Action Plan

HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Barcelona, Desember 2019

1. Organisational Information

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	176
Of whom are international (i.e. foreign nationality)	8
Of whom are externally funded (i.e. for whom the organisation is host organisation)	6
Of whom are women	75
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	90
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	17
Of whom are stage R1 = in most organisations corresponding with doctoral level	67
Total number of students (if relevant)	1927
Total number of staff (including management, administrative, teaching and research staff)	223
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational Budget	
Annual organisational direct government funding (designated for research)	
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	
Annual funding from private, non-government sources, designated for research	
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	

Institut Químic de Sarrià CETS Fundació Privada (IQS) is one of the founding members of the Ramon Llull University, with wide tradition and prestige in terms of science and industry. Its mission is the full training of people with knowledge and skills to foster the creation, leadership and management capabilities of competitive organisations and the generation of research and technology towards the service of industry. IQS is formed by the School of Engineering and the School of Management and offers more than 22.500 m2 in teaching and research facilities with state-of-the-art equipment. The research and technological activities generate more than 2.4M € annually including research projects, contracts, services and royalties with public and private entities

2. Actions

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicator(s) / Target(s)
ACTION 1. WRITE THE IQS GOOD PRACTICE IN RESEARCH HANDBOOK. – Write a Manual of Good Research Practices. – Centralise information on good research practices, including security measures, computer security, protection of research data. – Present the manual in an informative session. – Include information in the IQS Welcome Manual.	7. Good practice in research	Q1-Q2 2021	Quality Director	Indicator: • Online publication of the Handbook (LINK). Targets: • Every new researcher is familiar with the GOOD PRACTICE IN RESEARCH HANDBOOK. • 100% of IQS researchers know the GOOD PRACTICE IN RESEARCH HANDBOOK.
ACTION 2. DEFINE IQS'S OTM-R POLICY. Define an OTM-R recruiting policy: include the criteria described in C&C and OTMR in the Quality Manual. Review the recruitment procedures to include C&C and OTM-R criteria in all recruitment processes: – Create multidisciplinary and gender-balanced selection committees. – Publish of more information about the calls. – Make a unified announcement format that includes the criteria present in the C&C and OTMR policies. – Review R2 recruitment calls. – Include the following in the scales: creativity, level of independence, variation in the chronology of the CV,	11. Evaluation/ appraisal systems 12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code) 17. Variations in the	Q1-Q4 2020	Human Resources Director	Indicators: • OTMR policy published. • Publish detailed scales. • Publish OTMR Policy: selection and recruiting guide and templates. • OTMR and C&C material and training courses available. Targets: • 100% of job offers published online

intersectoral mobility, etc. in the contracts that require it. − Publish all offers on EURAXESS. − Make Spanish and English versions available on the web. − Offer OTMR training for HR and PIs. − Review the terms and conditions of employment of R2 researchers for Postdoctoral appointments. − Include information in the IQS Welcome Manual.	chronological order of CVs (Code) 18. Recognition of mobility experience (Code) 19. Recognition of qualifications (Code) 20. Seniority (Code) 21. Postdoctoral appointments (Code)			and on EURAXESS. • 100% of job offers include additional information. • Selection Committee participates at 100% of selection procedures. • 100% of IP researchers are trained on OTMR and C&C. • 100% of HR staff is trained on OTMR and C&C. • New conditions of employment of R2 researchers for Postdoctoral appointments approved.
ACTION 3. WRITE THE GENDER EQUALITY PLAN FOR IQS RESEARCHERS. To write IQS's gender equality plan, it will be necessary to: − Set up a gender plan working group. − Carry out a self-diagnosis of the current situation. − Establish adequate objectives and measures to improve gender balance. − Benchmark best practices at the European level (EC, mainly). − Define the gender equality plan with the involvement of researchers. − Include information in the IQS Welcome Manual.	27. Gender balance	Q3-Q4 2020	Human Resources Director	Indicator: • Link to gender equality plan. Target: • Women and men can conciliate work and family life. • Equal % of women on selection committees, • Equal % of women are Group leaders
ACTION 4. OPTIMISE OUTREACH AT IQS.	9. Public engagement	Q1-Q2 2021	President of the	Indicator:

