	Heat Engines and Machines	
600	Fluid Mechanics	
720	Engineering Projects	
785	Electronics Technology	
35	Computer Architecture and Technology	
75	Computing Science and Artificial Intelligence	
250	Electronics	Information and
560	Telematic Engineering	Communication
570	Computer Languages and Systems	Technologies
785	Electronics Technology	
800	Signal Theory and Communications	

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