# TEMPLATE 4: ACTION PLAN

Case number: **2018ES35685**
Name organisation under review: Germans Trias i Pujol Research Institute (IGTP)

Organisation's contact details:

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| Proposed ACTIONS | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
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| **Disseminate C&C and OTM-R principles to all the staff** | *All* | *Second quarter 2019 to second quarter 2024* | *CEO HR manager* | • *Perform yearly seminaries about C&C and OTM-R principles.*<br>• *Number of researchers trained reached 100% in the fifth year* |
| **Writing and dissemination of good research practices' guide.** For this purpose, the IGTP plans to Include information about several issues such as co-authorship or IT security etc | *32. Co-authorship*<br>*7. Good practice in research* | *Second quarter 2020* | *IWG Scientific Director* | • *Meeting for the enumeration of issues that should be included*<br>• *Define who is responsible for drafting document*<br>• *Publish the manual*<br>• *Number of downloads of the manual* |
| **Writing of a welcome manual**. An welcome manual written in English will include extensive information about issues such as intellectual property | *29. Value of mobility*<br>*5. Contractual and legal obligations*<br>*31. Intellectual property rights*<br>*24. Working conditions*<br>*34. Complains/ appeals* | *Second quarter 2020* | *TS ,WT* | • *Meeting for the listing of issues that should be included*<br>• *Define who is responsible for drafting document*<br>• *Publish the manual*<br>• *Number of downloads of the manual* |

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| rules and labour conditions, mobility contractual and legal obligations, complaints mechanisms and the ombudsman. | | | | |
| **Foster security protection.**<br><br>Especially in data protection, health and safety training and psychosocial evaluation.<br><br>A data protection delegate has been named and will audit the current safety procedures. New security processes will be created, and disseminated to the staff through specific training<br><br>In addition, safety and risk management, training will be provided according to the job positions<br><br>Finally, a psychosocial risk assessment will be performed of all the staff | 7. Good practice in research | *Third quarter 2020* | *Safety and Health Committee, and delegate data protection, Director and TS* | • *Data protection delegate takes up office*<br>• *Data protection audit performed*<br>• *Data security procedures designed, disseminated and put into practice*<br>• *Health risks of job positions evaluated*<br>• *Training designed*<br>• *Training performed*<br>• *Psychosocial evaluation survey performed*<br>• *Number of researchers trained reached 100% in the fifth year* |
| **Creation of a research personal evaluation system** | 11. Evaluation/ appraisal systems | *First quarter 2022* | *Director and TS HR staff* | • *Brainstorming meeting for defining evaluation criteria and procedures*<br>• *Writing an evaluation protocol* |

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| Creation of evaluation processes, criteria, protocols, to perform an internal evaluation to the staff.<br><br>In addition the IGTP will provide certification for the evaluation of non-permanent staff based on best practices and research activities after the completion of a work contract. | | | | • *Set up an evaluation committee.*<br>• *Perform the evaluation*<br>• *Number of researchers evaluated* |
| **Creation of an OTMR selection system.**<br><br>Design and implementation of the IGTP selection and recruitment procedure based on the criteria established in the OTMR (open, transparent and merit-based recruitment of researchers). Including issues such as the creation of selection committees, transparency rules, and the evaluation of merits such as mobility, changes in the chronological order of CVs, qualifications, etc.<br><br>In addition, all the research positions will be published in EURAXESS | *12. Recruitment*<br>*13. Recruitment (code)*<br>*14. Selection (code)*<br>*15. Transparency (code)*<br>*16. Judging merit (code)*<br>*17. Variations in the chronological order of cvs (code)*<br>*18. Recognition of mobility experience (code)*<br>*19. Recognition of qualifications (code)*<br>*20. Seniority (code)*<br>*21. Postdoctoral appointments (code)* | *First quarter 2020* | *Director, IWG and TS HR manager* | • *Brainstorming meeting for defining how to address OTM-R criteria and procedures at the institution*<br>• *Writing o recruitment and selection protocol.*<br>• *Publish the recruitment process in the web providing inks to the relevant norms.*<br>• *Supervise its application*<br>• *Include all the research open positions at Euraxess.*<br>• *Number of research positions publishes in Euraxess*<br>• *Number of researchers recruited using this procedure* |
| **Update of staff details on the web/intranet.** | *22. Recognition of the* | *Fourth quarter of 2019* | *Communication Unit and WT HR manager* | • *Establish the equivalence between the positions with the European scale* |

