

HUMAN RESOURCES STRATEGY FOR RESEARCHERS 2015-2018

**FUNDACIÓ INSTITUT DE RECERCA DE L'HOSPITAL DE LA SANTA CREU
I SANT PAU**

February 2015



TABLE OF CONTENTS

THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS	3
FUNDACIÓ INSTITUT DE RECERCA HOSPITAL DE LA SANTA CREU I SANT PAU	4
INTERNAL ANALYSIS AND ACTION PLAN: THE PROCESS	5
INTERNAL ANALYSIS: MAIN OUTCOMES	7
I. Principles to be addressed within the action plan	7
II. Principles not requiring further actions	12
ACTION PLAN.....	13
ANNEX I – LIST AND DEFINITION OF THE C&C PRINCIPLES.....	16
ANNEX II – MINUTES OF THE MEETINGS DEVOTED TO HRS4R.....	21

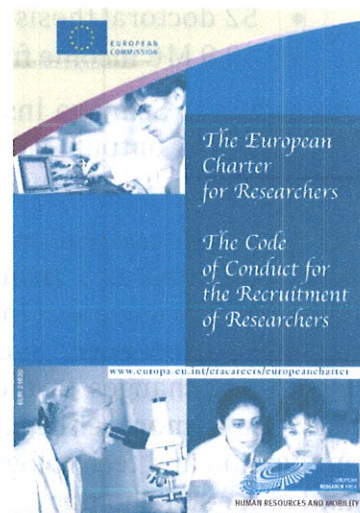
THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS

In a communication of March 2005, the European Commission adopted the **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers** (the C&C), and recommended its implementation in the Member States. These two documents are aimed at researchers as well as hiring institutions, and are key elements in the policy of the European Union to make research an attractive career, which is an essential feature of its strategy to stimulate the economic growth and employment.

The European Charter for Researchers addresses the roles, responsibilities and rights of researchers and their contractors. Its aim is to ensure that the relationship between the parties contributes positively to the process of creating, transferring and sharing knowledge and professional development of researchers.

The Code of Conduct for the Recruitment of Researchers aims to improve recruitment, and that selection procedures are fair and transparent. It proposes several means of evaluating the merits, taking into account not only the number of publications, but a wider range of evaluation criteria, such as teaching, supervision of people, teamwork, knowledge transfer, the management and scientific outreach.

In 2008, it was launched the EURAXESS Human Resources Strategy for Researchers (HRS4R) to support institutions in the process of implementation of the C&C principles in their practices and in policies. The logo "HR Excellence in Research" identifies the institutions and organizations such as suppliers and supporters of a stimulating environment and favourable working conditions.



HR EXCELLENCE IN RESEARCH

FUNDACIÓ INSTITUT DE RECERCA HOSPITAL DE LA SANTA CREU I SANT PAU

The Institut de Recerca de l'Hospital de la Santa Creu i Sant Pau (IRSP), non-profit research centre from one of the main hospitals in Spain, Hospital de la Santa Creu i Sant Pau, conducts basic, clinical and epidemiological research devoted to improving the health and quality of life of people.

Its main figures in 2013 were:

- 288 researchers
- 75 consolidated research groups
- 189 active research projects
- 654 publications in peer-reviewed journals
- 52 doctoral thesis
- 13.9 M€ income from operations

According to Scimago Institution Ranking, Sant Pau is the 7th hospital in Spain in terms of scientific output in health, up to 3rd concerning the generation of innovative knowledge.

Sant Pau's consolidation as a research institute was confirmed in early 2011, when it was accredited as a Healthcare Research Institute by the Carlos III Institute (Spanish Ministry of Science and Innovation), which emphasizes the commitment of the IRSP with scientific excellence. Such accreditation has been a great opportunity to promote significant changes to the traditional concept of research within Sant Pau, paving the way for a more efficient research, its internationalization, the orientation towards innovation and technology transfer, and a more dynamic collaboration with the industry and other stakeholders.

Even so, there is a huge room for improvement in these areas and, therefore, a number of related actions have been proposed in the IRSP' Strategic Plan 2014-2017. Some of them point towards the attraction of young talent, scientific coordination, researcher's career development, performance evaluation and incentives and, ultimately, scientific excellence. Moreover, the institute will face significant challenges in that period, mainly its sustainability in a context of economic constraints for the research in Spain and, paradoxically, the availability of new headquarters for the institute, to be open in 2017, poised to centralize in a single modern and well-endowed building research activities and groups that are currently scattered across different pavilions in the old hospital enclosure.

