TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: **Biomedical Research Institute Sant Pau (Sant Pau-RI)**

Organisation's contact details:
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Web-link to published version of organisation's HR Strategy and Action Plan:
http://www.recercasantpau.cat/en/research/information-to-researchers/

Web-link to organisational recruitment policy (OTM-R principles):[45]
http://www.recercasantpau.cat/en/research/information-to-researchers/

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 5TH JANUARY 2021

1. ORGANISATIONAL INFORMATION

*Please provide an update of the key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	***FTE***
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*936,77*
Of whom are international (i.e. foreign nationality)	*52,42*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*637,88*
Of whom are women	*593,52*
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*341,00*
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*191,48*
Of whom are stage R1 = in most organisations corresponding with doctoral level	*51,00*
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	*995,63*
RESEARCH FUNDING (figures for most recent fiscal year) 2019	***€***
Total annual organisational budget	*22.002.436*
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	*2.146.000*
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	*8.020.408*
Annual funding from private, non-government sources, designated for research	*11.836.028*

[1] *http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf*

ORGANISATIONAL PROFILE *(a very brief description of your organisation, max. 100 words)*
The Research Institute of Sant Pau Hospital (HSCSP-IR) was created on June, 4th 1992 as a private scientific foundation. On December 10th 2003, the Autonomous Government of Catalonia approved the affiliation of the HSCSP-IR as a University Research Institute at the Autonomous University of Barcelona (UAB). Since 2011 it has been part of the Catalan System of Research Centres (CERCA). On 17 May 2009, the HSCSP-IR and nine other organizations created the **Sant Pau Biomedical Research Institute (Sant Pau-RI)**, with the aim of strengthening collaborative translational research and bridging the gap between basic research and clinical practice so as to ultimately improve patient care. The main role of the HSCSP-IR is to serve the needs of the scientific community of Sant Pau-RI, and in particular that of the Sant Pau's Hospital, ensuring equity in the provision of support services (physical space, human resources and material resources) and promoting dissemination of research to clinical practice, and especially to manage the Sant Pau-RI professionals' research. The Sant Pau-RI has more than 1000 basic and clinical researchers, some of them are influential first-level researchers in the areas of oncology, cardiology, neurosciences and epidemiology and public health, among others. They are distributed in 70 research groups and currently execute more than 400 research projects. Its mission is to promote basic, clinical, epidemiological and healthcare research in the health science and biomedical fields, with the ultimate aim of improving the health of the population. The research results have generated dozens of patents and 6 innovative biotech spin-offs. It has 16,000 m2 of facilities attached to the Hospital de Sant Pau, including a highly technological building designed with environmental sustainability criteria. It publishes annually around 1,000 scientific articles in international journals and conducts about 600 clinical trials with drugs. New building has allowed the integration of all researchers in a single space, facilitating social and scientific interaction.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE (NARRATIVE)

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Ethical and professional aspects

Strengths: Sant Pau-RI is provided by an Ethical Clinical Research Committee and an Animal Experimentation Committee which both guarantee the fulfilment of the ethical and scientific good practices principles set out in the national and international regulations and guidelines. It raises awareness of its activity in society through its website and the publication of an annual scientific report. Furthermore, all aspects related with transparency law are exposed on the website. It offers trainings in good practices in research, occupational risk prevention, health protection and safety. It is adhered to the Code of Conduct for CERCA and has access to the "ombudsperson" for CERCA centres. (https://cerca.cat/en/policies/ombudsperson/) **Weakness:** Lack of knowledge of the ethical and good professional practices principles outlined by the C&C and adopted by all the researchers and staff of Sant Pau-RI. An improvement of the communication of contractual and legal obligations to the staff is necessary. Additionally, it is important to improve the interaction with society, leading to greater knowledge of the Sant

Pau-RI strategy.

Lack of performance assessment systems linked to professional career elements.

Recruitment and selection

Strengths:

Sant Pau-RI works with a standardized selection and contracting procedure that is integrated into its own quality management system. This system foresees the publication of open job offers, which are subsequently evaluated by the person in charge and which ensures the response to all candidates.

