

## CCMAR PhD INTERNAL REGULATION

### CHAPTER I

#### GENERAL PROVISIONS

##### Article 1

###### Object and scope

1. This Regulation applies to PhDs who are engaged in scientific research, technological development, management, and communication of science and technology, and who are employed by Centro de Ciências do Mar do Algarve (CCMAR), including invited researchers, collectively referred to as "PhDs".
2. This Regulation describes the careers at CCMAR, in the field of Science and Technology, which are structured as follows:
  - a) **Scientific research career**, and
  - b) **Science and technology management and communication career**.
3. Through this Regulation, a transitional regime is established, and rules are defined regarding the recruitment and employment of PhDs, under private law and in accordance with the current Labor Code.
4. The Regulation also aims to define and implement the various stages and participants involved in the performance evaluation process of PhDs.

##### Article 2

###### Regime

1. The legal framework governing PhDs includes the provisions of the Labor Code and its complementary legislation, alongside this Regulation and any additional norms subsequently approved by CCMAR, with exceptions outlined in the following articles.
2. The fixed or unfixed-term employment contracts for PhDs are subject to the provisions of Decree-Law no. 57/2016, of August 29, amended by Law no. 57/2017, of July 19<sup>th</sup> (Regime of Scientific Employment (REC)), and Regulatory Decree no. 11-A/2017, of December 29<sup>th</sup>, in cases where the hiring is financed:
  - a) By the Portuguese Foundation for Science and Technology, I. P. (FCT), based on national or European financial resources;

- b) By other national public funding agencies, based on national or European financial resources;
- c) Through co-financing from national financial resources;
- d) By other national public resources.

3. The private law regime to which CCMAR is subject does not preclude the application of constitutional principles concerning Public Administration, namely the pursuit of the public interest<sup>1</sup>, as well as the principles of equality, impartiality, justice, and proportionality.

4. This Regulation considers the recommendations contained in the Commission Recommendation of March 11<sup>st</sup>, 2005, regarding the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Recommendation 2005/251/EC of the Commission, March 11<sup>st</sup>, 2005), with the necessary adaptations.

### **Article 3**

#### **Exclusive Dedication**

1. PhDs perform their duties under an exclusive dedication regime, except in exceptional situations approved by the CCMAR Board of Directors, and they enjoy scientific freedom as long as it does not conflict with the scientific guidelines and priorities set by the institution.
2. The exclusive dedication regime implies that no other remunerated function or activity, whether public or private, including the practice of liberal professions, can be exercised, except in the cases provided for in Article 52(2) of the Statute of Scientific Research Career and Article 7(4) of the Regime of Scientific Employment, as applicable, provided that these activities are communicated to the Board of Directors in advance.
3. Violation of the commitment to exclusivity may lead to disciplinary responsibility.

### **Article 4**

#### **Rights and Duties of PhDs**

1. The rights of CCMAR PhDs specifically include:
  - a) Enjoying freedom of scientific and technical guidance and opinion;

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<sup>1</sup> CCMAR is a legal entity of public utility, declared as such by Order of the Presidency of the Council of Ministers no. 4960/2021, dated May 17, 2021.

- b) Benefiting from the necessary technical and logistical conditions to carry out their activities according to the scientific research project or work plan in which they are involved;
- c) Benefiting, in terms of hygiene, safety, and health at work, from measures arising from the application of current legal and conventional provisions for the institution or activity;
- d) Having the conditions related to intellectual and industrial property rights contractually defined.

2. Generic duties of PhDs are:

- a) Conducting their scientific and human activities in strict compliance with the principles of ethics, data protection, copyright, and intellectual and industrial property;
- b) Permanently engaging in dynamic and up-to-date research activities;
- c) Using and ensuring the conservation of equipment and other assets entrusted to them for work purposes;
- d) Actively guiding and contributing to the scientific, technical, cultural, and pedagogical training of other Ph.D. holders and technicians they collaborate with;
- e) Keeping their cultural and scientific knowledge up-to-date and conducting research, training, and dissemination work, in constant pursuit of scientific and technical progress and meeting social needs;
- f) Contributing to the efficient and productive functioning of CCMAR to the best of their ability, ensuring the exercise of the functions for which they have been elected or appointed or fulfilling the tasks assigned to them by the competent bodies within the scientific field in which they operate;
- g) Conducting all analyses with scientific rigor, complying with experimentation and animal care rules and regulations;
- h) Being integrated into the CCMAR research structure and contributing to its defined objectives;
- i) Collaborating with competent authorities and interested entities in research study and development, with a view to constantly satisfying needs and achieving societal progress;
- j) Participating in meetings and other activities of the Scientific Committee;
- k) Maintaining confidentiality of all information and data to which they have access, and which are classified as confidential by CCMAR.