Transverse to most of these challenges and opportunities, the HRS4R becomes a timely and powerful complement to our strategic plan in order to evaluate and, ultimately, readdress a broad number of hard and soft aspects related with our organization, processes and people. Therefore, beyond of the external acknowledgement, the HRS4R becomes to our institute an excellent tool for improvement and growth, an unsurpassable opportunity to strengthen our founding purpose of promoting innovative scientific advances focused on the health and healthcare needs of society.

For more information regarding IRSP: <http://www.iibsantpau.cat>

INTERNAL ANALYSIS AND ACTION PLAN: THE PROCESS

In June 2014 the IRSP endorsed the C&C.

During the second half of 2014 the Internal Analysis has been conducted by an interdisciplinary team, by means of a number of meetings with members of the Governing Board, the Management Board, and researchers from all the levels of the research career. The minutes of those meetings are attached in Annex 2.

The composition of the project team has been:

Management and administration staff:

Jaime Kulisevsky (Director)
Alfons Hervàs (Deputy Director and HRS4R project leader)
Hilda Herrero (Director Management and Administration)
Jordi Virgili (Head Quality Assurance and Information Systems)
Fabiola Fernández (Head Unit of Research Projects)
Pere Lloreda (Head Human Resources)
Ramira Soto (Head Training)
Rafael Fernández (Human Resources Manager)
Isabel Arrieta (Human Resources Manager)

Research staff:

Luis Vila (equivalent to R3, head of a research group)
Mercedes Camacho (equivalent to R2)
Jordi Clarimon (equivalent to R2, head of a emerging group)
Jesús Martín Campos (equivalent to R2)
Luis Carlos Navas (equivalent to R1)

No R4-equivalent researcher has participated in this project owing to the fact that IRSP currently has not profiles that senior.

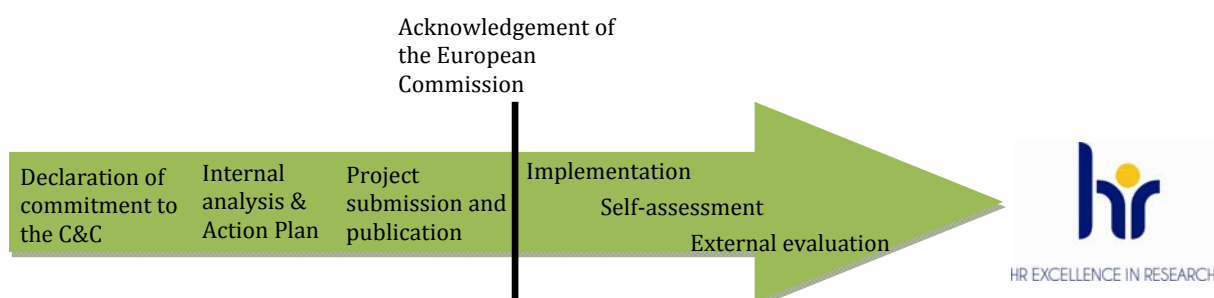
The analysis of the HRS4R at IRSP has been based on:

1. The principles contained in the C&C.
2. The inventory of national and regional legal regulations relating to the C&C and its principles.
3. The inventory of internal regulations relating to the principles of the C&C.
4. IRSP's Strategic Plan 2014-2017.

The overall timeline for the whole project has been thus far as follows:

Jun '14	Declaration of commitment to the C&C.
Sep '14	Meeting with CERCA's Director. Confirmation for implementing the project.
Oct '14	Meetings with researcher's representatives and management staff. Kick-off meeting of the project team.
Oct - Des '14	Project team meetings devoted to the internal analysis.
Jan '15	Project team agreement on the action plan.
Feb '15	Approval of the action plan by the IRSP Director. 1 st Submission to the European Commission. Publication of the HR Strategy Document / Action Plan.
Apr '15	Endorsement of the strategy by the Permanent Commission of the IRSP's Board of Trustees. Resubmission to the European Commission, including the last endorsement and the amendments concerning dates in the action plan suggested by the Euraxess team.

Upon receiving the European Commission's acknowledgement, the second phase will start with the implementation and subsequent evaluation of the actions contemplated in this document, following this process:



IRSP Excellence in Human Resources

The implementation of the HR Strategy and its action plan is estimated to extend over four years, from early 2015 to end 2018, owing to the fact that one of the main pillars underpinning this plan, a new building for our institute, is scheduled to be open throughout 2017. A self-assessment is envisaged to be performed in early 2017 and an external evaluation two years later.

