Internal Review & Implemented Action Plan

HUMAN RESOURCES STRATEGY FOR RESEARCHERS

Barcelona, February 2023

INTERNAL REVIEW & IMPLEMENTATION ACTION PLAN

CASE NUMBER: **2019ES408013**

NAME ORGANISATION UNDER REVIEW: **INSTITUT QUÍMIC DE SARRIÀ (IQS) - UNIVERSISTAT RAMON LLULL**

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WEB LINK TO PUBLISHED VERSION OF ORGANISATION'S HR STRATEGY & ACTION PLAN:

Human Resources Strategy for Researcher (HRS4R) | IQS

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	154
Of whom are international (i.e. foreign nationality)	17
Of whom are externally funded (i.e. for whom the organisation is host organisation)	10
Of whom are women	81
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	96
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	7
Of whom are stage R1 = in most organisations corresponding with doctoral level	51
Total number of students (if relevant)	1,852
Total number of staff (including management, administrative, teaching and research staff)	295
RESEARCH FUNDING (figures for most recent fiscal year)	
Total annual organisational Budget	26,394,307 €
Annual organisational direct government funding (designated for research)	0 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1,240,000 €
Annual funding from private, non-government sources, designated for research	380,000 €
ORGANISATIONAL PROFILE (a very brief description of your organisation)	

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 3.5M € annually including research projects, contracts, services and royalties with public and private entities.

2. STRENGHTS AND WEAKNESSES OF THE CURRENT PRACTICE

Ethical and Professional Aspects

Ethical and professional aspects (Initial Phase)
Strengths
• Freedom of research: IQS respects the freedom of research and academic autonomy of its researchers within the corresponding legal and ethical frameworks, and if they are aligned with the institution's lines of research. • Ethics: IQS's mission demands that the institution activities must be interdisciplinary, humanistic and ethical. IQS has a chair in ethics, which is a meeting point and academic space. IQS follows the *Code of Conduct of the Society of Jesus* of Spain. It establishes ethical standards for the governance of institutions, including non-discrimination, safety at work, worker protection, etc., and proposes a code of professional attitude. • Intellectual property rights: IQS has a technology transfer office, *IQS Tech Transfer*. The staff help researchers to formalise the management tasks of research projects. IQS's technological offer is published. IQS has an entrepreneurship programme, *IQS Tech Factory*, that has helped to create several spin-offs. Finally, IQS has created the *Fundación Empresas* to pool the business needs and technical solutions provided by the centre's research groups. • Accountability: IQS has an economic unit that oversees the management of the centre. IQS and its researchers undergo audits and evaluation from: *AQU*, *ANECA*, *State Research Agency*, etc. In addition, projects are audited by regional, national and European funding bodies. The technology transfer unit supports researchers in the accountability of research projects. • Work environment: IQS has an occupational risk prevention plan. IQS has guidelines on computer security and has implemented a data protection policy in accordance with European regulations. IQS follows the *Code of Conduct of the Society of Jesus* of Spain, which includes a code for the use of computer equipment and the protection and use of personal data. • Dissemination: IQS has a corporate communication and marketing department that oversees centralising corporate communication. IQS carries out many communication activities: it publishes newsletters, disseminates its activities and outcomes by social networks, etc. IQS's annual report is published online. • Evaluations: R1 Researchers are evaluated by the thesis director and the doctoral commission of the URL. In addition, they must submit an annual activity report to the funding institution body. R3 and R4 researchers are evaluated by: *ANECA* for their research activity, by *DOCENTIA* for their teaching activity and by *CNAEI* for their technology transfer activity. The Management of the Centre, together with the Dean, annually evaluates all R2, R3 and R4 based on the following criteria: i) Degree of achievement of research objectives according to criteria of publications, direction of TFG/TFM, etc. ii) Degree of achievement of specific objectives, which had been personally agreed upon between the professor, the Dean and the General Manager. Results obtained in the teaching activity (planning, development, results and updating and innovation), are achieved by referencing the surveys carried out by the students and the *DOCENTIA* evaluation.

Weakness
• Researchers and WG consider that intellectual property norms must be written, that the information on good research practice should be centralised, and that there should be a science communication policy for improving the communication of research activities to society.

