

## HUMAN RESOURCES STRATEGY FOR RESEARCHERS

### ACTION PLAN

Follow-up 20<sup>th</sup> December 2020

| Action | Who   | When                                      | Attainment (0 to 5)                      | Indicators | Comments   |  |   |
|--------|---|---|--|------------|--|--|---|
| 1      | Approval and implementation of the internal rules for evaluating investigators, taking into account mobility and teaching | Head UQSI / Internal Scientific Committee | Q2-2015                                  | 5          | Researchers evaluated with the new rules (y/n)   | Modifications of internal regulations (last version: Mar'18) | Approved by the Internal Scientific Committee (14/05/2015) and available at the intranet.<br>Staff researchers evaluated during Jan-Mar '16.  |
| 2      | Enforcement of the equality plan  | Head Human Resources                      | Q3-2015                                  | 5          | Number of actions implemented within the plan<br>Number of beneficiaries of such actions | Equality Plan follow-up.                                     | Equality plan implemented and communicated within the institute in Aug '15. Available at the intranet. Equality Commission resumed activities in Oct' 16.   |
| 3      | Membership within the Internal Scientific Committee, through election by the researchers.                                 | Director                                  | Q3-2015<br>Q4-2017<br>Q4-2019<br>Q4-2020 | 4          | Number of elected members  | 2 Members per area.  | New composition in Set '15: each research area has elected their representatives.<br>More IR researchers in the new scientific committee.<br>Yet, the HRS4R team keeps proposing that 1 member to be elected by research staff.<br>In 2019 has been a change of Director and he wants to do a renewal of CCI during 2020. |

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|--------|--|----------------------|---------------------|------------|---|---|---|
| 4      | Update the IRSP's Code of Good Scientific Practices                                  | Head UQSI            | Q4-2015             | 5          | New version at the researcher's disposal (y/n)  | Document                                | Updated 26/10/2015 and available at the intranet.   |
| 5      | Implementation of a central repository of publications, available to all researchers | Deputy Director      | Q4-2015             | 5          | # visits<br># researchers accessing the repository  | 100% Publications Available in intranet | Intranet's presentation and training in Dec' 15. Repository completely operative since Jan' 16.   |
| 6      | Improvement of the detection process for training needs, involving the end recipient | Head Human Resources | Q4-2015             | 5          | Number of actions<br>Number of training recipients<br>Attendants per action<br>Recipient satisfaction with the action | Annual training needs report            | Few research groups expressed their needs for the 2016 training plan. The process shall be strengthened for the 2017 plan.  |
| 7      | Designing training pathways for researchers in the Annual Training Plan              | Head Human Resources | Q4-2015<br>Q1-2017  | 5          | Number of pathways<br>Number of researchers in each pathway per year  | Final annual training reports           | Institution has an annual training plan based on the needs analysis, and all the activities are followed by the training commission.<br><br>Proposal from the meeting on Nov 4 <sup>th</sup> 16 of the HRS4R team: a <del>mandatory</del> training program for early researchers encompassing presentations in English, article writing, statistics (It has been included in Annual plan, first 2017) |

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| 8 Approval of a technical note addressed to researchers summarizing the proposed manual for contracting temporary staff for projects and research agreements                 | Head Human Resources                               | Q4-2015<br>Q4-2016 | 4                   | Document at the researcher's disposal (y/n)          | N/A                                | Draft note presented in the last meeting of the HRS4R group (04/11/16). Some minor changes will be included to take into account job openings in English for researchers and publication of resolutions.  |
| 9 New corporate website with dynamic contents for each research group, via intranet feeding and contents management by the group principal investigator                      | Deputy Director                                    | Q2-2016<br>Q4-2017 | 5                   | % groups feeding contents into the website           | 100% contents in intranet and web. | Web operative (Catalan and Spanish version) from 18 Jul' 16. Developing automatic contents from the intranet.<br>→ Now working in web to link the contents.<br>→ Support from Secretary to complete the information in each section.  |
| 10 Develop an employee handbook specifically addressed towards researchers, including current available contents, as well as new versions and new documents as per this plan | <del>Head Human Resources</del><br>Deputy Director | Q3-2016            | 5                   | Number of new researchers provided with the handbook | Document                           | Draft approved in the Management Committee (25/05/2016). New procedure approved 06/09/2016:<br>- HR informs new researchers the document is available at our intranet.<br>- IR Sant Pau's Deputy Director is in charge of updating the handbook in both versions (CAT and ENG).<br>In 06/09/2016 the new employee handbook is available at the intranet.<br><a href="http://www.recercasantpau.cat/en/research/information-to-researchers/">http://www.recercasantpau.cat/en/research/information-to-researchers/</a> |