INTERNAL ANALYSIS: MAIN OUTCOMES

IRSP's internal analysis lists the relevant legislation permitting or impeding the implementation of each principle (or set of principles), describes the existing institutional rules and practices within the institute related with those principles, and enunciates the necessity or not for the institute to address them. Shall actions are actually required they will be described in the Action Plan (next chapter).

I. Principles to be addressed within the action plan

1. Research freedom 2. Ethical principles 3. Professional responsibility 4. Professional attitude		
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Law 14/2011, Science, Technology and Innovation. Spanish Law 14/2007, Biomedical Research Spanish Law 15/1999 Personal Data. Protection. Spanish Law 32/2007, Animal protection in experimentation.	Code of Good Scientific Practice (2010) Clinical Research Ethics Committee (1992) Animal Research Ethics Committee (2000) Biobank Ethics Committee (2012)	IRSP's Code of Good Scientific Practice (CGSP) rules on: a) supervision of first stage researchers, b) preparation of the research protocol, c) documentation, storage and use of data, records and biological or chemical material resulting from research, d) industry-sponsored research, e) publication policy, f) authorship of articles, g) peer review.

5. Contractual and legal obligations 6. Accountability 8. Dissemination, exploitation of results 24. Intellectual Property Rights		
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Law 14/2011, Science, Technology and Innovation. Spanish Law 14/2007, Biomedical Research. Spanish Law 11/1986, Patents. Spanish Law 38/2003, Grants.	Collective Bargaining Agreement 2011-2014 Code of Good Scientific Practice (2010) Intellectual property regulation (2012) Spin-off regulation (2014) Welcome handbook for new employees (2011)	IRSP's welcome handbook is not specifically intended for researchers. The CGSP sets out the institute's publication policy. IRSP's IP regulation establishes the researcher's duty to contribute to the commercialization of their research. A guide explaining the IP policies applied by the different research funding agents has been requested. Also a code of good grant management practices. The IRSP is currently developing research management software (intranet) with the following features: research group data; active grants; central repository of publications. It is intended to feed with contents the institute's annual report and corporate website.

7. Good practice in research 15. Research environment 16. Working conditions		
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Decree 1/1995, Statute of Labourers. Spanish Law 15/1999, Personal Data Protection.	Collective Bargaining Agreement 2011-2014 Code of Good Scientific Practice (2010) Welcome handbook for new employees (2011) Biosecurity Committee (2013) Occupational Health and Risk Prevention Committee (2013)	From 2014, the IRSP provides data protection training, mandatory for all staff. Good laboratory practices (GLP) are not yet applied within the institute. The HRS4R project team has identified the need to improve the management and maintenance of project-associated equipment. The IRSP is making progress towards a culture of evaluating research personnel. We institute also foresee the evaluation by the researchers of support structures. Moving to a new facility is expected by 2017.

10. Relation with supervisors 11. Supervision and managerial duties 12. Continuing professional development 13. Recognition of the profession 20. Career development 22. Access to research training and continuous development 23. Access to career advice 26. Supervision		
Relevant legislation	Existing institutional rules and/or practices	Current situation

Spanish Decree 99/2011, PhD rules.	Collective Bargaining Agreement 2011-2014 Code of Good Scientific Practice (2010) Annual Training Plan Monthly Scientific Seminars	<p>The collective agreement in force follows the recommendations from the European Commission contained in the document "Towards a European Framework for Research Careers". The full development of the agreement is still in progress.</p> <p>The CGSP sets the supervision of early-stage researchers.</p> <p>Supervision and advice to early-stage researchers are left to his/her research line or group leader and the IRSP does not have the mechanisms to oversee it.</p> <p>The IRSP has an annual training plan. The involvement of research staff in the definition of that plan can be improved.</p> <p>The HRS4R project team agrees that there is room for improvement in basic technical training (e.g. waste management) for researchers.</p> <p>Since late 2012, scientific seminars are organized on a monthly basis, open to the whole research staff.</p> <p>Mentorship to early-stage researchers is not available at the IRSP yet.</p>
------------------------------------	---	--

14. Non-discrimination 19. Gender balance		
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Law 56/2003, Employment. Spanish Law 49/2007, Offenses and penalties relating to equal opportunities, non-discrimination and universal accessibility for people with disabilities.	None	Equality Plan currently under development

21. Value of mobility 27. Teaching 28. Evaluation / appraisal systems 37. Recognition of mobility experience 38. Recognition of qualifications 39. Seniority		
Relevant legislation	Existing institutional rules and/or practices	Current situation