Ethical and professional aspects (Interim Phase)
Strengths
• IQS has created in the Interim Phase the *Research Commission* in order to extend the participation of researchers in the governance of the centre and include them in the new IQS internal rules of operation. • IQS has approved through the Research Commission the *IQS Intellectual Property Policy*. It includes 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. In the policy are defined the criteria for patentability and distribution of royalties for exploitation to the organisation, groups and researchers.
Weaknesses
• Some key HR documents are not translated into English. This is an ongoing task continuing throughout the implementation phase.
Remarks
• We can say that receiving the *HR Excellence in Research Award* has meant a cultural transformation in IQS as regards career development. The HR Director now participate, together with the General Manager and the Deans, in the annual evaluation of objectives of professors and researchers. • In the same vein, IQS has increased the communication activities about research in our newsletters and in the social networks.

Recruitment and Selection

Recruitment and selection (Initial Phase)
Strengths
- Job offers: The Dean identifies the need to incorporate new professors and presents a proposal to the General Manager, discussing the request. Once the General Manager accepts the request, the corresponding selection process begins.   - Job calls: They are published in online platforms: Akadeus, Polytechnic Positions, Biocat, Royal Chemical society, professorposition.com, Jobs.ac.uk, LinkedIn, InfoJobs etc. The offer is held for one month. For researchers contracted for non-competitive projects and self-funded projects, the selection criteria are defined in the job call.   - Selection: The procedure for the selection of the faculty/researcher R2, R3 and R4, is initially carried out by the HR Director who screens the received CV, performing a first selection of candidates. In a second selection, the HR Director and the Dean identify the candidates to be evaluated. The selected candidates are convened for a first interview in which the Dean and the HR Director participate. The *Quality Manual* publishes a series of basic scales that the candidate must comply with, such as being in possession of a doctorate degree, research experience, and experience in business and teaching. Valuable merits monitored in the selection process include international teaching or research experience, having participated in competitive research projects and, on some occasions, having collaborated with an industry/company related to their specialty. Official degrees are considered in a first term for the selection process, and additionally, if the demanded profile requires them, non-official degrees are valued. There is not positive selection for disadvantaged collectives, although following present legislation, 2% of the employees should belong to these collectives. The selection of R1 researchers for the industrial doctorate and self-funded programmes is done by a selection committee including members of the Research Committee that oversees the CVs, awards the scholarships and proceeds to the candidates' recruitment. R1 and R2 researchers financed by public (national and regional) and private funding entities are selected according to the criteria specified by the funding entity. Rejected candidates are informed of the reasons why their applications have not been selected.   - The selection process considers the suitability of researchers to the profile determined by the call. The variations in the chronological order of the CVs are considered individually in each case.   - Recruitment: IQS recruits few R2 researchers, most of whom are recruited on competitive calls. There are few R2s hired by non-competitive research projects. There is no self-funded project call for R2 researchers. In all the cases, R2 researchers are contracted under the specifications written at the job call. The selection is done by the Principal Investigator in coordination with the *IQS Tech Transfer* office.
Weakness
- Researchers consider that there could be a wider distribution in job offers and greater transparency in the selection process.   - Researchers also consider that selection committees are not multidisciplinary, or gender balanced.   - Researchers suggest unifying the job calls' format, publishing more information about the selection processes the position, and career prospects.   - Job offers are not published on EURAXESS.

Recruitment and selection (Interim Phase)

Strengths

- IQS has defined and written the selection process. The phases defined are the following:

    1. Job opening Request and Approval
    2. Publication, dissemination
    3. Establishment of the players in the recruitment process
    4. Preselection
    5. Interviews and final decision
    6. Job offer and closure

- In the second phase, the HR Director defines with the IP the distribution and dissemination of each job offer. Since we have received the HR Excellence in Research Award more than 20 offers has been published in Euraxess web.
- In the third phase, the Research Director proposes the composition of the Selection Commission to the HR Director. The Selection Commission should bring together diverse expertise and competences and should have an adequate gender balance. It will be formed, as minimum, by:
    - Research Director
    - HR Director
    - Identity and Mission Delegate
    - Principal Investigator
    - Other members proposed by the Research Director (General Manager, Head of Research Group, specialist, etc.).