It is supported by an experienced external HR Department, which has the necessary resources for its operation, including a specific space on the web for the dissemination of job calls.

We provide attractive working conditions for researchers: excellent facilities, good scientific-technical services and a collective labour agreement favourable to researchers (R1-R4).

Gender equality is taken into account in the selection process. The institute has defined a Gender Equality Plan.

Weakness:

However, we still lack an area for improvement in the current staff selection procedure, with a vocation to achieve the total fulfilment of the recommendations to implement an OTM-R policy. In particular, after analysing in detail each OTM-R policy requirement in accordance with the template contained in the guidelines for the development of the HRS4R strategy, the following gaps were identified:

- Lack of a multilingual and public OTM-R policy and templates.
- Lack of a training strategy in this area.
- Need to incorporate the procedures linked to the selection and hiring of staff in the Quality Management System, in order to verify their results and incorporate the necessary improvements.
- Possibility of improvement in the dissemination of the announcements, particularly at the international media.
- Improve attraction mechanisms for talent
- Lack of regulation by selection committees, particularly in research positions.
- Lack of mechanisms for giving adequate feedback to the candidates who reach the final stages in the selection processes. At least those who reach the interview stage.

Working conditions

Strengths:

Sant Pau-RI has a specific collective labour agreement that includes a scientific career perspective (R1→R4) and invests economic resources to stabilize researchers and co-finance contracts.

It respects the Spanish labour regulations and has its own building dedicated to R&D&I in health, with platforms and support services that facilitate the work of the researcher/innovator, some of them integrated in national networks. Additionally, it maintains flexible working conditions, giving freedom to the groups for their application.

Sant Pau-RI strengthens translational and collaborative research, acting as a link between businesses, other public research institutions and training centres, and healthcare centres providing enormous opportunities to grow professionally.

Weakness:

It needs to improve the attractiveness with regard to remuneration of researchers and their professional stability.

There is a lack of effectiveness of the mechanisms for the mediation of conflicts and the receipt of complaints and suggestions in relation to the HR function.

Need to improve the communication and participation of the research community in the decision-making process.

Area for improvement in the gender balance in positions of responsibility.

It is important to improve the general use equipment and spaces, generating a better research environment.

Training and development

Strengths:

San Pau-RI promotes training and constant development through its Training Plan.

It is provided by an annual budget dedicated to training.

It has a process for the detection of training needs.

The institute has a Training Committee to monitor the training plan.

Weakness:

Lack of a specific support plan for emerging groups.

Have any of the priorities for the short- and medium term changed?

During the last years, Sant Pau-RI has implemented the mentioned actions in the initial strategic plan of HR and has focused in the following acting lines:

- Definition of the OTM-R policy and the procedures for personnel selection.
- Elaboration of an equality plan and creation of the equality committee.
- Follow-up of the action plan 2016-2020 through a committee which has been created for that. It is formed by the HR, quality and projects office personnel and by researchers and management area representatives.

Significant changes had happened in the last two years in the institute which will affect the defined strategy and will obligate to rethink the planning for the upcoming 3 years.

Those changes consisted in:

- 1st January 2018 finalized the integration process of the Cardiovascular Science Institute at Sant Pau-RI. That meant an increase in the research groups and researchers.
- At the end of 2018, Sant Pau-RI inaugurated the new research building with new facilities. During 2019 all research groups moved to the new laboratories and they were fully established at the second half of the year.
- In October 2019, a new scientific director incorporated after the resignation of the former director.
- In July 2020, the new managing executive incorporated and performed significant changes in the management organization chart with the goal of structure optimization for supporting the research and initiation a project of processes and technology renewal which will allow performing a substantive change in the research and HR management.

Furthermore, in the last 3 years the institute has developed new strategic lines in order to monitor all the activities which will be performed in the upcoming years. On one hand, in 2018 all the government organs of the institute participated in the strategy thinking which concluded with the elaboration of the strategic plan 2019-2023. On the other hand, and due to the negative financial balance of the institute at the end of 2019 (which showed a deficit of 2,2 M €) a sustainability plan has been developed in 2020, which has become the roadmap for the next 4 years.