Spanish Law 14/2011, Science, Technology and Innovation. Spanish Decree 63/2006, Statute of early-stage researchers. Spanish Warrant CIN/2657/2008, administrative procedure for assessing the professional performance of early-stage researchers.	Collective Bargaining Agreement 2011-2014 Code of Good Scientific Practice (2010)	The institute strictly complies with the provisions of calls for competitive grants. The Collective Agreement foresees the appraisal of researchers according to the following criteria: scientific output, resources, internationalization, transfer activities, dissemination and training. The details of its regulation are still to be approved. Appraisals have been devoted to research groups thus far, not to individual researchers. Appraisals have been performed by independent committees, but those committees have not included international experts.
---	--	---

25. Co-authorship

Relevant legislation	Existing institutional rules and/or practices	Current situation
	Code of Good Scientific Practice (2010)	There is a chapter within the CGSP devoted to authorship, including recognition requirements, the order of signature and opportunities for early-stage researchers. However there are no arbitration mechanisms in case of co-authorship complaints.

29. Complain/ appeals

Relevant legislation	Existing institutional rules and/or practices	Current situation
	Works Council	The Works Council provide service to research staff exclusively with regard to labor issues and social benefits.

30. Participation in decision-making bodies

Relevant legislation	Existing institutional rules and/or practices	Current situation
	Steering Committee Internal Scientific Committee Works Council	Research staff is not currently present at the Steering Committee of the institute. Members of the Internal Scientific Committee are not chosen by the researchers.

31. Recruitment

32. Recruitment (code)

33. Selection

34. Transparency

35. Judging merit

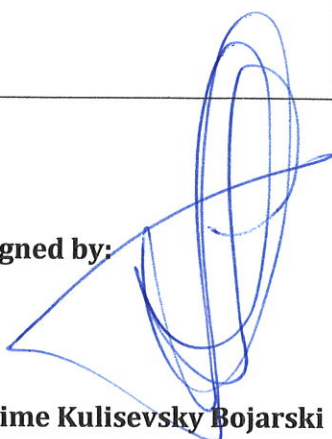
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Law 14/2011, Science, Technology and Innovation. Spanish Decree 63/2006, Statute of early-stage researchers.	Job description for each new position Job openings within the corporate website Minutes for closing each appointment process with motivated decision	Recruitment procedures are open and transparent. Each job description contains: prerequisites, other merits, duties, working conditions and salary, documentation required, deadline and contact person. Most of new appointments, made by means of public grants, fulfil the requirements of those grants concerning candidate's certifications, competencies, duties, etc. In those cases, decision lies in the principal investigator. There is no specific regulation for recruiting and selecting new researchers, not even for intramural calls devoted to appoint R3 and R4 researchers.

II. Principles not requiring further actions

9. Public engagement		
Relevant legislation	Existing institutional rules and/or practices	Current situation
None		The IRSP has scientific dissemination programs addressed towards schools, patients of the hospital and citizens in general.

17. Stability and permanence of employment 18. Funding and salaries 36. Variations in the chronological order of CVs 40. Postdoctoral appointments		
Relevant legislation	Existing institutional rules and/or practices	Current situation
Spanish Law 14/2011, Science, Technology and Innovation Spanish Decree 1/1995, Statute of Labourers	Collective Bargaining Agreement 2011-2014	<p>The collective agreement relies on art. 20 of the Spanish Law 14/2011 concerning the flexibility of employment contracts for researchers working in public institutions.</p> <p>The collective agreement provides wage conditions for each professional category, as well as other social benefits and permits.</p> <p>Article 31.2 of the Collective Bargaining Agreement includes permission leaves for training in other research centres.</p> <p>The Collective Bargaining Agreement sets maximum durations for postdoctoral appointments (5 years for R2A junior postdoctoral and 15 years for R2B senior postdoctoral).</p>

Signed by:




Jaime Kulisevsky Bojarski

Director Fundació Institut de Recerca Hospital de la Santa Creu i Sant Pau

ACTION PLAN

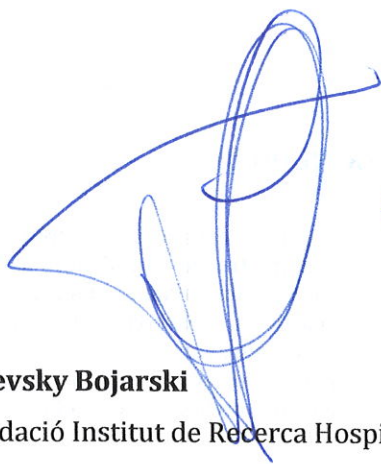
The internal analysis identified the following areas to be reviewed and adjusted to meet the requirements of the C&C:

Action	C&C principle	Who	When	Indicators
Update the IRSP's Code of Good Scientific Practices	1, 2, 3, 4, 5, 6, 8	Head UQSI	Q4-2015	New version at the researcher's disposal (y/n)
Develop an employee handbook specifically addressed towards researchers, including current available contents, as well as new versions and new documents as per this plan	5, 6, 7, 15, 16, 21, 24, 27, 28, 37	Head Human Resources	Q3-2016	Number of new researchers provided with the handbook
Accessibility of all existing and forthcoming institutional rules and/or practices to current and future researchers: English translation of materials Inclusion in the intranet and the new corporate website (<i>see below</i>)	5, 6, 7, 15, 16, 21, 24, 27, 28, 37	Deputy Director	Q4-2016	Availability of the contents in the intranet / web (y/n)
Guide explaining the IP policies applied by the different research funding agents	5, 6, 24	Head Technology Transfer	Q2-2017	Document at the researcher's disposal (y/n)
Code of Good Grant Management Practices	5, 6, 24	Head Research Projects	Q2-2017	Document at the researcher's disposal (y/n)
GLP pilot in a selected research groups before expanding to the whole institute. GLP implementation but not certification.	6, 7	Head UQSI	Q4-2017	Number of groups working under GLPs conditions
New research facilities	7, 15, 16	Head UQSI	Q4-2018	% research groups working in new labs
Implementation of a central repository of publications, available to all researchers	8	Deputy Director	Q4-2015	# visits # researchers accessing the repository
New corporate website with dynamic contents for each research group, via intranet feeding and contents management by the group principal investigator	8	Deputy Director	Q2-2016	% groups feeding contents into the website

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	10, 11, 26	Research staff representatives	Q3-2016	Number of researchers supervised / year Number of related complaints / year to the ombudsman
Improvement of the detection process for training needs, involving the end recipient	12, 20, 22, 23	Head Human Resources	Q4-2015	Number of actions Number of training recipients Attendants per action Recipient satisfaction with the action
Designing training pathways for researchers in the Annual Training Plan	12, 22	Head Human Resources	Q4-2015	Number of pathways Number of researchers in each pathway per year
Enforcement of the equality plan	14, 19	Head Human Resources	Q3-2015	Number of actions implemented within the plan Number of beneficiaries of such actions
Approval of a technical note addressed to researchers summarizing the proposed manual for contracting temporary staff for projects and research agreements	15, 31 to 35	Head Human Resources	Q4-2015	Document at the researcher's disposal (y/n)
Annual survey of researchers' satisfaction with support structures	15	Director	Q4-2016	2016 satisfaction scores
Approval and implementation of the internal rules for evaluating investigators, taking into account mobility and teaching	21, 27, 28, 37	Head UQSI / Internal Scientific Committee	Q2-2015	Researchers evaluated with the new rules (y/n)
Training program devoted to developing teaching skills	27	Head Human Resources	Q4-2016	# attendants
Creation of ombudsman for the researcher	25, 29	Director	Q4-2017	Number of complaints / appeals / year
Membership within the Internal Scientific Committee, through election by the researchers.	30	Director	Q3-2015	Number of elected members

UQSI: Quality and IT Unit

Signed by:

A large, stylized handwritten signature in blue ink, consisting of several overlapping loops and a long horizontal stroke.

Jaime Kulisevsky Bojarski

Director Fundació Institut de Recerca Hospital de la Santa Creu i Sant Pau

ANNEX I – LIST AND DEFINITION OF THE C&C PRINCIPLES

1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

2. Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

6. Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

10. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

11. Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

12. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

13. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

14. Non-discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

15. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

16. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

17. Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.

18. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

19. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

20. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

21. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

22. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

23. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

24. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

25. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research.

Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

26. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

27. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

28. Evaluation/ appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

29. Complains/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

30. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

31. Recruitment (Chart)

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

32. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

33. Selection

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

34. Transparency

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

35. Judging merit

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

36. Variations in the chronological order of CVs

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

37. Recognition of mobility experience

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

38. Recognition of qualifications

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

39. Seniority

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

40. Postdoctoral appointments

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

ANNEX II – MINUTES OF THE MEETINGS DEVOTED TO HRS4R

Date: September 3, 2014, 13h
Venue: Meeting room, IRSP
Subject: HRS4R @IRSP
Present: From IRSP: From CERCA Institution
Jaime Kulisevsky (Managing Director) Lluís Rovira (Managing Director)
Alfons Hervàs (Deputy Director)
Hilda Herrero (Director Economy and Finance)
Jordi Virgili (Head of Quality and Information Services)
Pere Lloreda (Head Human Resources)
Joaquim Escobar (Managing Director ICC)

1. Background information

The IRSP has recently adhere to the principles of “The European Charter of Researchers” and “The Code of Conduct for the Recruitment of Researchers” (hereinafter “the C&C”). Now the institute aims to proceed according to the European Commission’s Human Resources Strategy for Researchers.