Weaknesses

- IQS has some *OTM-R* activities in progress:
    - Review R2 recruitment calls.
    - Make Spanish and English versions available on the web.
    - Offer *OTM-R* 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.

Remarks

- Since we have received the *HR Excellence in Research Award* we have defined and written the selection process, making all the selection process more transparent and clearer for the candidates.
- In the last 2 years we have published more than 20 job offers in Euraxess website, and we have hired quite a few candidates from this platform.
- IQS is improving the *OTM-R* policies.

Working Conditions and Social Security

Working conditions and social security (Initial Phase)
Strengths
- Research environment: There is annual investment planning in facilities or lab devices. A new building (*CTPTI*) will be inaugurated. This building will unite efforts and generate synergies. The IQS strategic plan has prioritised the research lines and has merged research groups to join efforts and generate synergies. Researchers participate in networks. IQS disseminates opportunities for funding, participation in networks, national and international events, etc. The novel research commission will be implicated in the improvement of the research environment.   - Working conditions and salary: A new national legislation has come into force, making it necessary to revise the concepts of flexible working hours, teleworking and part-time work. IQS staff have their own collective agreement, which defines a more competitive salary than other university centres, which includes additional social benefits. All the contracts for R3 and R4, and most of the contracts of the R2 researchers, are permanent.   - Gender: IQS follows the *Code of Conduct of the Society of Jesus* of Spain, which establishes non-discrimination on the basis of ideology, religion or belief, ethnicity, race or nation, gender, sexual orientation, physical or mental illness or disability, legal or union representation of workers or use of any language. IQS follows the URL gender Equality Plan.   - Professional career: Universitat Ramon Llull is a private foundation, and by virtue of its federal principle is integrated by several institutions, among which IQS. URL has a procedure that regulates access to academic categories. Milestones for promotion are defined and annual evaluations to assess the fulfilment of these milestones are done. IQS has a Mentorship Programme to guide new professors in the institution. A tutor and a thesis advisor are assigned to R1 researchers. IQS has a professional career orientation service.   - Mobility: IQS values international mobility and in-company experience in all the selection processes. IQS has many agreements with other research centres and universities, and belongs to the Jesuit Universities network *UNIJES*.   - Complaints: IQS managers and Deans intend to solve complaints concerning conflicts of interest, but in the field of research there are no clear procedures for complaint management. URL has an ombudsman for the University community, el Sindic de Greuges (Ombusperson).
Weakness
- Teaching: R1 researchers, with independence of their funding institution, teach more hours than initially established by their contract. This is explained by a non-discriminatory norm of IQS. Researchers R2, R3 and R4 carry out a greater number of teaching hours than stipulated. These extra teaching hours are also remunerated apart.   - Researchers perceive that there is not enough collaboration between existing research groups or that groups tend to be small, there is an excessive teaching load, there are no measures to regulate telework, nor sabbaticals. Also, they claim that there is no defined career programme or any kind of information for the R1 and R2 researchers recruited by non-competitive projects. There is no mentorship programme to assess professional development for IQS researchers.   - Also, they consider that the Research Plan is not formalised, there is no gender parity in the executive bodies, and there is no gender plan. Complaints procedures are not clearly defined. The Research Commission is not represented on the centre's council.

Working conditions and social security (Interim Phase)

Strengths

- IQS has created in the Interim Phase the *Research Commission* in order to extend the participation of researchers in the governance of the centre and include them in the new IQS internal rules of operation.
- The *Research Commission* has defined the IQS Policy on Research, establishing the research priorities, and redefining the Research Groups of IQS.
- IQS has accorded his gender *Equality Plan*, doing a self-diagnosis of the current situation and creating a *Equality Committee* that is implementing all the measures to improve gender balance at IQS.
- The Human Resources Department has launched the *PhD Talent Programme*, a mentoring and training programme for R1 researchers.
- The Human Resources Department has described the sabbatical periods on the Collective Agreement of IQS, and has designed a new programme for boosting the research through the *Lluis Comellas Programme*, that allows researchers join short sabbatical periods (4-6 months) for doing research stages in other universities and research centres.
- The *IQS Welcome Manual* includes a special section for researchers, where they can find the research policy and all the information related to research in IQS.