**CHAPTER II**

**SCIENTIFIC RESEARCH CAREER**

**Article 5**

**Categories and Functions**

1. The scientific research career regime, concerning categories, functional contents, and academic qualifications, is identical to that of the Statute of the Scientific Research Career, with the adaptations established in this Regulation, while also subject to Articles 4 and 5 of that statute.

2. The scientific research career progresses, from the base to the top, through the following categories:

- a) **Junior** Researcher: PhDs with limited post-doctoral research experience or without a scientific curriculum after obtaining their PhD;
- b) **Assistant** Researcher: PhDs with more than 5 years of experience and a relevant curriculum, without the requirement to demonstrate scientific independence;
- c) **Principal** Researcher: PhDs with more than 5 years of experience and a relevant curriculum, demonstrating scientific independence in the last 3 years;
- d) **Coordinator** Researcher: PhDs with more than 5 years of experience, holding the title of *habilitado* or *agregado*, with a highly meritorious curriculum, demonstrating scientific independence, and providing evidence of leadership in their respective scientific area.

3. Junior Researchers, Assistant Researchers, Principal Researchers, and Coordinator Researchers collectively referred to as "Researchers".

4. **Junior** Researchers are responsible for carrying out research and development activities regularly, under supervision, and in line with the mission of CCMAR. Their responsibilities include but are not limited to:

- a) Participating in the design, development, and execution of research and development projects, research infrastructures, science and technology management, science and technology communication, or technology transfer, as well as other related scientific and technical activities;
- b) Guiding the work carried out within their assigned projects;
- c) Assisting in the development of training activities related to research and development methodology, science and technology management, science and technology communication, or technology transfer;
- d) Supervising the research, science and technology management, science and technology communication, or technology transfer work carried out by fellows;
- e) Collaborating in teaching and participating in CCMAR's training programs;
- f) Guiding students in higher education, particularly at the undergraduate and master's levels;
- g) Carrying out the functions for which they have been elected or appointed in CCMAR's collegial bodies.

5. **Assistant** Researchers autonomously and regularly perform research and development activities and other scientific and technical tasks related to CCMAR's mission. Additionally, they:

- a) Conceive, develop, and execute research and development projects, research infrastructures, science and technology management, science and technology communication, or technology transfer, as well as other related scientific and technical activities;
- b) Guide the work carried out within their assigned projects;
- c) Assist in the development of training activities related to research and development methodology, science and technology management, science and technology communication, or technology transfer;
- d) Supervise the research, science and technology management, science and technology communication, or technology transfer work carried out by fellows, early-career researchers, and technical staff;
- e) Collaborate in teaching and participate in CCMAR's training programs;
- f) Guide students in higher education, particularly at the undergraduate, master's, and doctoral levels;
- g) Carry out the functions for which they have been elected or appointed in CCMAR's collegial bodies.

6. **Principal** Researchers autonomously and regularly perform research and development activities and other scientific and technical tasks related to CCMAR's mission. Additionally, they:

- a) Design programs and projects related to research and development, research infrastructures, science and technology management, science and technology communication, or technology transfer;
- b) Coordinate and guide the execution of research and development projects, research infrastructures, science and technology management, science and technology communication, or technology transfer;
- c) Develop training activities related to scientific research and development methodology, science and technology management, science and technology communication, or technology transfer;
- d) Supervise the research, science and technology management, science and technology communication, or technology transfer work carried out by fellows, researchers, and technical staff;
- e) Collaborate in teaching and participate in CCMAR's training programs;
- f) Guide students in higher education, particularly at the undergraduate, master's, and doctoral levels;
- g) Carry out the functions for which they have been elected or appointed in CCMAR's collegial bodies.

7. **Coordinator** Researchers autonomously and regularly perform research and development activities and other scientific and technical tasks related to the missions of their respective institutions. Additionally, they:

- a) Coordinate research programs and their respective research teams in a scientific area, research infrastructures, science and technology management, science and technology communication, or technology transfer;
- b) Conceive and coordinate programs and projects related to research and development, research infrastructures, science and technology management, science and technology communication, or technology transfer;
- c) Develop training activities related to scientific research and development methodology, science and technology management, science and technology communication, or technology transfer;
- d) Collaborate in teaching and participate in CCMAR's training programs;
- e) Guide students in higher education, particularly at the undergraduate, master's, and doctoral levels;
- f) Carry out the functions for which they have been elected or appointed in CCMAR's collegial bodies.