To all this events, we must add the side effects derived from the exceptional situation due to COVID-19 pandemic during the 2020. The priorities had changed substantially which means to perform a new HR plan for the upcoming 3 years.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?

Due all the changes explained in the previous paragraph, these significant and direct changes will affect the HR strategy of the institution in the upcoming 3 years. These changes include, among others, strengthening the human resources unit and creating a communication department that will help improve internal collaboration between the institution's staff.

One of the most direct changes and derived from the pandemic is the need of modification and flexibilization the labour conditions. The implementation of the "teleworking or home-office" as a social response for the familiar conciliation and the need of avoiding use of public transport obligate us to prioritize this actuation, which will be analysed with detail during first semester 2021. Also, an extra effort has also been made to stabilize positions that were temporary in permanent contracts, both management and research personnel.

A second consequence is the access of professionals to training. Up to this moment, the 95% of training which has been offered was presently. That provoked that in 2020 many courses have been cancelled. However, for the next year and thinking in the future, we are inverting this tendency by fomenting the digital training, fact which will offer an extensive spectrum of opportunities.

The institution is immersed in a highly disruptive change process which will obligate to optimize the management structure and to implement new IT tools which will improve the management processes. This will impact positively in the personnel, facilitating the mechanical tasks and allowing to dedicate more time to higher added value management activities. Definitively this will improve the labour environment.

In this new structure we are going to create a specific unit responsible Research and Innovation (RRI) which the goal of developing a specific plan which will include the following acting lines:

1. **Ethics:**

Review the Good Scientific Practices code and adapt it to the CERCA code which we have been added. We must name a person to perform the functions of *Onbusperson* internally in institute, in order to foment the performance of good practices and assure a correct follow-up of the conflicts.

2. **Gender equality:**

The gender dimension must be present transversally in all the research and recruitment processes, therefore a transversal Project in all the research areas is going to be organized in order to identify the initiatives which could be shared among the groups. The following activities are proposed:

- Organization of meeting to share the projects.
- Training to foment the equality culture in research.
- Gender mentorship sessions.
- Define policies to promote the inclusion of female researchers in projects and grants plans.

3. **Governance:**

Assure that the RRI is incorporated in the Strategic Plan of the institution and monitor all the actions derived from the RRI plan, assuring also:

- The transparency of the activities defined in the plan.
- The equal participation in the governance organs.

4. **Open access:**

The research and innovation must be accessible and transparent, therefore we must:

- Create a policy of open access for the publications and data.
- Design indicators in order to monitor the actions performed.

5. **Citizen participation:**

Is it important to implicate the society in order to give it a relevant role in all the phases of research and innovation projects. For that, we plan to identify the initiatives from the institute where patients are involved and foment this kind of activities.

6. **Scientific education**

In addition of the existing and consolidated training plan in the institute, we must foment the education of no key-agent in the research process. We must develop a particular educational plan.

Are any strategic decisions under way that may influence the action plan?

As mentioned in previous paragraphs, the institute is immersed in a disruptive change process which will affect all the planned actions up to this moment.

It should be noted that the plan in centred in increment the resources catchment through scientific excellence, innovation and internationalization and in the optimization of expenses in order to make strategic investments. For that, some changes which affect the scientific management at organizational level such incorporate highly qualified profiles to perform strategic tasks are posed. Additionally, we plan a technological renew of IT systems which are currently obsolete.

3. ACTIONS

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered, omitted or added, please provide a commentary for each action.

See ANNEX I: Action plan

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

http://www.recercasantpau.cat/en/research/information-to-researchers/

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

N/A

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist[45].