2. Discussion

LR explains CERCA’s recommendations as to how CERCA’s research centers have to proceed in order to apply for the “HR Excellence in Research” logo granted by the European Commission:

- First the IRSP has to perform a gap analysis of its current situation confronted with the 40 principles established in the C&C. He recommends the appointment of a project manager and a project team where all the research categories should be represented along with the selected management staff.
- The second required document is the 4-yr action plan to address the aforementioned principles ultimately concerning own research staff. This plan shall focus on a number of principles wherein actions might be attainable. It shall better be a straight-to-the-point document, with the following structure: principle > action > responsible > schedule and milestones > indicators > deliverables.
- Among the deliverables, we should find out a welcome package, an ethic code, the training plan, the IP internal policy, the scientific career development plan, et cetera. In case the institution has already these documents, on the basis on the action plan approved it should consider their English translation and corporate website upload.
- The gap analysis + action plan document must be afterwards published in our website and sent to Euraxess for publication in its web.

- Shall this document is approved by the European Commission Sant Pau will be granted the logo. CERCA institution will audit the action plan in two years and, two years later (i.e. 4 years after obtaining the logo), the action plan will be reviewed by the European Commission, which will request a new action plan for the following period.
- Since ICCC is to be merged within IBB Sant Pau by January 2016 no further action is requested from the former.

LR reminds that CERCA Institution requires CERCA institutes to submit the gap analysis + action plan no later than January 31st 2015.

3. Next steps

- a) An internal meeting with IRSP's attendees at this meeting will be scheduled to undertake a full review of C&C principles.
- b) A meeting with the Universitat Autònoma de Barcelona to take place in September 18, 2014 to learn their experience with HRS4R.
- c) Workshop about HRS4R held by CERCA to take place in September 19, 2004.
- d) AH to be appointed project leader.

Appointment of the investigators to be member of the project team.

Date: October 3, 2014, 11.30h
Venue: Meeting room, IRSP
Subject: HRS4R @IRSP
Present: Jaime Kulisevsky
Alfons Hervàs
Representing the investigators (Works council):
Luis Vila
Joan Carles Escolà
Mercedes Camacho
Josep Julve
Ángel Martínez
Marta Soler

1. Background information

The IRSP has recently adhere to the principles of “The European Charter of Researchers” and “The Code of Conduct for the Recruitment of Researchers” (hereinafter “the C&C”). Now the institute aims to proceed according to the European Commission’s Human Resources Strategy for Researchers. Moreover, CERCA Institution urges all CERCA institutes to submit their proposals before end 2014. A first meeting with CERCA Director’s Lluís Rovira and Sant Pau’s management and administration staff was held to obtain guidance. The next step is now to involve our research staff to appoint the project team devoted to work HRS4R’s gap analysis + action plan (the GA+AP).

2. Discussion

AH explains HRS4R overall process and requirements, as well as the steps Sant Pau’s has made thus far. JK emphasizes the opportunity it represents for both the institution and its research staff. It is made clear that the GA+AP is just the beginning of an enduring process that requires participant’s commitment for the continuous improvement of Sant Pau’s research practices and procedures.

AH invites Sant Pau’s researchers to join the project team. That team shall meet c. 4 times to end up with the first draft of the GA+AP. All researcher categories, from R1 to R4, shall be represented, along with the management and administration staff.

LV states the works council (WC) willingness to participate in this project. The WC will join together the research staff to explain the challenge and choose their representatives.

3. Next steps

- a) The WC to communicate the list of researchers involved in the project team in two weeks at the latest.
- b) AH to schedule the kick-off meeting soon afterwards.

Date: October 16, 2014, 16.30h
Venue: Meeting room, IRSP
Subject: HRS4R @IRSP
Present: Jaime Kulisevsky (Managing Director)
Alfons Hervàs (Deputy Director)
Laura Sant Martín (Deputy Director Economy and Finance)
Jordi Virgili (Head of Quality and Information Services)
Pere Lloreda (Head Human Resources)
Fabiola Fernández (Head of Projects)

1. Objectives

To perform a preliminary review of the degree of accomplishment of the C&C.