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| To achieve this action, first, a clear equivalence between the current research levels of the institute, and the European R1 to R4 scale will be established. The Research rank attributed to the researchers will be published on the institute website. | profession | | | • *Include the researchers' ranks on the Institutions website* |
| **Analysis and validation of the current infrastructures and services**. <br><br> Performing annual surveys to improve the performance of facilities and services | 23. Research environment | *First quarter 2021* | IWG HR manager | • *Design a survey to assess the satisfaction of the researchers with the services and infrastructures* <br> • *Perform yearly consultations* <br> • *Number of researchers answering the survey 50%.* |
| **Improve and disseminate work rules.** <br><br> To achieve this action, first the IGTP will establish a rule setting the minimum wage rates for the working categories of staff to be employed by the institution. In addition, all the labour conditions will be written and approved, and communicated to all the staff. Any exception to these conditions will be justified and authorized by the management | *24. Working conditions* <br> *26. Funding and salaries* | *First quarter 2020* | Company Workers Committe, Director and TS <br> *HR manager* | • *Write a memorandum of the working rules. and include it in the welcome manual.* <br> • *Publicise the information to researchers* <br> • *Number of downloads of the document* |

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| **Update and implement the equal opportunities plan.**<br><br>By updating the equal opportunities plan, verifying which issues have not been sufficiently implemented. | 27. Gender balance | *Third quarter 2021* | WT, TS and HR manager | • *Set up a committee for equality issues*<br>• *Analyse the current equality situation*<br>• *Select those issues that were not covered in the present equality plan*<br>• *Write the procedures for solving the gaps*<br>• *Publish the new equal opportunity plan presentation meetings and assistance* |
| **Elaborate and disseminate an integrated training plan for researchers**<br><br>Elaboration of a transversal training plan and a communication plan for training activities. In addition, surveys on the activity performed will be developed | *38. Continuing professional development*<br>*39. Access to research training and continuous development*<br>*28. Career development* | *First Quarter 2020* | TS, Council workers HR manager and Scientific management | • *Design a committee to study training needs, with the participation researchers of all ranks*<br>• *Analyse the current situation, and the current training needs*<br>• *Write a training action plan*<br>• *Implement the action plan*<br>• *Number of researchers trained* |
| **Promote mobility targeted actions**. As no IGTP budget for mobility is foreseen, some mobility targeted measures could be performed, such as the promotion of the use of English as the principle means of communication within the institute, or publicising all Catalan, Spanish or European mobility grants. | *29. Value of mobility* | *Fourth quarter 2023* | *Communication unit and IWT* | • *Promote the use of English as the principle means of communication*<br>• *Open a special section of the website for the publication of mobility grants*<br>• *Number of researchers applying for mobility grants* |
| **Organize an annual** | *30. Access to career advice* | *Third quarter 2019* | *Director , TS and Ph Canruti Group* | • *Coordinate brainstorming meetings with the* |

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| **career day**<br><br>Yearly organization of a Can Ruti Career Day with the participation of professionals from different sectors, to provide information on the different job opportunities. During the organization, the organizers will be advised by the Cam Ruti PhD Students committee | | | | *Can Ruti's predoc association, to set ideas for the career day.*<br>• *Write an action plan, including the contact with stakeholders.*<br>• *Implement the action plan*<br>• *Number of assistants to the career day*<br>• *Number of researchers participating at the organization of the event is larger than 4* |
| **Dissemination of complaints mechanisms and existence of an ombudsman**<br><br>Publicise the figure of the ombudsman to employees by including information in the welcome manual, and holding open sessions | *36. Relation with supervisors*<br>*34. Complains/ appeals* | *First quarter 2020* | *Director, , Cmmunication unit, TS and ombudsman* | • *Hold an open session to inform about the complaints mechanisms and ombudsman*<br>• *Include information about the ombudsman in the welcome manual*<br>• *Number of complaints mediated.* |
| **PI training.** Provide specific training on OTM-R and team management for supervisors. In addition, devise a document of commitment to good interpersonal relations, to be signed by the supervisor and the junior researchers. This will state the rights and duties for each part during the relationship. | *12. Recruitment*<br>*13. Recruitment (code)*<br>*14. Selection (code)*<br>*15. Transparency (code)*<br>*16. Judging merit (code)*<br>*17. Variations in the chronological order of cvs (code)*<br>*18. Recognition of mobility experience (code)*<br>*19. Recognition of* | *Fourth quarter 2020* | *Director and TS* | • *Design an OTM-R training course*<br>• *Train senior researchers*<br>• *Identify team management courses*<br>• *Identify managers*<br>• *Carry out courses*<br>• *100 of PI trained* |

