

***ACTION PLAN 2015/2018 – Human Resources Strategy for Researchers (HRS4R)***

***FINAL ACTION PLAN***

## ETHICAL AND PROFESSIONAL ASPECTS

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 2. Ethical principles  <i>“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”.</i></p> <p><b>Redaction of IRTA’s Ethics Code together with the necessary instruments for its implementation.</b></p> <p><i>Question included in the survey.</i></p>	<p>Dr. Pere Arús            (Deputy to the Scientific Management)</p>	<p>Initial scheme  <i>(April 2015)</i></p> <p>Ethics Code Draft  <i>(October 2015)</i></p> <p>Consult with Heads of Programs and Managers of Subprograms  <i>(December 2015)</i></p> <p>Approval of IRTA’s Ethics Code  <i>(April 2016)</i></p> <p>Dissemination and publication of IRTA’s Ethics Code  <i>(March 2017)</i></p>	<p><b>1<sup>st</sup> Quarter 2017</b></p>	<p><b>Completed</b></p>

## ETHICAL AND PROFESSIONAL ASPECTS

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 5. Contractual and legal obligations  <i>“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”.</i></p> <p><b>To undertake a study of IRTA’s rules concerning patents, publications, confidentiality, theses, etc. and to post it on the IRTAnet.</b></p> <p><b>To add a clause for intellectual property rights in work contracts.</b></p> <p><i>Improvement detected by the working group.</i></p>	Legal Services	<p>Draft (<u>March 2015</u>)  Approval (<u>September 2015</u>)  Dissemination (<u>January 2016</u>)</p> <p>Draft of the clause for intellectual property rights in work contracts (<u>May 2016</u>)</p> <p>Approval of the clause and its implementation in work contracts (<u>November 2016</u>)</p>	<p><b>1<sup>st</sup> Quarter 2016</b></p> <p><b>2<sup>nd</sup> Quarter 2016</b></p> <p><b>2<sup>nd</sup> Quarter 2017</b></p>	<p><b>Completed</b></p> <p><b>Completed</b></p> <p><b>Completed</b></p>

## ETHICAL AND PROFESSIONAL ASPECTS

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 11. Evaluation/ appraisal systems  <i>“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”.</i></p> <p><b>To create a quantitative and qualitative evaluation system for temporary R&amp;D staff.</b></p> <p><b>Redaction of a voluntary R&amp;D evaluation system for temporary R&amp;D staff with a work contract of one year or more (*).</b></p> <p><i>Question included in the survey.</i></p>	<p>Scientific Management Human Resources</p>	<p>Draft of evaluation form  <i>(March 2018)</i></p> <p>To study the automatic output of voluntary evaluation  <i>(April 2018)</i></p> <p>Approval of the evaluation form  <i>(July 2018)</i></p> <p>Dissemination and implementation of the form concerning the voluntary evaluation system  <i>(November 2018)</i></p>	<p><b>4<sup>th</sup> Quarter 2018</b></p>	<p><b>Completed</b></p>

(\*) When the researcher is informed of the termination of a work contract, we will ask if he/she wants to be evaluated.

## RECRUITMENT

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 14. Selection (Code)  <i>“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”.</i></p> <p><b>Incorporation of an external expert (if possible from abroad) on the Selection and Promotion Committees for research categories higher than “C”.</b></p> <p><b>Finally, Promotion Committee incorporates, for all categories of researchers, two expert external evaluators, the members of the Scientific Committee and his or her Program Manager.</b></p> <p><i>Improvement detected by the working group.</i></p>	<p>Scientific Management Human Resources</p>	<p>Draft of the composition of the Selection and Promotion Committees <i>(October 2016)</i></p> <p>Approval, dissemination and implementation of the incorporation of an external expert in the new composition of the Selection and Promotion Committees <i>(December 2017)</i></p>	<p><b>4<sup>th</sup> Quarter 2017</b></p>	<p><b>Completed</b></p>