#### **Article 6**

##### **Invited Researchers**

1. Research activities can also be carried out by invited researchers hired on fixed-term contracts, who perform functions corresponding to the career category they are equated with contractually.
2. The categories, functional contents, and academic qualifications required for each category of invited Researchers are, with the adaptations established in this Regulation, subject to Articles 6 and 7 of the Statute of the Scientific Research Career.

### **CHAPTER III**

#### **CAREER OF SCIENCE AND TECHNOLOGY MANAGEMENT AND COMMUNICATION**

#### **Article 7**

##### **Categories**

1. The career of science and technology management and communication progresses through the following categories:
  - a) Innovation and Knowledge Transfer Manager;
  - b) Laboratory and Computational Infrastructure Manager;
  - c) Public Science Communication Manager;
  - d) Programs and Projects Manager.
2. The categories mentioned in paragraph 1 are independent and progress through ranks.
3. PhDs hired in this career will be collectively referred to as "**Science and Technology Managers**".

## Article 8

### Functional Contents

1. The **Innovation and Knowledge Transfer Manager** acts at the national and international level concerning research and development processes that influence CCMAR's sustainability. They focus on a well-defined set of action markets related to CCMAR scientific areas, with particular emphasis on:

- a) Decoding and projecting public policy needs and difficulties into CCMAR's capabilities, aiming to satisfy or overcome them;
- b) Attracting external funding, aligning societal needs with CCMAR scientific interests and capabilities, and optimizing all related initiatives;
- c) Submitting applications for funding to support the innovation and knowledge transfer process at CCMAR;
- d) Supporting CCMAR researchers in obtaining funding from the private sector;
- e) Identifying and seizing opportunities to put CCMAR research and development results and resources at the service of public or private entities;
- f) Raising awareness among all CCMAR members about their individual contributions to CCMAR's sustainability needs.

2. The **Laboratory and Computational Infrastructure Manager** ensures the timeliness, operational efficiency, and availability of CCMAR's laboratory and/or computational facilities, which are relevant to the center's scientific areas and its natural markets of operation. Their responsibilities include but are not limited to:

- a) Performing technical and operational tasks that ensure the full functioning of CCMAR's laboratory or computational infrastructures, in accordance with processes defined by the Board of Directors;
- b) Expanding infrastructure capacities according to technological and system developments;
- c) Demonstrating new products and services that enhance CCMAR sustainability;
- d) Ensuring the use of certified and calibrated systems in the development of critical processes or services;
- e) Submitting applications for funding to support the operation of existing equipment and infrastructures or the establishment of new ones;
- f) Implementing internal and external services that benefit research, higher education, and industry;
- g) Complying with public data policies;
- h) Providing training to junior staff in technologies and systems.

3. The **Public Science Communication Manager** ensures that the knowledge generated at CCMAR is appropriately disseminated to target audiences within the context of social and pedagogical

responsibility. They focus on CCMAR's scientific areas, markets, and applications, with particular emphasis on:

- a) Regularly producing appealing content in different formats, including formats suitable for educational purposes, for teachers, media outlets, and those interested in lifelong learning, particularly children and young individuals;
- b) Providing training to junior staff in science communication methodologies within CCMAR's areas of action;
- c) Submitting applications for funding to support the development of public communication and dissemination policies;
- d) Supporting events for the dissemination of knowledge generated at CCMAR.

**4. The Programs and Projects Manager:**

- a) Oversees internal management processes at CCMAR, in direct connection with the Board of Directors, ensuring the practical application of the principle of subsidiarity. If necessary, they intervene in harmonization processes between Research Groups, always acting strictly within the operational rules defined by the Board of Directors in administrative, logistical, or procedural matters;
- b) Manages research projects and programs, ensuring their timely and efficient execution in accordance with the rules of funding entities and current legislation;
- c) Submits applications and supports researchers in their applications for public and private sector funding.

**5. Science and Technology Managers**, by analogy with the scientific research career (Junior, Assistant, Principal, and Coordinator), can also, with necessary adaptations:

- a) Participate in a fraction of their time in projects under their responsibility or integrated into teams;
- b) Provide training in research and development methodologies, science and technology management, science and technology communication, or technology transfer;
- c) Collaborate in teaching and participate in CCMAR's training programs;
- d) Guide students in higher education, particularly at the undergraduate, master's, and doctoral levels;
- e) Perform the functions for which they have been elected or appointed in CCMAR's collegial bodies.

