

# HRS4R IrsiCaixa: Human Resources Strategy for Researches at IrsiCaixa

Internal Gap Analysis process

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## INTRODUCTION

The **Institute of Research on AIDS (IrsiCaixa)** is an international landmark and leading centre for research into the eradication of HIV/AIDS and related diseases. IrsiCaixa researchers also tackle other biomedical challenges, such as those associated with the microbiome and emerging infectious diseases.

IrsiCaixa was created as a private non-profit foundation in 1995 with the support of Obra Social "la Caixa" and the Department of Health of the Generalitat of Catalonia.

Its director is Dr. Bonaventura Clotet, who is also president of the Fight AIDS Foundation and head of the Infectious Diseases Unit of the Germans Trias i Pujol University Hospital.

IrsiCaixa is located in the **Germans Trias i Pujol University Hospital**, next to the Fight AIDS Foundation, which makes for a unique model of collaboration between researchers, healthcare professionals, patients and community representatives. This transfer of knowledge between key stakeholders makes for novel solutions that facilitate progress towards eradication of HIV infection.

IrsiCaixa is committed to achieve the **Human Resources Strategy for Research (HRS4R)** accreditation given by the European Commission (EC). The HRS4R is a European initiative impelled to give a public recognition to research institutions that have worked in aligning their human resources policies with "The European Charter for Researchers" and "The Code of Conduct for the Recruitment of Research" established by the EC.

The HRS4R emerges with the aim of making the research career more attractive, and intends to give all researchers in any European Union Member State the same rights and obligations, independently of the country they live in. Entities adhering to the strategy receive the recognition of HR Excellence in Research.

In this sense, in May 2017, IrsiCaixa signed the declaration of **commitment to the principles of the Charter and Code**, with the aim to improve their working conditions for research, making the institution more attractive place to develop a research of excellence. Thus, IrsiCaixa expresses their interest in the framework of the HRS4R strategy as a tool for self-assessment of the current departments and services of IrsiCaixa in human resources area.

The present document develops the **Internal GAP Analysis** and the **Action Plan of IrsiCaixa** to know the current situation in IrsiCaixa and the identification of areas of improvement that increase the attractiveness of the institution for researchers, guaranteeing the most favorable conditions as possible for the development of their scientific career.

## METHODOLOGY

The **working plan** of IrsiCaixa to obtain the accreditation and to implement the HRS4R strategy is developed in the following phases:

1. Development of an Internal GAP Analysis.
2. Development of an Action Plan.
3. Publication of the Internal GAP Analysis and the Action Plan on the website.
4. Approval by the European Commission of the IrsiCaixa HRS4R.
5. IrsiCaixa HRS4R implementation phase and self-assessment.
6. External evaluation and renewal of approval from EC.

For an adequate development of the planning, a **working group** was formed. The working group involves key players with an active position in IrsiCaixa. The group represents the IrsiCaixa community and researchers, with members belonging to different areas at the institution.

The working group is listed below:

- Lourdes Grau (Manager Director of the Management Unit)
- Lidia Ruiz (Lab Manager)
- Julià Blanco (Principal Investigator)
- Ester Ballana (PhD. Associate researcher)
- M<sup>a</sup> Carmen Puertas (PhD)
- Ferran Tarrés (PhD Student)

The group has participated actively in the analysis of the human resources policies of the institution, as well as in the elaboration of the Internal GAP Analysis and the Action Plan based on the templates proposed by the EC. Additionally, the group will be involved in all phases derived from the implementation, monitoring and self-assessment of the HRS4R strategy in IrsiCaixa.

The working group has approached the following items during the process:

- Analysis of the current situation in IrsiCaixa (Internal GAP Analysis in the present document and Template I GAP Analysis as a complementary document).
- Internal analysis of current initiatives carried out by IrsiCaixa (Template I GAP Analysis as a complementary document).
- Initiatives to be undertaken by IrsiCaixa (Action Plan in the present document and Template II Action Plan as a complementary document).

## INTERNAL GAP ANALYSIS

### Survey

To understand the present situation in human resources, **IrsiCaixa staff were asked** about its opinion on the current initiatives and strategies provided by the institution.

For this purpose, an important part of the analysis was carried out through a **survey to staff** about the principles on which it is based the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

The working group prepared a proposal based on the 40 principles included in the HRS4R strategy. Finally, the **survey included 27 key principles** to ask to IrsiCaixa staff (see below the complete questionnaire in the Annexes of the present document).

The survey was divided in five different sections that include the questions about the 27 selected principles:

- Basic information: It included general personal and professional information such as gender, age range, area of research, professional category, etc.
- Ethical and professional aspects: It included seven questions.
- Recruitment and selection: It included seven questions.
- Working conditions and social security: It included nine questions.
- Training: It included four questions.