## RECRUITMENT

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 15. Transparency (Code)  <i>“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”.</i></p> <p><b>To improve the information given to interviewed candidates concerning their strengths and weaknesses.</b></p> <p><i>Improvement detected by the working group.</i></p>	Human Resources	<p>To create a template for the Selection Committees concerning strengths and weaknesses of all candidates interviewed  <i>(February 2016)</i></p>	1 <sup>st</sup> Quarter 2016	Completed
		<p>Approval, dissemination and implementation of the template  <i>(May 2017)</i></p>	2 <sup>nd</sup> Quarter 2017	Completed
		<p>Draft concerning internal communication for providing information to the rejected candidates interviewed  <i>(March 2016)</i></p>	1 <sup>st</sup> Quarter 2016	Completed

RECRUITMENT				
ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
		Approval, dissemination and implementation of the internal communication ( <u>November 2016</u> )	4 <sup>th</sup> Quarter 2016	Completed

## RECRUITMENT

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 19. Recognition of qualifications (Code)  <i>“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”.</i></p> <p><b>For the selection processes, in addition to a CV and academic title, academic certificates, a motivation letter and, at least, one letter of recommendation will also be requested.</b></p> <p><i>Improvement detected by the working group.</i></p>	Human Resources	Incorporation of additional information in the calls for vacancies: Academic record; Motivation letter; Letter of recommendation (at least one)	1 <sup>st</sup> Quarter 2015	(*)

(\*) This action was actually a handicap since the large majority of candidates only provided their CV and, therefore, we had to request the missing documentation, noting that many did not comply. This led us to reconsider this improvement since, conversely, the Report of the Working Group of Steering Group of Human Resources Management under the European Research Area concerning OTM-R indicates that the administrative burden on candidates should be kept to a minimum.

For this reason, it was decided that the documentation (title, academic records, etc.) would be requested only from those candidates who were to be interviewed.

## RECRUITMENT

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 21. Postdoctoral appointments (Code)  <i>“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”.</i></p> <p><b>To create a procedure concerning postdoctoral recruitment.</b></p> <p><i>Question included in the survey.</i></p>	<p>Scientific Management Human Resources</p>	<p>Redaction of a Technical Instruction concerning the selection process and recruitment of postdoctoral researchers <i>(May 2015)</i></p> <p>Approval, dissemination and implementation of the Technical Instruction concerning the selection process and recruitment of postdoctoral researchers <i>(June 2016).</i></p> <p>The coherence between this Technical Instruction and the redaction of the next Collective Agreement will have to be checked at a later date.</p>	<p><b>3<sup>rd</sup> Quarter 2017</b></p>	<p><b>Completed</b></p> <p><b>Completed</b></p> <p><b>As the Collective Agreement was not signed when expected, the coherence of this Technical Instruction goes to the Action Plan 2019-2021</b></p>

## WORK CONDITIONS AND SOCIAL SECURITY

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 22. Recognition of the profession  <i>"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)".</i></p> <p><b>Introduction of PhD student as a new researcher category in IRTA's next Collective Agreement.</b></p> <p><i>Improvement detected by the working group.</i></p>	Human Resources	Publication of this new category in IRTA's Collective Agreement 2016-2019	<b>3<sup>rd</sup> Quarter 2018</b>	Finally, it was decided not to create a new researcher category in the Collective Agreement for PhD students. Instead, it has been defined in articles 25 & 35 of the New Collective Agreement.
<p>Principle 24. Working conditions  <i>"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".</i></p> <p><b>To study actions for achieving more flexibility of researchers working conditions in order to guarantee research performance, as well as mechanisms of balance between work and private life.</b></p> <p><i>Question included in the survey.</i></p>	Human Resources	<p>To study and propose new measures of flexibility for the R&amp;D staff  <i>(October 2017)</i></p> <p>Approval, dissemination and implementation of new measures concerning flexibility for the R&amp;D staff.  <i>(October 2018)</i></p>	<b>4<sup>th</sup> Quarter 2018</b>	It was not possible to implement some measures because the Law 8/2019, March 8 <sup>th</sup> determined the necessity of a mandatory registration of working hours.