Weaknesses

- The Human Resources Department and the Deans of the two Schools in IQS has made an analysis of the teaching hours of the faculty, and progressively, they are reducing the number of teaching hours in order to improve the research time of the faculty.
- The Human Resources Department is designing the career plan.
- The *Research Commission* is defining the procedure for resolving conflicts among investigators.

Remarks

- Receiving the *HR Excellence in Research Award* is pushing IQS to improve the working conditions and social security of the researchers and of all the staff.

Training and Development

Training and development (Initial Phase)
Strengths
- Supervision: IQS follows the *Code of Conduct of the Society of Jesus* of Spain, which establishes ethical standards for the governance of institutions, in which it is specifically stated that all employees and collaborators will contribute to generating a rewarding and stimulating work environment in the institution, in which individual merit is recognised and respect is promoted, thus avoiding any form of intimidation or abuse. The supervisory functions of the R1 researcher are performed by his thesis director. Also, junior researchers are formally advised by the thesis advisor. In addition, the coordinator of doctoral studies is designed as a consulting figure. The supervisors carry out an annual review of the doctoral candidate, which is presented to the academic doctoral committee.   - Training: The evaluation of training activities is carried out in coordination meetings held among the Heads of Departments and the Dean. The results of these evaluations are used as a basis for the development of the forthcoming yearly training plan. In addition, the Heads of Department report on these training activities to the corresponding Academic Board. The HR Director draws up a continuous training plan considering the general or individual training needs detected for each professor. The training plan is structured into seven areas of competence: scientific-technical; quality; personal and management skills; information and communication technologies; languages; training in prevention, safety and health; and identity and mission. Each department has an annual budget for the professional development of each professor. The Management of the centre supports the attendance of researchers at national and international congresses and conferences. Professors can suggest formative actions in their self-reports. There is a plan for periodic scientific seminars coordinated by the departments.
Weakness
- The researchers consider that researchers' supervision depends on the senior researchers' ability and disposition.   - There is no specific training for supervisors.

Training and development (Interim Phase)
Strengths
- The Human Resources Department has launched the *PhD Talent Programme*. This Programme take place over 3 years. During this period, the programme helps the R1 Researchers to handle other stumbling blocks inherent in the PhD experience and expand their learning beyond the purely academic, receiving a continuous mentoring from a psychological coach. The training programme contains some workshops and sessions about power skills, leadership and self-knowledge, techniques, and practical resources to improve their employability and generate synergies within the group. The ultimate goal is to ensure them to get the most out of their time at IQS, and to prepare them for whatever professional path awaits them after their PhD.   - The Human Resources Department has implemented an online training platform: *Goodhabitz*. It is open to all researchers in order to promote their professional and personal growth.   - IQS has created in this period the *Teaching Innovation Unit* that gives to professors and researchers training and tools for improving teaching and research in IQS.
Weaknesses
The Human Resources Department is designing the training plan for supervisors, that includes tools and procedures for improve researchers' supervision.
Remarks
Having the *HR Excellence in Research Award* has brought to IQS a cultural change, focusing the institution to training and development policies for their employees.

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

The priorities drawn from the Gap Analysis remain valid. Some actions have been extended due to strategic institutional improvement commitments, and particularly due to the health crisis caused by the COVID-19 pandemic. This has resulted in a process to reorganize and adapt the way we work to attain certain objectives set out in the action plan. A number of the actions that we expected to already have completed have been extended due to the complexity to tackle them remotely and the necessity to deal with other urgent items arising from the pandemic.

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

During this implementation period, IQS has undergone several significant changes with regards to key members of management personnel involved during the negotiation and application phase. The General Manager and the Deans of the two Schools of IQS were changed shortly after the award of the HRS4R certification, but the main activities have largely continued to take place under the HRS4R strategic plan.

In this period IQS has created the Research Commission in order to extend the participation of researchers in the governance of the centre and include them in the new IQS internal rules of operation. The Research Commission has defined the IQS Policy on Research, establishing the research priorities, and redefining the Research Groups of IQS.

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

Within the framework of IQS's global strategic plan, work is being done on the definition of a specific strategic plan for research and technology transfer activities. This project for the development and implementation of a specific strategic plan aims to respond to the push that IQS is giving to R+D+i activities. The increase in the number of professors and researchers, the increase in funding obtained through competitive projects, as well as the demands of companies in our environment, are the main factors that make a new model necessary.