**CHAPTER IV**

**FORMATION OF THE EMPLOYMENT CONTRACT**

**SECTION I**

## GENERAL PROVISIONS

### Article 9

#### General Principles Regarding Recruitment

The hiring of PhDs is subject to the following general principles:

- a) Adequate fulfillment of the human resources needs outlined in CCMAR's activity plan;
- b) Prior definition of the functional profile to be hired and the respective recruitment procedure;
- c) Establishment of objective selection criteria based on the category to be filled;
- d) Freedom of application, ensuring equal conditions and opportunities;
- e) Transparency and publicity;
- f) Impartiality of the selection panel;
- g) Justification of decisions in accordance with the parameters stated in point c).

## SECTION II

### RECRUITMENT OF Ph.D. HOLDERS

### Article 10

#### Regime

1. The recruitment of PhDs is generally done through an international external recruitment procedure, open to all potential candidates who meet the requirements set forth in Articles 10 to 12 of the Statute of the Scientific Research Career, and/or other requirements defined in complementary special legislation, or as defined by the Board of Directors.
2. The recruitment of PhDs is also subject to the rules set out in Articles 16, 18, 19, 20, paragraphs 1 and 2, 21 to 23, 26, and 27 of the Statute of the Scientific Research Career and/or other requirements defined in complementary special legislation.
3. Exceptions are cases duly authorized by the Board of Directors, in which, with the funder's permission, the projects in question clearly and unavoidably involve specific schedules, goals, markets, technologies, equipment, or know-how, or a particular level of specialization and/or experience, which necessitate a specific recruitment.

### Article 11

#### Contractual Modalities

1. The recruitment of PhDs is carried out on a fixed-term or indefinite-term basis, as allowed by the Labor Code, without prejudice to special legislation.

2. Fixed-term contracts are of an exceptional nature and are intended to address temporary needs, objectively defined by CCMAR, and only for the period strictly necessary to satisfy those needs.
3. The justification for the fixed term must be drafted with explicit mention of the facts that support it, clearly establishing the relationship between the invoked justification and the stipulated term, particularly in the following situations:
  - a) Replacement of PhDs in training or carrying out specific tasks funded by programs or projects;
  - b) Needs arising from situations of vacancy, impediment, or legally authorized absence, until the position is filled or the impediment or absence ceases;
  - c) Specialized activities in scientific research or technological development and/or management and communication of science and technology for a limited duration.
4. The renewal of a fixed-term employment contract is subject to verification of its admissibility, as provided for in its conclusion, as well as the same formal requirements in case of stipulating a different period.
5. The duration of an open-ended employment contract for PhDs recruited under the Scientific Employment Regulation (REC) cannot exceed 6 years<sup>2</sup>, while in other cases, the duration limit stated in the Labor Code applies.
6. An open-ended employment contract expires when, foreseeing the occurrence of the term, CCMAR communicates its termination to the worker, in accordance with the provisions of the Labor Code.

## Article 12

### Salary

1. The salary of PhDs is based on the salary levels of the categories of Assistant Researcher, Principal Researcher, and Coordinating Researcher, as provided in the (Career Statute for Scientific Researchers, Scientific Employment Regulation, and Decree Regulamentar no. 11-A/2017 of December 29<sup>th</sup>. The initial level applied to the category of Junior Researcher is referenced to level 33 of the *Tabela Remuneratória Única - TRU* (Single Remuneration Table), according to the following positions:

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<sup>2</sup> According to the information provided on the website of the Foundation for Science and Technology (FCT), the Decree-Law 57/2016, of August 29, amended by Law 57/2017, of July 19, constitutes special legislation regarding labor contracts for Ph.D. holders engaged in research and development activities: *As per this legislation, the maximum duration for an open-ended employment contract for Ph.D. holders recruited under the Scientific Employment Regulation (REC) is 6 years, and not the maximum limits set by the Labor Code, Law No. 93/2019, of September 4 (4 years)*. You can find this information on the FCT website at the following link: <https://former.fct.pt/apoios/contratacaodoutorados/empregocientifico/>, updated as of December 27, 2021.

<b>Salary levels:</b>	<b>1.<sup>a</sup></b>	<b>2.<sup>a</sup></b>	<b>3.<sup>a</sup></b>	<b>4.<sup>a</sup></b>
<b>Starting level:</b>	TRU 33	TRU 38	TRU 44	TRU 49

2. The remuneration of Science and Technology Managers is based on the salary levels of the categories mentioned in the previous paragraph, ensuring that they can enjoy the full range of scientific challenges typically associated with vertical progression careers, such as the career of scientific research.