2. Discussion

AH has been appointed project leader of HRS4R at Sant Pau.

AH submits for discussion a first draft of gap analysis including for each principle of the C&C his analysis on relevant legislation and institutional rules. AH encourages those present to suggest other possible rules to be taken into account.

The first read of principles serves to identify some potential areas for improvement to be further discussed in the project team:

- An update of Sant Pau's Code of Good Practices of Research, as well as its internal communication.
- Start adopting good laboratory practices, for instance with a pilot in selected research groups before expanding to the whole institute.
- Develop an employee handbook specifically addressed towards researchers.
- Start working on the institute's publications repository.
- Speed up the approval of the internal rules for evaluating investigators.
- Improvement of the detection process for training needs, involving the end recipient.
- Propose the Internal Scientific Committee to empower the research area coordinator with continuous development and career advice assistance functions.
- Propose the Internal Scientific Committee the figure of the ombudsman for the researcher.

3. Next steps

- a) Kick-off meeting of the whole project team.

Date: October 27, 2014, 10.00h
Venue: CEIR Meeting room, IRSP
Subject: KICK-OFF MEETING PROJECT TEAM HRS4R @IRSP
Present: Management and administration staff:
Alfons Hervàs, acting as Project Leader
Jordi Virgili
Pere Lloreda
Fabiola Fernández
Ramira Soto
Rafael Fernández
Research staff:
Luis Vila
Mercedes Camacho
Jordi Clarimon
Jesús Martín Campos

1. Objectives

- To constitute the project team.
- To proceed with the gap analysis: discussion of a first set of principles from the C&C.

2. Discussion

AH explains the methodology proposed to perform the gap analysis + action plan, based on successive meetings, tentatively 4. AH will assume the content writing after each meeting.

AH submits for discussion 16 principles (1 to 12, 15, 16, 22 and 26), including for each principle of the C&C an analysis on relevant legislation and institutional rules. Each principle includes a first proposal of required actions, arising from the meeting held on October 16th, mainly for triggering purposes.

The team agrees on the significance of most of the proposed actions, especially those addressed towards strengthening internal and external communication (e.g. an improved employee handbook for researchers, more visibility of the internal rules and procedures, more dynamism of the corporate site). Moreover, the meeting serves to identify and agree on additional actions to be included in the action plan, namely:

- A technical note addressed to researchers summarizing the proposed manual for contracting temporary staff for projects and research agreements, related with principle 5.
- Procedure for equipment acquisition, related with principle 15 “Working conditions”.

- Annual survey of researchers' satisfaction with support structures, related with the same principle.
- Procedure to ensure the effective supervision and feedback of researchers in their training phase by their coordinators, related with principles 10, 11 and 26.
- Designing training pathways for researchers in the Annual Training Plan, related with principles 12 and 22.

During the meeting some researchers stress the importance, especially for young researchers, of an appropriate information and training on risk management and related aspects (for instance, waste management), via employee book, training plan, etc.

3. Next steps

- a) A new meeting of the project team, to be appointed soon.

Date: November 12, 2014, 10.00h
Venue: CEIR Meeting room, IRSP
Subject: 2nd MEETING PROJECT TEAM HRS4R @IRSP
Present: Management and administration staff:
Alfons Hervàs, acting as Project Leader
Jordi Virgili
Pere Lloreda
Fabiola Fernández
Ramira Soto
Rafael Fernández
Isabel Arrieta
Research staff:
Luis Vila
Mercedes Camacho
Jordi Clarimon
Jesús Martín Campos
Luis Carlos Navas

1. Objectives

To continue the gap analysis. Discussion of the following principles from the C&C: 13, 14, 17 to 21, 23 to 25, 27 to 30 and 37.

2. Discussion

AH requests to the team possible further thoughts/actions to the principles revised thus far. No comments arise.

Regarding principle 13, LV requests the development of the Collective Bargaining Agreement 2011-2014 in the action plan.

With regard to principles 14 and 19, IA is invited to join the team to update on IRSP's equality plan, currently in progress. She informs that that plan is to be approved before end 2014.

Re. principle 17, LV demands a stabilization plan addressed towards granting permanent jobs to those investigators with a long track record in the institute. AH commits to propose our Director such a stabilization plan for R3 and R4 researchers in the next Collective Bargaining Agreement, to be included within the HRS4R action plan.

Re. principle 20, AH proposes the coordinator of each research area to act as mentor of those investigators belonging to his/her area. Some discussion arises concerning the appointment and functions of a figure not yet existing in the organization chart. The team eventually agrees on the convenience of the mentorship role of the research area coordinator, provided that the institute is actually committed to create it. AH will confirm this action with our Director.