3. ACTIONS

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicator(s) / Target(s)	Current Status	Remarks
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	1Q-2Q 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.	Extended	The Quality Unit is defining the Research handbook. New implementation period 3Q-4Q 2023

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, 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.	11. Evaluation/ appraisal systems 12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code) 17. Variations in the chronological order of CVs (Code) 18. Recognition of mobility experience (Code) 19. Recognition of qualifications (Code) 20. Seniority (Code)	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 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.	In progress	Not all of the points under this Action have been carried out according to the timeline. We have therefore extended a number of the tasks until 1Q2024. Activities completed: • Published OTM-R Policy on the website. • 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. • Publish all offers on EURAXESS. Activities in progress: • Review R2 recruitment calls. • Review the terms and conditions of employment of R2 researchers for Postdoctoral appointments. • Offer OTMR training for HR and PIs. • Include information in the IQS Welcome Manual.

	21. Postdoctoral appointments (Code)			• 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	Completed	IQS has accorded his gender equality plan, did a self-diagnosis of the current situation and creating a Equality Committee that is implementing all the measures to improve gender balance at IQS.
ACTION 4. OPTIMISE OUTREACH AT IQS. 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.	9. Public engagement	Q1-Q2 2021	Research Commission Director	Indicator: • Link to Outreach Plan. Target: • Increase 20% of the outreach activity.	Extended	The Research Commission is defining the Dissemination Plan. A draft is being worked on by the Research Commission. Some actions are already being implemented. New implementation period 1Q-2Q 2024.

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	Research Commission Director	Indicator: • Link to Policy on Research. Targets: • Increase 20% of internal collaboration (between groups). • Increase 20% of external collaboration (companies, other research institutions).	Completed	The Research Commission has defined the IQS Policy on Research, establishing the research priorities, and redefining the Research Groups of IQS. An updated version should be considered according the Strategic Research Plan in which we are working now.
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.	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.	Extended	The Human Resources Department is designing the career plan. New implementation period 3Q-4Q 2023

− Organise an annual seminar to explain professional career options. − Define indicators to follow career path of IQS researchers (outside and inside IQS). Biannually publish a report. − Include information in the IQS Welcome Manual.				Targets: • At least 50% of researchers attend the seminar. • 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 R1 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	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.	Completed	The Human Resources Department has launched the *PhD Talent Programme*. This Programme take place over 3 years. During this period, the programme helps the R1 Researchers to handle other stumbling blocks inherent in the PhD experience and expand their learning beyond the purely academic, receiving a continuous mentoring from a psychological coach. The training programme contains some workshops and sessions about power skills, leadership and self-knowledge, techniques and practical resources to improve their

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.						employability and generate synergies within the group. The ultimate goal is to ensure them to get the most out of their time at IQS, and to prepare them for whatever professional path awaits them after their PhD.
ACTION 8. MAKE RECOMENDATIONS ON SABBATICAL PERIODS. − Elaborate a guide for recommendations regarding sabbatical leaves, in circumstances considered of interest to the organisation, for both IQS researchers and guest researchers/professors. − Include information in the Welcome Manual.	24. Working conditions	Q3-Q4 2021	Human Resources Director	Indicator: • Publish the new norm. Target: • At least 2 researchers apply for sabbatical leaves.	Completed	The Human Resources Department has described the sabbatical periods on the Collective Agreement of IQS, and has designed a new programme for boosting the research through the *Lluis Comellas Programme,* that allows researchers join short sabbatical periods (4-6 months) for doing research stages in other universities and research centres.

| 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	Research Commission Director	• Status report approved.	In progress	The Human Resources Department and the Deans of the 2 Schools in IQS has made an analysis of the teaching hours of the faculty, and progressively, they are reducing the number of teaching hours in order to improve the research time of the faculty.
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. | 36. Relation with supervisors

37. Supervision and managerial duties

40. Supervision | Q3-Q4 2022 | Coordinators of the Doctoral Programme | Indicators:

• Good supervisory practices guide is available online.
• Courses for supervisors are available.
• Survey report. | Extended | The Human Resources Department is designing the training plan for supervisors.