Optimise the dissemination of science by: – Writing a Science Dissemination Plan, defining target audience, selection of events, actions, budget, responsible and indicators, etc. – Defining internal procedures to systematically connect researchers with communication departments. – Including information in the IQS Welcome Manual.			Research Commission	• Link to Outreach Plan. Target: • Increase 20% of the outreach activity.
ACTION 5. WRITE THE IQS POLICY ON RESEARCH. Write a research policy plan, including: – Map of research resources. – Identify group strengths and capabilities, opportunities for technology transfer or common projects in the public and private environment. – Establish the research priorities. – Organisational redefinition of research management. – Promote collaboration between research groups, providing a sign of identity of IQS and generating synergies. – Include information in the IQS Welcome Manual.	23. Research environment	Q1-Q2 2020	President of the Research Commission	Indicator: • Link to Policy on Research. Targets: • Increase 20% of internal collaboration (between groups). • Increase 20% of external collaboration (companies, other research institutions).
ACTION 6. UPDATE AND COMMUNICATE THE PROFESSIONAL CAREER PLAN FOR RESEARCHERS, INSIDE AND OUTSIDE OF IQS. – Review, complete and make visible the professional career options map and career plan inside and outside IQS. – Complete career design for R1 and R2 funded by research projects. – Include a map of career options external to the institution (academic, industrial, management, etc.), with the collaboration of the professional career unit. – Organise an annual seminar to explain professional career options.	28. Career development 30. Access to career advice	Q1-Q2 2021	Human Resources Director	Indicators: • Link to professional career plan. • Link to professional career options map. • Publish report on career options indicators. Targets: • At least 50% of researchers attend the seminar.

− Define indicators to follow career path of IQS researchers (outside and inside IQS). Biannually publish a report. − Include information in the IQS Welcome Manual.				• At least 80% of researchers download the professional career plan and professional career options map.
ACTION 7. LAUNCH A PILOT MENTORING PROGRAMME. Design a pilot mentoring programme. − Design, deploy and evaluate a pilot mentoring programme for researchers that will be defined based on an international benchmark exercise. It will count on the commitment of IQS researchers and the collaboration of URL. − Make workshops and materials available for mentees. − Design, deploy and evaluate a pilot mentoring programme focused on R2 researchers. Mentorship's benchmark of international good practices will be followed. The programme will have the help of the IQS's researchers and will be organised independently or associated with URL. − Include information in the IQS Welcome Manual. Starting with the selection of a network of mentors who will be trained, this will be aimed to develop the potential of young researchers by the transfer of knowledge and learning through the experiences of seniority. Mentors will help and guide the mentees to develop their research career, as well as other aspects in their personal and professional life.	28. Career development	Q3-Q4 2020	Human Resources Director.	Indicators: • Mentorship programme published. • Workshops and courses organised for mentees. Targets: • At least 6 mentors participate in the programme. • At least 20 mentees follow the mentorship programme.
ACTION 8. MAKE RECOMENDATIONS ON SABATICCAL PERIODS. − Elaborate a guide for recommendations regarding sabbatical leaves, in circumstances considered of interest to the organisation, for both IQS researchers and guest researchers/teachers.	24. Working conditions	Q3-Q4 2021	Human Resources Director	Indicator: • Publish the new norm.

− Include information in the Welcome Manual.				Target: • At least 2 researchers apply for sabbatical leaves.
ACTION 9. PROPOSE A REASSIGNMENT OF TEACHING HOURS BASED ON RESEARCH PERFORMANCE. Review the situation and propose a draft of the reassignment programme, and link research objectives to professional career development. Since R1-R4 carry out a greater number of teaching hours than stipulated, that are remunerated apart. Study the current situation and propose different solutions to incentivise research activity by the reduction of the teaching load. Analyse the economic impact and options for maintaining teaching excellence while increasing research excellence. Link this reassignment of hours with the scales established in the professional career development plan.	33. Teaching	Q1-Q2 2022	President of the Research Commission	• Status report approved.
ACTION 10. IMPROVE SUPERVISORS PERFORMANCE. Draw up a guide on good supervisory practices and incorporate it into the Welcome Manual. Organise training courses for supervisors, with the collaboration of URL. Survey and complete a focus group with R1 researchers to receive feedback on new supervision practice (measured as satisfaction).	36. Relation with supervisors 37. Supervision and managerial duties 40. Supervision	Q3-Q4 2022	Coordinator of the Doctoral Programme	Indicators: • Good supervisory practices guide is available online. • Courses for supervisors are available. • Survey report. Targets: • At least 20 researchers / supervisors are trained following the new supervision