With respect to principle 29, the proposal of creating an ombudsman-type is welcomed. Such figure should arbitrate in co-authorship disputes, as it arises in principle 25.

The meeting ends after discussing principle 30: the research staff claims for a greater participation in decision-making bodies of the institute, namely its Steering Committee. AH will propose our Director the possibility to appoint within such committee a representative of the research staff, elected by researchers.

3. Next steps

- a) A new meeting of the project team, to be appointed soon.

Date: December 17, 2014, 10.00h
Venue: CEIR Meeting room, IRSP
Subject: 3rd MEETING PROJECT TEAM HRS4R @IRSP
Present: Management and administration staff:
Alfons Hervàs, acting as Project Leader
Pere Lloreda
Fabiola Fernández
Rafael Fernández
Research staff:
Luis Vila
Mercedes Camacho
Jordi Clarimon
Jesús Martín Campos
Luis Carlos Navas

1. Objectives

To finish the gap analysis. Discussion of the following principles from the C&C: 31 to 36 and 38 and 40.

2. Discussion

AH explains that a meeting with IRSP's Director was held on November 17 to request endorsement of the proposals made by the team concerning principles 17, 18, 20 and 30. The only proposal upheld is granting one representative within the Internal Scientific Committee, through election by the researchers. The research staff expresses its disagreement and, therefore, AH summons the team to reopen the matter during the next meeting, wherein Dr. Kulisevsky will be invited.

Regarding principles 31 to 35, the team agrees that a regulation for recruiting and selecting new researchers would make sense for intramural calls devoted to appoint R3 and R4 researchers.

No further actions are required for the remaining principles: regarding principle 36, the article 31.2 of the Collective Bargaining Agreement includes permission leaves for training in other research centers; so such agreement sets maximum durations for postdoctoral appointments (5 years for R2A junior postdoctoral and 15 years for R2B senior postdoctoral), as per principle 40; contents related with principle 39, seniority, have been taken into account within the systems for evaluation / appraisal.

3. Next steps

AH explains that the next meeting will purportedly be the closing meeting, in which an agreement will be sought for the action plan. Before that date he will share with the team the draft strategy to be sent to the European Commission, including the actions proposed within the team during these meetings. He reminds that for each action the action plan will include responsible, schedule and follow-up indicators.

Date: January 30, 2015, 12.30h
Venue: CEIR Meeting room, IRSP
Subject: 4th MEETING PROJECT TEAM HRS4R @IRSP
Present: Management and administration staff:
Jaime Kulisevsky
Alfons Hervàs, acting as Project Leader
Pere Lloreda
Jordi Virgili
Fabiola Fernández
Rafael Fernández
Ramira Soto
Research staff:
Luis Vila
Mercedes Camacho
Jordi Clarimon
Jesús Martín Campos
Luis Carlos Navas

1. Objectives

To discuss the draft containing the strategy to be submitted to the European Commission, with a special attention to the proposal of action plan arising from the gap analysis performed over the last weeks.

2. Discussion

The team reviews the document, sent to all members by AH some weeks ago. No comments arise concerning the introduction and the internal analysis and, therefore, each action contained in the action plan is open for discussion:

- Re. action 6 “GLP pilot in a selected research groups before expanding to the whole institute”, JV requests to foresee GLP implementation avoiding certification, as a preliminary step towards such eventual certification for the whole institute in a future project.
- Re. action 10 “Procedure to ensure the effective supervision and feedback of researchers in their training phase by their coordinators” JK proposes the creation of a specific committee devoted to such supervision, including the participation of the ombudsman for the researcher, a new figure within the IRSP arising from the implementation of action 18. JC is appointed responsible for action 10.
- Re. action 15 “Annual survey of researchers’ satisfaction with support structures” it is discussed whether all structures shall be evaluated or just the scientific and technical service platforms. JK is appointed responsible for this action and, as Director of the IRSP, will decide the final scope of the survey.

- Once again the research staff claims for a greater participation in decision-making bodies of the institute, despite the proposal contained in action 19. JK requests this action to stand as it is in the strategy but offers to the researchers' representatives in the project team the possibility of discussing other options in future *ad hoc* meetings.

No comments are brought with regard to other actions. Apart from these minor points, the team approves the action plan.

3. Next steps

- AH will distribute among the team a new version of the strategy including the suggested amendments.
- Approval of the strategy by the IRSP's Director and subsequent submission to the European Commission.