New implementation period 3Q-4Q 2023. |

Survey and complete a focus group with R1 researchers to receive feedback on new supervision practice (measured as satisfaction).				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.	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.	Completed	The IQS Welcome Manual includes a special section for researchers, where they can find the research policy and all the information related to research in IQS.

− Spanish and English versions available on the web.						
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. − Include information in the IQS Welcome Manual.	8. Dissemination, exploitation of results 31. Intellectual Property Rights	Q3-Q4 2021	Research Director	Indicator: • IPR norm approved. Targets: • At least 30 attendees to the workshop. • Increase the tech transfer activity by at least 5%.	Completed	IQS has approved through the Research Commission the *IQS Intellectual Property Policy*. It includes 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. In the policy are defined the criteria for patentability and distribution of royalties for exploitation to the organisation, groups and researchers.

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	Research Commission Director	Indicators: • Procedure approved. • Number of resolved claims.	Extended	The Research Commission is defining the procedure for resolving conflicts among investigators. New implementation period 1Q-2Q 2024
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	Research Commission Director	Indicators: • Number of R1, R2 and R3 researchers incorporated in the commission. • Number of meetings held with the participation of these researchers.	Completed	IQS has created the Research Commission in order to extend the participation of researchers in the governance of the centre and include them in the new IQS internal rules of operation.

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 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).	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.	In progress	From the beginning of the implementation of HRS4R policies, IQS has created a group composed by the leaders of Depts. of Research, Human Resources, and Communication in order to communicate all the initiatives that IQS is carrying out in relation to research. New implementation period 1Q-4Q 2024.

4- OTM-R POLICY

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 Spanish 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.

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

Not all of the points under this Action have been carried out according to the timeline. We have therefore extended a number of the tasks until 1Q2024.

Activities completed:

- Published OTM-R Policy on the website.
- 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 OTM-R policies.
- Publish all offers on EURAXESS.

Activities in progress:

- Review R2 recruitment calls.
- 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.

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: Human Resources Strategy for Researcher (HRS4R) | IQS

5- IMPLEMENTATION

General overview of the implementation process

The implementation process is being performed through four different levels of responsibility:

Steering Committee on HRS4R (SC) is the maximum office and will oversee the implementation process on a regular basis. It is be composed by 6 members responsible for coordinating the implementation and the follow-up of the HRS4R-derived measures: General Manager, Research Director, Human Resources Director, Dean of IQS School of Engineering, Dean of IQS School of Management, Communication Director. It will also communicate the advances to IQS`s Board of Directors.

Implementation Working Group (IWG) will be leaded by Human Resources Director, Research Director and Quality Director, and will invite other research and administrative staff members to participate. It will coordinate the deployment of the HRS4R Action Plan.

Implementation OTM-R Working Group (OTM-R IWG) will be composed of 1-2 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.

Technical Secretariat (TS), will give support to the IWG 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 Implementation process began in 2020, coinciding with the COVID-19 pandemic. In the first year of our implementation phase there has been some significant changes in personnel who had been involved in the initial HRS4R phase (General Manager, Deans). These factors necessitated that we adopt a simpler and more dynamic model of governance for coordinating and monitoring the implementation of actions, and it has been the Human Resources Director, Research Director and Quality Director who has concentrated the main part of the implementation process.

The implementation will continue according to the updated schedule.

How have you prepared the internal review?

The internal review has been undertaken by the Implementation Working Group (IWG), based on their ongoing review and internal reporting process.

Steering Committee on HRS4R (SC) has reviewed all the actions implemented as well as any additional related initiatives carried out. The committee performed an evaluation of those actions considered to have been completed in order to ensure that correct documentation of activities and outputs where relevant. It also revised with the working groups those actions which continue "in progress" and those which need to be extended further and will be developed in the continuation of the action plan during the second part of 2022 - 2025. Other additional actions have also been identified and included in the updated Action Plan, which are considered important in terms of continuing to make improvements for researchers within the framework of the HRS4R.

How do you intend to involve the research community, your main stakeholders, in the implementation process?

The research community (R1-R4) will be involved in the design of the actions.