				guide.
				• At least 60% satisfaction with the new supervision practice.
ACTION 11. UPDATE THE RESEARCHER'S WELCOME MANUAL. Including: – All new policy deployed on the HRS4R. – Information for the reception of foreign researchers, on good research practices, innovation policy, ethics committees, etc. – Include updated information about IQS initiatives on Open science. Make IQS's publicly funded research results, publications and research data freely accessible in digital format with little to no restriction. – Organise two information sessions annually for new researchers to present the contents of the Manual. – Update it annually. – Spanish and English versions available on the web.	5. Contractual and legal obligations 7. Good practice in research 8. Dissemination, exploitation of results 31. Intellectual Property Rights 35. Participation in decision-making bodies	Q1-Q2 2020	Quality Director	Indicator: • Updated Welcome Manual published online. Targets: • 2 informative sessions organised annually. • At least 30 attendees to each informative session.
ACTION 12. REVIEW INTELLECTUAL PROPERTY POLICIES. – Define IPR policy and align it with a general URL policy. – Write and approve the intellectual property policy, (considering the singularities of the research areas), defining the criteria for patentability and distribution of royalties for exploitation of technologies, to the organisation, groups and researchers. – Write the intellectual property policies manual, defining the criteria for patentability and distribution of royalties for exploitation to the organisation, groups and researchers. – Organise a workshop aimed to present the new norm to the researchers.	8. Dissemination, exploitation of results 31. Intellectual Property Rights	Q3-Q4 2021	IQS Tech Transfer Director	Indicator: • IPR norm approved. Targets: • At least 30 attendees to the workshop. • Increase the tech transfer activity by at least 5%.

− Include information in the IQS Welcome Manual.				
ACTION 13. ESTABLISH A PROCEDURE FOR RESOLVING CONFLICTS AMONG INVESTIGATORS. − Assign the mediation in conflicts between IQS investigators within the research commission duties. − Establish and approve a procedure to submit complaints to the investigators' council and include the resolution of research conflicts among its tasks. − Also include the existence of Sindic de Greuges (Ombusperson) from URL and its tasks in the Welcome Manual. − Include information in the IQS Welcome Manual.	34. Complaints/ appeals	Q1-Q2 2023	President of the Research Commission	Indicators: • Procedure approved. • Number of resolved claims.
ACTION 14. INCREASE THE PARTICIPATION OF RESEARCHERS IN DECISION-MAKING BODIES. − Define strategies (e.g. a commission) to extend the participation of researchers in the governance of the centre and include them in the new IQS internal rules of operation. − Include information in the IQS Welcome Manual.	35. Participation in decision-making bodies	Q3-Q4 2022	President of the Research Commission	Indicators: • Number of R1, R2 and R3 researchers incorporated in the commission. • Number of meetings held with the participation of these researchers.
ACTION 15. HRS4R KICK-OFF, AWARENESS AND COMMUNICATION OF HRS4R AND OTM-R. An implementation working group will be appointed with the task of defining and overseeing most of the actions, made up of people in charge of each topic, representatives of the different specific areas and services, and R1 to R4 researchers. It will insist on the awareness to attain an increasing application of the C&C criteria in the research community and in everyday research practices, by organising seminars, or briefing departments to influence the dissemination of the C&C key lessons to research staff. Training session on OTMR for HR personnel and C&C criteria for PI	All	Q12020-Q42024	Human Resources Director	• WG HRS4R constituted. • WG OTMR constituted. • At least 50 researchers attend C&C training sessions. • At least 5 HR staff members attend C&C training sessions. • Survey on HRS4R to address the awareness.

researchers and HR personnel will also be held. This will be held during the Annual Innovation and Research Symposium at IQS and during the Annual Symposium for Researchers at URL.

New contents on OTMR and HRS4R will be available in Spanish and English on the website.

New survey on HRS4R will be sent to researchers before the intermediate review (2 years).

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.