3. The different categories of PhDs and invited researchers are structured in distinct remuneration positions, in accordance with the legislation referred to in the previous paragraph, in its current wording and subsequent amendments, at the date of entry into force of this Regulation, as follows:

Remuneration levels and corresponding category	Salary levels			
	1	2	3	4
- Junior Researcher or - Junior Science and Technology Manager	TRU 33	TRU 38	TRU 44	TRU 49
- Assistant Researcher <sup>3</sup> or - Assistant Science and Technology Manager	195	210	230	245
- Principal Researcher or - Assistant Researcher with <i>Habilitação</i> or <i>Agregação</i> or - Principal Science and Technology Manager or - Assistant Science and Technology Manager with <i>Habilitação</i> or <i>Agregação</i>	220	230	250	260
- Principal Investigator with <i>Habilitação</i> or <i>Agregação</i> or	245	255	265	285

<sup>3</sup> Henceforth, the categories of Annex I of the Statute of the Scientific Research Career.

Remuneration levels and corresponding category	Salary levels			
	1	2	3	4
- Principal Science and Technology Manager with <i>Habilitação or Agregação</i>				
- Coordinator Research or - Coordinator Science and Technology Manager	285	300	310	330

3. The **initial** placement of PhDs into one of the remunerative positions of the category is subject to negotiation with the Board of Directors, based on the researcher's profile and experience.

4. The remuneration of invited researchers depends on the category of the career to which they are equated.

5. Progression between remunerative positions is proposed by PhDs to the Board of Directors at the time of contract renewal for fixed-term contracts or at any time for permanent contracts, taking into consideration performance evaluation and subject to a favorable opinion from the Board of Directors, which will assess the feasibility of the request.

6. The remuneration of PhDs may be increased with funds from specific projects or other funding assigned by other institutions, either automatically or upon proposal of the PhD to the Board of Directors, which will assess the feasibility of the request.

### SECTION III

#### EMPLOYMENT CONTRACT OF INVITED RESEARCHERS

##### Article 13

###### Duration of Contracts

1. Invited researchers, as defined in Article 6 of this Regulation, are contracted for a fixed or indefinite term, with their contracts being renewable in accordance with the applicable legislation.

2. The renewal of contracts for invited researchers shall be carried out in accordance with paragraphs 4 and 5 of Article 44 of the Statute of the Scientific Research Career, provided they have received a performance evaluation above a certain level specified for this purpose.

##### Article 14

## **Recruitment**

1. The invited researcher is an individual whose contribution, due to their special qualifications and expertise, is considered essential to the activities of CCMAR, for a specific period defined, and can be:

- a) A national or foreign individual;
- b) A researcher, a university higher education professor, or a polytechnic higher education professor, retired or emeritus, whether or not they have been part of the institution's staff;
- c) An individual who carries out functions at CCMAR under instruments to promote research training and mobility, under the responsibility of international organizations of which Portugal is a member or under agreements subscribed to by Portugal.

2. Invited researchers perform functions corresponding to the category of the research career to which they are equated through the contractual agreement.

3. Invited researchers are recruited by invitation from individuals whose merit in the field of the scientific and technological area in question is proven by valuable scientific work or a scientific and technological curriculum, along with a recognized competent performance in a professional activity.

4. The invitation must be supported by opinions from at least two researchers or professors in the relevant field and be approved by a simple majority vote of the members of the Scientific Committee in office, who must have previously received a copy of the curriculum vitae of the individual to be hired.

5. The category of the research career to which the invited researcher is equated shall be determined by the Board of Directors, considering the curriculum elements of the individual concerned.

## **CHAPTER V**

### **PERFORMANCE EVALUATION**

#### **Article 15**

##### **Performance evaluation system**

1. The PhDs at CCMAR are subject to performance evaluation.
2. Obtaining a performance evaluation level, as defined by the Board of Directors, is a necessary condition for:

- a) Contracting into the positions of the scientific research and management and science communication and technology careers;
- b) Promotion to a higher category;
- c) Progression to a higher remuneration position.

## **Article 16**

### **Functional Content**

1. The evaluation of PhDs, **depending on the type of career**, is based on the functional content of their respective activities, which are grouped into the following five aspects:

- a) Research;
- b) Teaching and/or scientific guidance;
- c) Management and communication of science and technology, and other tasks;
- d) Knowledge transfer and valorization;
- e) Outreach and communication.

2. **Research** activities should encompass a set of tasks or outcomes, including:

- a) Advancement and enhancement of research activities carried out at CCMAR in the scientific area for which they were hired, aiming to contribute to the advancement of knowledge and consolidating this through active pursuit of competitive funding for research activities, such as applying for research and technological development projects in national and international funding programs, as well as obtaining effective external funding sources, contributing to the sustainability of the scientific area for which they were hired at CCMAR;
- b) Coordination and/or participation in scientific research projects;
- c) Scientific publication and dissemination of research results;
- d) Creation and development of innovative knowledge;
- e) Technological development;
- f) Participation in national and international cooperation activities in their scientific area, including collaboration with scientific societies, participation in editorial boards of scientific publications, and scientific committees and societies;
- g) Participation in scientific assessment panels (research proposals, contests, awards) or other panels as a scientific expert.