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website. Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

Sant Pau-RI currently applies an open, merit-based staff-selection procedure. The said procedure is based on the online publication of all employment offers, with the minimum administrative burden for candidates. The procedure contains all the stages and minimum content of the offers, which are currently published with a minimum application period of 15 days. If the type of job so advises, the offer can be published on other web pages. The head or main investigator of the future employee established, based on the procedure established, the essential and desirable criteria that the researchers applying for the post must meet, taking charge of the subsequent assessment of the candidates. In case of complaints or consultations received by email in the HR Department, these are answered by email.

In order to improve the selection procedure, adapting it to the C&C and the OTM-R Toolkit (see identified weaknesses), the following actions have been envisaged:

Action22: 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.

Action23: 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.

Action 24: Training for the members of the staff selection committees

Action 25: Implemented a quality control system to audit

Action 26: Create rules concerning the evaluation committee.

N.B. Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the renewal phase at the latest.

4. IMPLEMENTATION (MAX. 1 PAGE)

General overview of the implementation process: (max. 1000 words).

In June 2014, the IR-HSCSP endorsed the C&C. During the second half of this year, 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 research career levels 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), replaced by Miriam Ors in July,2017
- 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), retired in 2016
- Mercedes Camacho (equivalent to R2)
- Jordi Clarimon (equivalent to R2, head of an emerging group)
- Jesús Martín Campos (equivalent to R2)
- Luis Carlos Navas (equivalent to R1)

Any R4-equivalent researcher has participated in this project due to the fact that IR-HSCSP has not those senior profiles currently.

The HRS4R analysis at IR-HSCSP 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. IR-HSCSP's Strategic Plan for 2014-2017.

The overall timeline for the whole project has been as far as detailed following:

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 focused to the internal analysis.

Jan’15: Project team agreement on the action plan.

Feb’15: Approval of the action plan by the IR-HSCSP Director. First submission to the European Commission and publication of the HR Strategy Document / Action Plan.

Apr’15: Endorsement of the strategy by the Permanent Commission of the IR-HSCSP’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 started with the implementation and subsequent evaluation of the actions contemplated in this document, following the standard procedure designed in the HRS4R.

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

Actually, due to all the events detailed in the previous paragraph and the delay in the new building construction, the implementation process was extended until 2019.

The monitoring of the action plan and all its deviations was reflected in the action plan table attached to this document. In order to follow-up the plan, a project team was created and twice meetings per year were performed.

Additionally, a strategic reflection of the institute occurred during 2018 which finalized with the elaboration of the Strategic Plan 2019-2023. In this plan, the HR strategy appear transversally in the different strategic axes:

- Strategic Axe 1: Scientific Excellence
- Strategic Axe 2: Impact transfer and Innovation
- Strategic Axe 3: Internationalization and strategic alliances
- Strategic Axe 4: Scientific support services
- Strategic Axe 5: Funding catchment and sustainability

It is important to highlight the strategic goals defined such;

- Elaboration of a RRI plan
- Improve HR policies in order to retain talent.
- Implement a continuous training strategy adapted to the professionals’ necessities
- Move forward in the Social responsibility culture based in our values
- Keep the HRS4R certification
- Improve the internal communication and transparency
- Develop active catchment policies
- Definition and implementation of the Open, transparent and merit-based recruitment Process (OTM-R)

The deployment of all activities derived from the strategic plan were started in 2019 since the direction of the institute changed but thereafter, due to the situation derived from the COVID-19 pandemic, this plan has been drastically affected.

That is why it is planned to define a HR action plan during the first trimester 2021 which will contain the following points:

1. The principles contained in the C&C. Gap Analysis performance
2. Check-list OTM-R
3. IRSP’s Strategic Plan 2019-2023.
4. Institute’s sustainability plan 2021-2024
5. Auditors' recommendations after the internal audit assessment

Make sure you also cover all the aspects highlighted in the checklist below:

- How have you prepared the internal review?

In order to prepare the internal audit assessment we have worked together with staff members which have not been involved in the implementation process such the new HR responsible and the new Quality department responsible.

- How have you involved the research community, your main stakeholders, in the implementation process?

As mentioned before, we have created a work group formed by research and management and administration staff.

- Do you have an implementation committee and/or steering group regularly overseeing progress?