## WORK CONDITIONS AND SOCIAL SECURITY

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 27. Gender balance  <i>“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”.</i></p> <p><b>To redact IRTA’s Gender Balance Plan.</b></p> <p><i>Question included in the survey.</i></p>	Human Resources	<p>Draft of IRTA’s Gender Balance Plan (<u>July 2015</u>)</p> <p>Approval and dissemination of IRTA’s Gender Balance Plan (<u>February 2018</u>)</p>	1 <sup>st</sup> Quarter 2018	Completed
<p>Principle 28. Career development  <i>“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”.</i></p> <p><b>To establish a R&amp;D Training Plan that covers all specific activities for the research staff.</b></p> <p><i>Improvement detected by the working group.</i></p>	Human Resources	To divide the current Training Plan into two parts: one for the research staff and another for the rest of IRTA’s staff ( <u>January 2016</u> )	1 <sup>st</sup> Quarter 2016	Completed

## WORK CONDITIONS AND SOCIAL SECURITY

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 28. Career development  <i>“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”.</i></p> <p><b>To take measures in order to inform, support and guide PhD students and postdoctoral researchers for their professional development at IRTA and beyond their stay at IRTA.</b></p> <p><b>For PhD Students:</b>            -FAQs            -TEAMS            -Policy on doctoral training            -Rules for writing a PhD thesis.</p> <p><b>Finally, it was not yet possible to make a guide and professional development for postdocs at IRTA. This action has been postponed.</b></p> <p><i>Question included in the survey.</i></p>	Scientific Management Human Resources Communication ICT	<p>To study and propose measures in order to inform, support and guide PhD students and postdocs  <i>(November 2017)</i></p> <p>Approval, dissemination and implementation of measures to improve information, support and guidance to PhD students and postdocs  <i>(May 2018)</i></p>	<p><b>2<sup>nd</sup> Quarter 2018</b></p>	<p><b>Preparation foreseen by the 4<sup>th</sup> Quarter 2017</b></p> <p><b>Completed for PhD students</b></p>

## WORK CONDITIONS AND SOCIAL SECURITY

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 31. Intellectual Property Rights  <i>“Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&amp;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”.</i></p> <p><b>To undertake a study of IRTA’s rules concerning intellectual property rights and to post it on the IRTAnet.</b>  <i>Improvement detected by the working group.</i></p>	Legal Services	<p><b><i>To be carried out in conjunction with principle 5</i></b></p> <p>Draft (<u>March 2015</u>)  Approval (<u>September 2015</u>)</p> <p>Dissemination (<u>January 2016</u>)</p>	1 <sup>st</sup> Quarter 2016	Completed

## WORK CONDITIONS AND SOCIAL SECURITY

ACTION	RESPONSIBLE	INDICATOR	TIMELINE	CURRENT STATUS
<p>Principle 34. Complaints/appeals  <i>“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”.</i></p> <p><b>IRTA’s Ethics Code will compile procedures for solving conflicts in the scientific area.</b>  <b>Other conflicts will be dealt with through the Protocol for managing interpersonal conflicts, which will represent the mechanism that provides the procedure(s) for resolving them.</b></p> <p><i>Improvement detected by the working group.</i></p>	<p>Scientific Management Human Resources</p>	<p>Draft of the Protocol for managing interpersonal conflicts <i>(June 2015)</i></p> <p>Approval and dissemination of the Protocol for managing interpersonal conflicts <i>(July 2016)</i></p>	<p><b>3<sup>rd</sup> Quarter 2016</b></p>	<p><b>Completed</b></p>