3. **Teaching and/or scientific guidance** activities should be integrated with research activities. In this set of activities, it is expected that PhDs actively collaborate in:

- a) Teaching in higher education, particularly in Bachelor's and Master's programs and Ph.D. programs;
- b) Organizing advanced training courses;
- c) Organizing Summer Schools;

- d) Supervising Master's and Ph.D. theses and supervising doctoral internships;
- e) Guiding post-doctoral projects;
- f) Participating in academic examination boards, particularly for Master's and/or Ph.D. degrees;
- g) Mentoring young researchers within projects they coordinate.

4. Activities of **management and communication of science and technology**, and other tasks include:

- a) Performing roles in the management of science and technology at CCMAR;
- b) Performing roles in other committees related to the organization of general activities at CCMAR, such as publications and conferences, or other regular initiatives;
- c) Coordination and/or participation in communication and science dissemination projects;
- d) Performing roles in other committees, nationally or internationally, related to the organization of scientific and management activities based on science;
- e) Central, departmental, academic, or scientific management;
- f) Other tasks defined by CCMAR Board of Directors.

5. Activities of **knowledge transfer and valorization** include, among others:

- a) Executing projects with companies or other institutions to improve their products or services or their functioning;
- b) Providing specialized services to solve problems that require advanced knowledge;
- c) Contributing to the acquisition of projects and funding for CCMAR;
- d) Authoring/co-authoring patents, creating companies, or activities that result in industrial and/or intellectual property;
- e) Conducting studies and debates within society to diagnose problems and propose alternative solutions;
- f) Supporting the launch and development of structures that utilize advanced knowledge;
- g) Promoting and developing structures that increase society's adoption of advanced knowledge.

6. Outreach and communication activities aim at disseminating research results and involvement in cultural activities, as well as training young researchers and professionals in various fields. These activities include, among others:

- a) Organizing and/or participating in activities related to scientific outreach programs;
- b) Organizing and/or participating in activities aimed at high school students and/or students in the first and second cycles of higher education;
- c) Regular or occasional collaboration with the media;
- d) Organizing and/or participating in activities aimed at the public.

7. PhDs are expected to carry out a regular set of activities from the **five activity aspects listed in paragraph 1 of this article, duly adapted to their respective careers**, and they should document them in the reports specified for this purpose.

## **Article 17**

### **Phases of Performance Evaluation**

1. The performance evaluation process for PhDs consists of the following stages:

- a) Constitution of the Performance Evaluation Committee (CAD);
- b) Preparation, by the evaluated PhD, of a Triennial Performance Evaluation Report (RTAD);
- c) Analysis of the RTAD by the CAD;
- d) Issuance of the Preliminary Evaluation Report by the CAD;
- e) Pre-hearing of the evaluated PhD;
- f) Interview – optional stage;
- g) Issuance of the Final Evaluation Report by the CAD;
- h) Approval of the decision by CCMAR Board of Directors.

## **Article 18**

### **Nature**

1. The evaluation of activities carried out by PhDs is conducted through the submission of a Three-Year Performance Evaluation Report (RTAD), according to the model provided in **Annex I** to this Regulation, and a career plan.

2. The evaluation focuses on the functional content of their respective activities, according to the type of career, in the preceding triennial cycle, divided by the aspects referred to in Article 16, and must necessarily consider the evaluation parameters stated there, as well as the activity indicators referred to in **Annex II** to this Regulation, as well as the career plan.

3. The evaluation will consider and weigh the demands of the functions corresponding to the respective category and career.

## **Article 19**

### **Performance Evaluation Committee (CAD)**

1. The CAD is chaired by the President of the Board of Directors, or a member appointed by it and consists of a minimum of 5 and a maximum of 9 PhDs/Professors, mostly external to CCMAR, with

recognized competence, all of whom should have a functional category higher than that of the evaluated PhD.

2. The absence or impediment of any of the CAD evaluators does not constitute grounds for a lack of evaluation; the Board of Directors shall define mechanisms for replacing each evaluator.

3. The CAD meets exceptionally upon the Board of Directors' request.

4. The decisions of the CAD on evaluation matters are final if taken by a two-thirds majority of its members in office.

5. The CAD's responsibilities include:

- a) Preparing the Preliminary Evaluation Report;
- b) Preparing the Final Evaluation Report;
- c) Giving an opinion on the exercise of the pre-hearing.