A specific information session on different aspects related to the HRS4R Plan and issues of OTM-R will be organised at the 1st quarter of 2023.

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 findings from the survey, working session and interviews with representatives from the researcher community (R1 – R4), will be incorporated into the updated Action Plan with the following activities:

- Adopt measures for a gender-sensitive recruitment for all positions.
- Adopt specific policies aimed at promoting women's career progression.
- Improve supervision procedures for young researchers through a mentoring programme.

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

Implementation Working Group (IWG), consisting of the Human Resources Director, Research Director and Quality Director, have been meeting every four months to coordinate and monitor the progress of the Action Plan.

Periodic updates are made to the Steering Committee (SC).

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?

This action is aligned with IQS's commitment to promoting a set of values that are consistent with human quality and academic and professional excellence, values at the service of the local and global society in which we are immersed. These values are:

Integrity, Sensitivity, Diversity, Contributing to the common good, and commitment to a fairer and more sustainable society.

Finally, the HRS4R action is also aligned with the process that IQS has undertaken to develop its Gender Equality Plan (GEP), which sets out the strategy which IQS commits to follow in the next four years to achieve gender equality in the institution. Following the current legal regulation, the GEP focusses mainly on gender equality, and it includes measures aimed at guaranteeing equal treatment and opportunities between women and men. Nevertheless, IQS is committed towards equality, diversity and inclusion and, in this sense, the GEP also contains references and measures that aim at generating awareness and mainstreaming gender equality, inclusion and diversity from a broader perspective.

How has your organisation ensured that the proposed actions would be also implemented?

It is very important for IQS to ensure that the actions are implemented, which is why the action plan includes details of the party responsible for each action and the indicators that allow each action to be monitored.

The Implementation Working Group (IWG) and Steering Committee (SC) monitor the progress of the action plan and the level of compliance with the targets/indicators originally established. Corrective actions are taken if there are any alterations to the established deadlines (as has happened in the case of negative impact of COVID-19 pandemic affecting our ability to initiate work according to the time plan for some actions), or the new regulatory conditions or strategic decisions that could affect the strategy (such as changes in the new Spanish Labour Law affecting research personnel contracts, constitution of new internal working groups that align with the HRS4R actions, etc.).

The HRS4R Action Plan is promoted and approved by representatives from all areas of IQS's research community.

How are you monitoring progress (timeline)?

For monitoring progress, the Implementation Working Group (IWG) have been meeting each semester to oversee the work being carried out towards fulfilling the different actions. In these meetings, the members share and record information on the progress of implementation, as well as discuss any changes that might need to be made. The meetings have served to:

- Collaborate and coordinate actions
- Align activities with other working groups on strategic lines for the institution
- Re-scheduling of actions most affected by the COVID-19 pandemic and interchanging with other actions planned for later in the Action Plan where possible.
- Internal reporting

How will you measure progress (indicators) in view of the next assessment?

The updated Action Plan and respective timelines for the actions have been discussed and agreed with the responsible parties, who will be directly overseeing their design and development. The indicators or targets assigned to each Action have also been reviewed and aligned with the wider Institutional Strategic Plan.

Implementation Working Group (IWG) will continue with its established procedure:

- Monitoring meetings and follow-up with people in charge of the actions.
- Internal reporting and documenting of actions, results and tangible outputs.
- Six-monthly internal review and audit-check for compliance.

In case of any exceptional circumstances which might affect the performance or planned timeline for the rest of the Implementation period, the Implementation Working Group (IWG) will perform a risk assessment. Corrective actions will be proposed to the Steering Committee (SC) who will ultimately take the strategic decisions necessary.

How do you expect to prepare for the external review?

For preparing the external review, the Implementation Working Group (IWG) will prepare an electronic dossier with all requested evidence and results of the implemented actions.

We will take into consideration any comments and recommendations that the Commission provides following submission of this Interim Report. Any corrective actions will be agreed and documented in preparation for the external review.

We will designate a specific person to be the main point of contact with the review team, facilitating access to those additional staff and Committee members to provide further information about the HRS4R implementation process and/or the actions developed.

Additional remarks/comments about the proposed implementation process

No additional comments.

February 2023

Steering Committee HRS4R

PERSONA CIENCIA EMPRESA
RRHH