| | qualifications (code)<br>20. Seniority (code)<br>21. Postdoctoral appointments (code)<br>40. Supervision 37. Supervision and managerial duties<br>36. Relation with supervisors | | | |
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| **Training in team management for PIs and heads of Units or designated staff.** Provide specific training in team management for supervisors. In addition, a commitment to good interpersonal relations document, to be signed by the supervisor and the junior researchers will be written to state the rights and duties for each part during the relationship. | 40. Supervision 37. Supervision and managerial duties<br>36. Relation with supervisors | *First quarter 2023* | Director and TS | • *Identify team management courses*<br>• *Identify managers*<br>• *Hold courses*<br>• *75% of the Pi management trained* |
| **Foster teaching activities for researchers**. For this action, an agreement will be signed with the UB and the UAB, trustees of the institution to reinforce the teaching activities of IGTP researchers to increase their involvement in teaching activities associated to other | 33. Teaching | *Third quarter 2023* | *Director and TS* | • *Inform the Board of Trustees about this initiative Set up the proper contact meetings with the Universities and Departments*<br>• *Number of new courses incorporated*<br>• *number of researchers trained* |

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| teaching centres | | | | |
| **Publicise information on IGTP structures for transfer**<br><br>Publicize the tasks of the innovation office and the strategic plan. Once these have been approved, special professional sessions will be held. | *8. Dissemination, exploitation of results*<br>*4. Professional attitude* | *Fourth quarter 2019* | *TS* | • *Design and perform an open session for he Innovation Unit of the institute*<br>• *Explain the strategic plan to the researchers in specially designed sessions*<br>• *Number of researchers trained* |

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

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(free text, 1000 words maximum)

To address the OTM-R principles the IGTP will focus on updating the recruiting procedure to include the principles central to the charter and code and in line with the "Research Career Plan" and "Evaluations Procedures". These new approaches will put the OTM-R policy at the centre of human resource management. This will be done by:

- providing clear and transparent information on the whole selection process

- posting a clear and concise job advertisement with international links in English to detailed information

- ensuring that the levels of qualifications and competencies required are in line with the needs of the position

- considering the inclusion of explicit pro-active elements for under-represented groups

- keeping the administrative burden for the candidate to a minimum

- reviewing the institutional policy on languages where appropriate

The second group of actions to be implemented will be those related to training and dissemination of the OTM-R principles to the staff implicated in the recruiting process, including researchers and administrative staff. In the case that further training is demanded, seminars will be addressed to PIs

and other members of the selection committees. The need to promote specific training in recruiting, especially for interviews, will be evaluated. The "IGTP Code of Conduct for the Recruiting of Researchers" will set clear and explicit rules and procedures for the recruitment of staff to all researcher positions. We will also take into consideration the European Framework for Research Careers to identify the career profiles for researchers (R1, R2, R3 and R4).

A special OTM-R seminar will be organised for all the Human Resources staff, the directors of the research institutes, and all the IGTP staff interested in this process.

The quality control system for the IGTP OTM-R policy will carry out internal checks on the whole recruitment process; this will be administered by the HR department or designated staff, and will also have a periodical, external review by an independent observer (a national expert in HRS4R). To monitor and assess the extent to which the OTM-R system is being implemented, the IGTP will also adopt standards and reporting templates for internal reporting of all phases of the recruitment process.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

The IGTP does not have a recruitment strategy to implement the principles of Open, Transparent and Merit-Based Recruitment, therefore no web link is available.

## 4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

The design of this plan has enabled the development of a model of governance, coordination mechanisms and monitoring tools that will accelerate the adoption of new policies and practices in human resource management in research that will align the IGTP with  European references.

For the above reasons, and regardless of the duration of the evaluation process to obtain the seal, the implementation of the plan will begin in the Q1 2019.

The implementation process will be performed through four different levels of responsibility.

A.1) Steering Committee (SC), chaired by the Director of the IGTP, will be the highest authority and will oversee the implementation process on a regular basis: It will be composed of the members of the Steering Committee that monitored the Gap Analysis and Action Plan for this proposal. It will coordinate the implementation and the follow-up of the HRS4R-derived measures. It will also communicate the advances to the Board of Trustees.