Yes, there is a work group created for that. This group meets regularly since 2018 for the follow-up of the implementation phase.

- Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?

Yes, the HRS4R strategy takes into account the strategic plan 2014-2017 as the well as the current strategic plan 2018-2023.

- How is your organisation ensuring that the proposed actions are also being implemented?

Our organization is following-up the implementation through the defined scorecard which includes different activities derived from the Strategic Plan.

- How are you monitoring progress?

The progress of the implementation of the activities is performed in the follow-up meetings with the working group.

- How do you expect to prepare for the external review?

The external audit assessment will be prepared with the actual work group and incorporating new profiles which will participate in the team. Many personnel changes have occurred in the last year and, therefore, the following steps are proposed: 1. To define a new working team 2. To present the internal audit assessment which have been prepared 3. To implemenet the auditors' reccommentations 4. To adapt to the audit assessment plan presented by the external auditors

ANNEX I

ACTION PLAN

Follow-up 20th 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. 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 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~~ ~~Q4~~ ~~2017~~ ~~Q4-2019~~ **Q4-2020**	**4**	Number of elected members	2 Members per area.	New composition in Set '15: each research area has elected their representatives. More IR researchers in the new scientific committee. Yet, the HRS4R team keeps proposing that 1 member to be elected by research staff. In 2019 has been a change of Director and he wants to do a renewal of CCI during 2020.
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.

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
5	Implementation of a central repository of publications, available to all researchers	Deputy Director	Q4-2015	**5**	# visits # 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 Number of training recipients Attendants per action 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~~ Q1-2017	**5**	Number of pathways 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. Proposal from the meeting on Nov 4th'16of the HRS4R team: a ~~mandatory~~ training program for early researchers encompassing presentations in English, article writing, statistics (It has been included in Annual plan, first 2017)
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~~ 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.

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
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~~ 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. → Now working in web to link the contents. →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	~~Head Human Resources~~ 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: - HR informs new researchers the document is available at our intranet. - IR Sant Pau's Deputy Director is in charge of updating the handbook in both versions (CAT and ENG). In 06/09/2016 the new employee handbook is available at the intranet. http://www.recercasantpau.cat/en/research/information-to-researchers/

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
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 representa-tives	~~Q4-2017~~ ~~Q4-2019~~ **Q1-2020**	**3**	Number of researchers supervised / year Number of related complaints / year to the ombudsman	Researchers R1, R2a & R2b 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. - Add the contact person in the welcome manual - Pending of define the ombudsman - J. Clarimon will send a questionnaire proposal for next meeting. **Q2-2019.** 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: English translation of materials Inclusion in the intranet and the new corporate website *(see above)*	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. Document translation from Mar '16 to Sep '16. Documents, including their English version, uploaded to the intranet (Sep '16).

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
13	Annual survey of researchers' satisfaction with support structures	Director	Q4-2016 **Q4-2018**	**5**	~~2016 satisfaction scores~~ Corrective actions implemented:	2 (2016) 1 (2018)	Core facilities' user satisfaction survey in May '16. Report with actions implemented issued in Oct' 16. Implementations of procedure to measure the user satisfaction of core facilities according ISO 9001.
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~~ **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. Postponed until 100%research working in new labs.
18	New research facilities	Head UQSI	~~Q4-2018~~ **Q2-2019**	**5**	% research groups working in new labs	%100 in new labs	Works for the construction of the new building are underway. At the end of 2019, 100% research groups in new labs. We were still adjusting some spaces

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
19	Creation of ombudsman for the researcher	Director	Q4-2017 **Q4-2019**	**2**	Number of complaints / appeals / year	Contact of ombusdsman 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. 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→ **Define a ombudsperson for CERCA centres** https://cerca.cat/en/policies/ombudsperson/

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 ~~**Q4-2019**~~ **See the OTM-R new plan**	**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 feddback.

Action	Who	When	Attainment (0 to 5)	Indicators		Comments
Actions derived from OTM-R Checklist:						
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~~ Q1-2021	**1**	Training contents Number of members who complete the training	Y/N 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