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|--------|---|--------------------------------|-------------------------------|------------|---|---|--|
| 11     | Procedure to ensure the effective supervision and feedback of researchers in their training phase by their coordinators, including the creation of a specific committee and the participation of the ombudsman for the researcher                 | Research staff representatives | Q4-2017<br>Q4-2019<br>Q1-2020 | 3          | Number of researchers supervised / year<br>Number of related complaints / year to the ombudsman | Researchers R1, R2a & R2b<br>In Scorecard | J. Clarimon / J. Martin Campos to survey how it works in other research institutes. A meeting with both of them and A. Hervàs was held on 10 Oct' 16 to review practices in other centres (Idibell). See more information concerning ombudsman updates on Action 19's comments.<br><br>- Add the contact person in the welcome manual<br><br>- Pending of define the ombudsman<br><br>- J. Clarimon will send a questionnaire proposal for next meeting. <b>Q2-2019</b> . Pending to review by the team and define how to implement. |
| 12     | Accessibility of all existing and forthcoming institutional rules and/or practices to current and future researchers:<br><br>English translation of materials<br><br>Inclusion in the intranet and the new corporate website ( <i>see above</i> ) | Deputy Director                | Q4-2016                       | 5          | Availability of the contents in the intranet / web (y/n)  | Intranet and web 100% updated.            | New website to be operative in Jul' 16, including those documents.<br><br>Document translation from Mar '16 to Sep '16.<br><br>Documents, including their English version, uploaded to the intranet (Sep '16).   |
| 13     | Annual survey of researchers' satisfaction with support structures  | Director                       | Q4-2016<br>Q4-2018            | 5          | <del>2016 satisfaction scores</del><br>Corrective actions implemented:                          | 2 (2016)<br>1 (2018)                      | Core facilities' user satisfaction survey in May '16. Report with actions implemented issued in Oct' 16.<br><br>Implementations of procedure to measure the user satisfaction of core facilities according ISO 9001.   |

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| 14 Training program devoted to developing teaching skills  | Head Human Resources     | Q4-2016                         | 5                      | # attendants                                   | Training program     | Course held in Set' 15. 3 attendants. To be held again in 2017.   |
| 15 Guide explaining the IP policies applied by the different research funding agents   | Head Technology Transfer | Q2-2017                         | 5                      | Document at the researcher's disposal (y/n)    | Document in intranet | Document issued, uploaded to the intranet and communicated to the institute's research staff (22 Dec '16).  |
| 16 Guide of Good Grant Management Practices  | Head Research Projects   | Q2-2017                         | 5                      | Document at the researcher's disposal (y/n)    | Document in intranet | Guide uploaded to the intranet (Jan '17) and referred within a new version of the Employee Handbook.  |
| 17 GLP pilot in a selected research groups before expanding to the whole institute. GLP implementation but not certification | Head UQSI                | Q4-2017<br>Postponed until 2020 | 2                      | Number of groups working under GLPs conditions | Number of groups     | GLP course intended to research staff to be held on Nov '16.<br>Postponed until 100%research working in new labs.   |
| 18 New research facilities   | Head UQSI                | Q4-2018<br>Q2-2019              | 5                      | % research groups working in new labs          | %100 in new labs     | Works for the construction of the new building are underway.<br>At the end of 2019, 100% research groups in new labs. We were still adjusting some spaces |

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| 19     | Creation of ombudsman for the researcher | Director | Q4-2017<br><del>Q4-2019</del> | 2          | Number of complaints / appeals / year<br><br>Contact of ombudsman in web | Proposal made to the Internal Scientific Committee on May 9, 2016. Proposal for internal rules submitted to this committee on 3 Nov' 16. The same proposal will be submitted for discussion to the HRS4R team.<br><br>In Nov'18, CERCA Institution approved the Code of Conduct for CERCA centres and in 2019 the director of Sant Pau RI signed its adhesion → <b>Define a ombudsperson for CERCA centres</b><br><br><a href="https://cerca.cat/en/policies/ombuds-person/">https://cerca.cat/en/policies/ombuds-person/</a> |

UQSI: Quality and IT Unit

**Other aspects not included in the original plan but to be worked out:**

|    |                                    |                 |   |   |                                      |                          |  |
|----|------------------------------------|-----------------|---|---|--------------------------------------|--------------------------|--|
| 20 | Job Openings in English            | Deputy Director | Q1-2017   | 5 | Number of annual openings in English | Number offers in Euraxes | Approved by the IR Management Board (23/09/16).  |
| 21 | Resolution of a closed job opening | Deputy Director | Q1-2017<br><del>Q4-2019</del><br>See the OTM-R new planning | 2 | Resolutions published (y/n)          | Resolutions in web       | Approved by the IR Management Board (23/09/16). Jobs section in our website will be upgraded to allow this new functionality. Already working on its development.. Communication of the results of the selection process and recruitment is not defined but all participants receive feedback. |

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**Actions derived from OTM-R Checklist (see meeting 13<sup>th</sup> September 2018) :**

|    |  |                       |                    |   |  |                                       |             |
|----|--|-----------------------|--------------------|---|--|---------------------------------------|-------------|
| 22 | Need to establish an OTM-R policy in accordance with the requirements set out in the tool kit published by Euraxess, improving the selection and merits assessment procedure currently in force. | Head Human Resources  | Q1-2020            | 5 | Policy   | Published in website (both languages) | Done Des'20 |
| 23 | Internal guide: Adaptation for the improvement of the HR selection and hiring processes, incorporating the differential of the C&C and the OTM-R policy not envisaged.                           | Head Human Resources  | Q2-2020            | 5 | Internal guide   | Published in website (both languages) | Done Des'20 |
| 23 | Training for the members of the staff selection committees   | Head Human Resources  | Q2-2020<br>Q1-2021 | 1 | Training contents<br>Number of members who complete the training | Y/N<br>100%                           |             |
| 24 | Implemented a quality control system to audit  | Quality Manager       | Q2-2020            | 1 | Process done   | Y/N                                   |             |
| 25 | Create rules concerning the evaluation committee.  | Scientific Directions | Q3-2020            | 5 | Clear guide to create the committee                              | Published in the website              | Done Des'20 |