A.2) An Implementation Working Group (IWG), will be composed of the members of the Working Group and will invite other research and administrative staff to create specific working teams. It will coordinate the deployment of the HRS4R Action Plan and will also control quality and follow up on indicators. An IGW director will be appointed.

A.3) Working Teams (WT), will be organised for the main topics: "Researcher Career Plan", "Recruitment Procedures", "Training", "Policies", etc. Each team will be made up of 3-5 people (from the working group) comprising of: i) the person in charge of the group, ii) representatives of the different specific areas and services responsible for human resources, iii) R1 to R4 researchers, etc. These different backgrounds will stimulate a productive debate with multiple perspectives of the same problem, to work on each of the deliverables and their corresponding road maps.

A.4) The technical secretariat, will be integrated by the HR department (TS), reporting to the Steering Committee will give support to the WT for the preparation of deliverables and to the SC to follow up on indicators. It will also be responsible for a dynamic workflow articulated during the course of the plan: a cloud tool of information access, regular meetings, *ad hoc* subcommittees with key people for specific matters depending on the evolution of the process, quality control and international benchmark.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

| Checklist | *Detailed description and duly justification |
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| How will the implementation committee and/or steering group regularly oversee progress? | free text 500 words maximum<br><br>The Steering Committee will coordinate the implementation and the follow-up of the HRS4R-derived measures and will also communicate the advances to the Board of Trustees.<br><br>To regularly oversee the progress the IWG Director will be invited to participate quarterly in the IGTP Executive Committee (all members of the SC) to inform about the implementations details. |
| How do you intend to involve the research community, your main stakeholders, in the implementation process? | free text 500 words maximum<br><br>The research community (R1-R4) will be part of the SC, IWG and WT. They will be involved in the implementation stages. |
| How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's | free text 500 words maximum<br><br>The strategic framework for the implementation of the HR Action Plan will be added to the IGTP's |

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| research strategy, as the overarching HR policy. | Strategic Plan.<br><br>Additionally, there is a strong commitment to quality seals accreditations such as HRA, CERCA Centres (http://cerca.cat/en/cerca-centres/), Instituto de Investigación Carlos III (http://www.eng.isciii.es/ISCIII/es/contenidos/fd-investigacion/fd-institutos-investigacion-sanitaria/introduccion.shtml ), etc.<br><br>The Institution recognises that one of the key success factors is the recruitment of talent, and the Institution has not had a system for managing human resources that would allow it to face future challenges. |
| How will you ensure that the proposed actions are implemented? | free text 500 words maximum<br><br>The previously detailed indicators will be included in the IGTP's scorecard and will be verified every two months to provide evidence of alignment with the HRS4R with organisational policies.<br><br>Quarterly meetings will be held between the IWG Director and the Executive Committee. |
| How will you monitor progress (timeline)? | free text 500 words maximum<br><br>Monitoring and assessment will be crucial. The IGTP will prepare for the internal and external assessment:<br><br>The monitoring and the follow-up of the plan will be continuous and is of the main functions of the Technical Secretariat. In addition, the following specific mechanisms will be provided:<br><br>1. Creating a scorecard based on the indicators proposed in the plan.<br><br>2. Reporting to the Board of Trustees on a yearly basis.<br><br>3. Reporting to the Executive Committee of IGTP on a quarterly basis.<br><br>4. Holding monthly meetings with the IGW. |
| How will you measure progress | free text 500 words maximum |

| (indicators) in view of the next assessment? | The internal evaluation will be performed by the IWG, by i) the revision of the advance of the Project after the commitments included in the Action Plan ii) the revision of the indicator progress reports, iii) the reports of activities and iv) the fulfilment of road maps for each action. With this data, a progress report will be elaborated 12 months after the activity has been initiated and reported to the SC. A final report will be elaborated after 24 months, as has been defined in the new procedure. For this final report, templates available in EURAXESS will be used. |
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Additional remarks/comments about the proposed implementation process:

| Two of the C&C principles, 25. Stability and permanence of employment, 35. Participation in decision-making bodies were not easily implemented currently, due to budgetary restrictions (25), and to the present rules written into the statutes of the institution (35).<br><br>If the current circumstances change, these two principles will be also implemented. |
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