## **Article 20**

### **Reports**

1. PhDs must **annually** submit to the Board of Directors an Annual Progress and Self-Evaluation Report (RAPA) on the activities carried out in the previous year, according to the model made available by the Board of Directors, in addition to this Regulation.

2. PhDs must triennially submit to the Board of Directors a Three-Year Performance Evaluation Report (RTAD) on the activities carried out during the three previous years, following the functional content defined in Article 16 of this Regulation.

3. The RTAD will include a career plan for the following 3 years.

4. Notwithstanding the previous number, the RTAD must be organized in a way that explicitly separates the relevant elements for evaluating each of the aspects defined in Article 16 of this Regulation, in line with the activity indicators referred to in **Annex II**, including:

- a) Summary of the activities developed, highlighting the main scientific, academic, and/or management contributions in the various aspects;
- b) Detailed description of the activities carried out, taking into account the contribution to the enumerated indicators in Annex II;
- c) Relevance and innovation of the developed knowledge;
- d) Development beyond the state-of-the-art of the respective scientific area;
- e) Implementation of the scientific agenda and its adjustment to CCMAR's strategy;
- f) Initiatives taken not foreseen in the scientific agenda;
- g) Weighing to be attributed to each aspect.

## **Article 21**

### **Process**

1. The evaluation is triennial, commencing no later than 6 (six) months after the entry into force of this Regulation, with necessary adaptations according to the doctoral contractual nature.
2. The Board of Directors, after consulting the Scientific Committee, determines the composition of the CAD.
3. The RTAD is submitted by the PhD until the last day of August by email, to [coordinatorccmar@ualg.pt](mailto:coordinatorccmar@ualg.pt) or to another address or platform indicated.
4. The CAD must analyze the RTAD within a maximum of 90 days after its submission by the PhD, generating a Preliminary Evaluation Report and proposing the date for the interview, if necessary, as set out in the next article.
5. The Board will inform the PhD of the Preliminary Evaluation Report and:
  - a) Ensure the date for the interview, if deemed necessary, as set out in the next article or;
  - b) Provide a period of 10 business days for the Ph.D., if desired, to exercise their right to a pre-hearing in writing, as specified in Article 24 of this Regulation.
6. If held, the interview must take place within a maximum of 10 business days after notifying the PhD of the Preliminary Evaluation Report.
7. Within 10 business days after the interview or after the exercise of the right to a pre-hearing, the CAD will produce a Final Evaluation Report, including its recommendations and the final classification of the PhD, which must be approved by the Board of Directors, who will inform the PhD accordingly.
8. If the deadlines for the pre-hearing phase pass without the PhD exercising their right, the Board of Directors will approve the evaluation results and issue a decision on the Final Evaluation Report.

## **Article 22**

### **Interview**

The interview is an optional stage of the performance evaluation for PhDs and aims to clarify aspects of the RTAD content.

## **Article 23**

### **Weighting of Evaluation Aspects and Classification**

1. For each of the aspects referred to in Article 16, the CAD will apply weighting, considering the category and career of the evaluated PhD.

2 The final evaluation for each triennial period is expressed with ratings of 1 (minimum), 2, 3, 4, 5 (maximum), resulting from the weighted measurement, rounded to the tenth, of the quantitative ratings obtained in each of the evaluation aspects, in accordance with the activity indicators referred to in Annex II.

3. The final rating, expressed in tenths, results from the weightings indicated in number 1, leading to the following performance qualifiers:

- a) Insufficient [ $< 2.5$ ];
- b) Sufficient [ $2.5 - 3.4$ ];
- c) Good [ $3.5 - 3.9$ ];
- d) Very good [ $4.0 - 4.4$ ];
- e) Excellent [ $4.5 - 5.0$ ].

4. Ratings of "Insufficient" during a triennial evaluation cycle are sufficient reason for a recommendation for dismissal with just cause, through the initiation of a disciplinary process, as defined in the Labor Code.

5. Ratings of "Good" during four consecutive triennial evaluation cycles are sufficient reason for a salary position progression or for a category progression, in case of an internal competition opening.

6. Ratings of "Very Good" during three consecutive triennial evaluation cycles are sufficient reason for a salary position progression or for a category progression, in case of an internal competition opening.

7. Ratings of "Excellent" during two consecutive triennial evaluation cycles are sufficient reason for a salary position progression or for a category progression, in case of an internal competition opening.

## **Article 24**

### **Pre-Hearing**

1. In the case of refusal of the evaluation result, the Ph.D. must present their reasons for disagreement in writing to CCMAR Board of Directors within a maximum of 10 business days, starting from the date of notification of their Preliminary Evaluation Report.