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R, based on the weaknesses identified in the OTM-R:

Action	Indicator
OTMR Action 1. To publish a version of our OTM-R policy online (in castillan and in English).	• web link
OTMR Action 2. Organize training in the area of OTM-R.	• Existence of training programmes for OTM-R. Number of staff members following training in OTM-R.
OTMR Action 3. Include in the job advertisement references/links career development.	• Link to the job advertisement.
OTMR Action 4: Public all job advertisement in EURAXESS to ensure our research vacancies reach a wider audience.	• The number of job adverts posted on EURAXESS • Trend in the number of applicants recruited from outside the organisation/abroad.
OTMR Action 5. Following the future OTMR policy, appoint selection committees gender-balanced.	• Composition of committees.
OTMR Action 6. Improve the complaints mechanism.	• Statistics on complaints.
OTMR Action 7. Stablish a system to assess whether OTM-R delivers on its objectives.	• Quality audits allow us to assess whether OTM-R delivers on its objectives.

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: https://www.iqs.edu/sites/default/files/iqs_msgiq_d4_v3_garantiacalidadpdi-pas_1.pdf

General overview of the expected implementation process:

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 of human resources management in research which, in turn, will enable IQS to be in line with its 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 Q14 2019.

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

1. Steering Committee on HRS4R (SC) will be the maximum office and will oversee the implementation process on a regular basis. It will be composed of 6 members responsible for coordinating the implementation and the follow-up of the HRS4R-derived measures. It will also communicate the advances to IQS`s Board of Directors.

2. Implementation Working Group (IWG) will be composed of 6-8 members of the Working Group and will invite other research and administrative staff members to participate. It will coordinate the deployment of the HRS4R Action Plan and will also control quality.

3. Implementation OTM-R Working Group (OTM-R IWG) will be composed of 2-3 Human Resources staff members responsible, and other administrative staff members will be invited to participate. It will coordinate the deployment of the specific OTM-R-related actions from the HRS4R Action Plan and will also control quality and follow up on indicators.

4. Technical Secretariat (TS), will be led by Head of Research & Innovation, reporting to the Steering Committee will give support to the IWT and OTM-R IWG for the preparation of deliverables, and will support the SC to follow up on indicators. The TS will also be responsible for a dynamic workflow articulated during the plan: a cloud tool of easy access to information, regular meetings, ad-hoc subcommittees with key people for specific matters depending on the evolution of the process, quality control and international benchmark.

The commitment of IQS includes a budgetary allocation, aimed at hiring/designating specialised personnel for the Technical Secretariat to provide methodological support in the design and implementation of the actions.

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	Once the different IWG and OTM-RIWG, members are chosen, a kick off meeting will be held with the TS to assess the different tasks needed for the fulfilment of the actions. The IWGs will meet on a bi-monthly basis with the TS to report about the progress in the tasks defined and problems encountered. The TS will report and hold bi-monthly meetings with the Steering Committee. The SC will Report to the Board of Directors on a quarterly basis.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	As seen above, the research community (R1-R4) will be a part of the IWG. They will be involved in the design of the actions, the pilot deployment testing and the periodical surveys developed by the TS. Additionally, several surveys (surveys to increase the awareness of the HRS4R criteria, to identify training needs, etc.) will be launched to the research community. The C&C survey will be re-sent to researchers before the intermediate review (2 years). A specific action, **ACTION 14. HRS4R KICK-OFF, AWARENESS AND COMMUNICATION OF HRS4R AND OTM-R,** is designed with the objective of raising awareness in the university community about the C & C and OTM-R criteria and, also, to report on progress in implementation. Each semester a mail will be sent to all the research community to explain the progress in the implementation of the action plan.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognised in the organisation's research strategy, as the overarching HR policy.	IQS will include in the next Strategic Plan 2020-2024 the HRS4R and OTM-R actions plan. The IWG will also be responsible for verifying that IQS policies regarding different areas are coherent with the HRS4R and the actions developed within these Action Plans.
How will you ensure that the proposed actions are implemented?	The SC will alert from deviations of the timeline to the Governing board, that will take the corresponding actions to add more resources to control the deviations of the original plan. Additionally, a quality control will be performed every two years by an external reviewer and international expert on HRS4R issues. Finally, at the fourth year, an Internal audit will be performed.
How will you monitor progress (timeline)?	The monitoring and the follow-up of the plan will be continuous, being one of the main functions of the Technical Secretariat. IWG will hold bi-monthly meetings with the TS to review the development of the implementation of the tasks defined for the

	actions currently in progress.
How will you measure progress (indicators) in view of the next assessment?	The previously detailed indicators will be included in IQS`s scorecard and will be verified quarterly to find evidence of any deviation from the HRS4R or with organisational policies.