2. The CAD must respond to the appeal, hearing the PhD if deemed necessary, within a maximum of 10 business days, issuing the Final Evaluation Report.

3. The CAD must respond to the appeal, hearing the PhD if deemed necessary, within a maximum of 10 business days, issuing the Final Evaluation Report.

## **Article 25**

### **Evaluation Results**

Decisions regarding the renegotiation or termination of PhDs' contracts, or their career and salary position progression, will be based on the performance evaluation system defined in this Regulation.

## **Article 26**

### **Special Situations**

1. In cases where the PhD has been on sick leave, maternity leave, or any other legally justifiable reason, and their work performance in the evaluated year has reduced by at least 20%, the evaluation schedule will be delayed by a period equal to the absence.
2. Special situations not foreseen in the previous number must be reported to the CAD and CCMAR Board of Directors.

## **CHAPTER VI**

### **FINAL AND TRANSITIONAL PROVISIONS**

## **Article 27**

### **Funding of Activities**

1. The hiring of PhD does not include funding for their research; however, CCMAR may provide limited support for participation in conferences or other research expenses, subject to financial availability.
2. PhDs must obtain external funding for their research from national and international sources, whether public or private.

## **Article 28**

### **Transitional Provisions/Start of Performance Evaluation**

1. PhDs currently employed by CCMAR in indefinite-term positions will retain their category, and the necessary number of positions in their respective staff will be automatically created accordingly.
2. All PhDs currently employed by CCMAR for at least 3 years will undergo a performance evaluation within a maximum of 6 (six) months after the entry into force of this Regulation.

3. The remuneration regime will depend on the agreements established for this purpose with FCT or other funding sources supporting PhDs' salaries, considering CCMAR's legal nature.

#### **Article 29**

##### **Internal Call for Career Progression**

1. If the budget allows, CCMAR should regularly open internal calls for career progression, where obtaining a performance evaluation between "Very Good" and "Excellent," as defined in Chapter V of this Regulation, is a condition for eligibility.
2. Exceptionally, the first internal competition held after the entry into force of this Regulation will not consider the requirements stated in the previous clause.

#### **Article 30**

##### **References**

References to the Statute of the Scientific Research Career are static and do not encompass subsequent changes related to the referred matters.

#### **Article 31**

##### **Doubts and Omissions**

Cases of omission and doubts regarding the interpretation of this Regulation will be resolved by the decision of CCMAR Board of Directors.

#### **Article 32**

##### **Entry into Force**

This Regulation shall enter into force on the day following its approval by CCMAR Board of Directors.

Faro, 10<sup>th</sup> May 2023.

ANNEX I

Three-Year Performance Evaluation Report Template (RTAD)<sup>4</sup>

Delivery date: \_\_\_\_/\_\_\_\_/202\_

1) Identification of the Researcher

Full Name:

Researcher ID:

CiêncialD:

ScopusID:

Contract start date:

Evaluation Period: from                      to

Position/Category:

Career (Research or Management):

Research Group/Department:

2) Summary of Activities Developed (maximum 3000 characters excluding spaces)

*(Provide a brief description of the main activities developed, highlighting the key scientific, academic, and/or management contributions in the various areas mentioned in Article 16 of the Regulation)*

3) Detailed Description of Activities Developed, taking into account the contribution to a set of activities (Article 16), according to the respective career, considering the indicators listed in Annex II

*(Research | Teaching and/or scientific guidance | Management and communication of science and technology and other tasks | Transfer and valorization of knowledge | Extension and communication)*

<sup>4</sup> Paragraph 1 of Article 18 of this Regulation.

**4) Relevance and Innovation of the Developed Knowledge and advancement beyond the state of the art in the respective scientific area - *If applicable***

**5) Implementation of the Scientific Agenda and its alignment with CCMAR's strategy**

**6) Initiatives taken that were not included in the scientific agenda**

**7) Weight to be assigned to each evaluated area, according to Annex II**

**8) Three-year Career Plan (maximum 4000 characters including spaces)**

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Researcher's Signature:

**Note: This document should be sent to [coordenadorccmar@ualg.pt](mailto:coordenadorccmar@ualg.pt) .**

**ANNEX II**  
**Weighting of Activity Evaluation<sup>5</sup>**

ACTIVITIES	WEIGHTING	
	Scientific Research Career	Management and Communication of Science and Technology Career
Research	55-75	5-10
Teaching and/or scientific guidance	5-25	5-15
Management and communication of science and technology and other tasks	5-25	30-70
Transfer and valorization of knowledge	5-25	30-70
Extension and communication	5-25	30-70

<sup>5</sup> Paragraph 1 of Article 16 of this Regulation.