This survey had the final objective of drafting a Human Resources Strategy following the best European practices and the personal opinions of IrsiCaixa staff on the selected principles.

In addition, the working group answered questions related to the 40 principles, analysing for each one the **relevant legislation and the institutional rules and/or best practices** carried out by the institution (Template I GAP Analysis as a complementary document).

Participants had to score from 1 (lower degree) to 6 (higher degree) each principle concerning to:

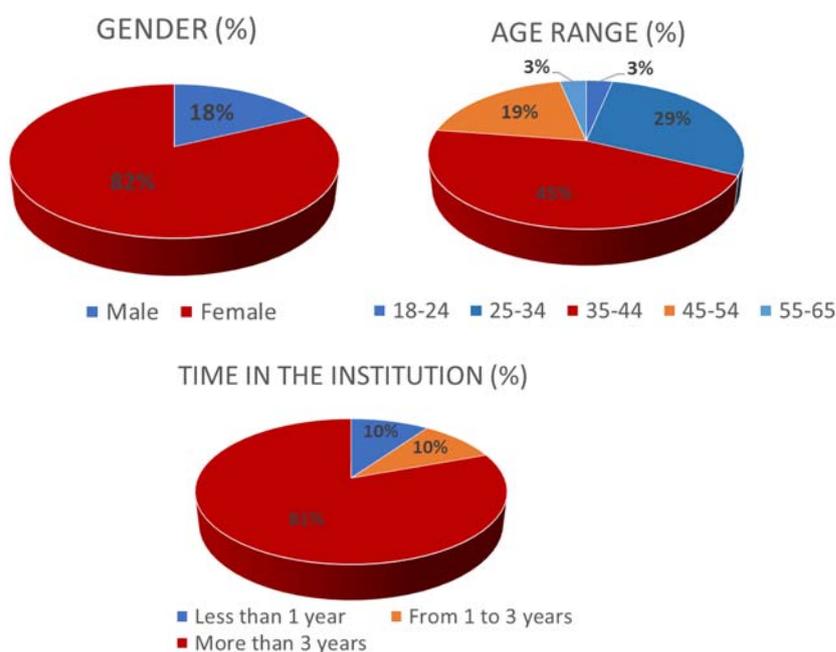
- Level of agreement (from 1 to 6, where 1 is less agreement and 6 is full agreement).
- Level of importance (from 1 to 6, where 1 is less priority and 6 is full priority).

## Participation

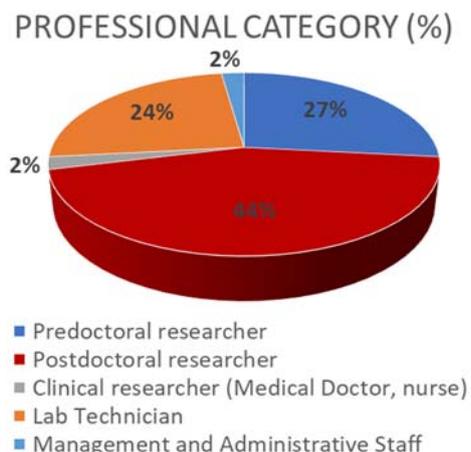
IrsiCaixa research community is composed of approximately **70 members** among researchers, technicians, administrative and management staff. They are grouped into five strategic lines organized in eight research groups and into the management units.

The survey was transmitted by e-mail to all staff and was answered by 60 out of 70. **The rate of participation was 75% .**

The participation was 82% of women and 18% of men, most of them with an age range from 25 to 44 years old and with more than 3 years working in the institution.



**All the professional categories and research groups of IrsiCaixa** are represented in the answers. The distribution of answers per professional category was the following:



## Results

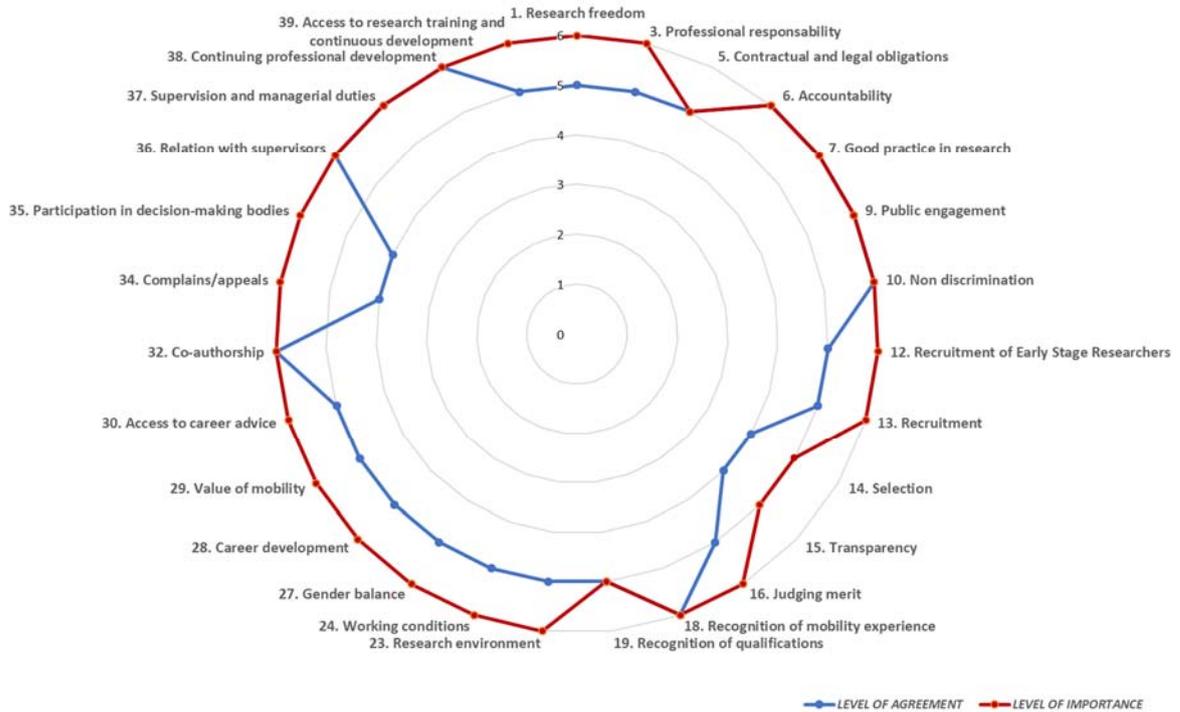
The **evaluation of each principle** was done according to their **level of agreement and importance**.

The **median has been used** to analyze the results of the survey. The median indicates the central value within the set of ordered answers and it is obtained from the values of the level of agreement and the level of importance of each principle in the survey. Thus, it is possible to know the most representative response avoiding extreme data.

In the following table, the **value of the median for each principle** is represented according to their level of agreement and importance.

PRINCIPLE	SECTION	LEVEL OF AGREEMENT	LEVEL OF IMPORTANCE
1. Research freedom	ETHICAL AND PROFESSIONAL ASPECTS	5	6
3. Professional responsibility		5	6
5. Contractual and legal obligations		5	5
6. Accountability		6	6
7. Good practice in research		6	6
9. Public engagement		6	6
10. Non discrimination	RECRUITMENT AND SELECTION	6	6
12. Recruitment of Early Stage Researchers		5	6
13. Recruitment		5	6
14. Selection		4	5
15. Transparency		4	5
16. Judging merit		5	6
18. Recognition of mobility experience	WORKING CONDITIONS AND SOCIAL SECURITY	6	6
19. Recognition of qualifications		5	5
23. Research environment		5	6
24. Working conditions		5	6
27. Gender balance		5	6
28. Career development		5	6
29. Value of mobility	TRAINING AND DEVELOPMENT	5	6
30. Access to career advice		5	6
32. Co-authorship		6	6
34. Complains/appeals		4	6
35. Participation in decision-making bodies		4	6
36. Relation with supervisors		6	6
37. Supervision and managerial duties	TRAINING AND DEVELOPMENT	6	6
38. Continuing professional development		6	6
39. Access to research training and continuous development		5	6

EVALUATION BY LEVEL OF AGREEMENT AND IMPORTANCE



Using the median values of the level of agreement and the level of importance of each principle, a **priority index (PI)** was calculated as follows:

$$\text{Priority Index (PI)} = \frac{\text{Level of importance (median value)}}{\text{Level of agreement (median value)}}$$

The PI was used to prioritize a principle with respects to any other. Only the most prioritized principles could be included in the Action Plan.

With the value resulting from the average of PIs, **the threshold was defined**. For the survey principles, it was **1,14**. Over this value, the principles were considered as priorities in the definition of the Action Plan.

The principles ordered from higher PI to lower PI obtained from the analysis were the following:

PRINCIPLE	SECTION	LEVEL OF AGREEMENT	LEVEL OF IMPORTANCE	PI
34. Complains/appeals	Working conditions and social security	4	6	1,5
35. Participation in decision-making bodies	Working conditions and social security	4	6	1,5
14. Selection	Recruitment and selection	4	5	1,25
15. Transparency	Recruitment and selection	4	5	1,25
1. Research freedom	Ethical and professional aspects	5	6	1,2
3. Professional responsibility	Ethical and professional aspects	5	6	1,2
12. Recruitment of early stage researchers	Recruitment and selection	5	6	1,2
13. Recruitment	Recruitment and selection	5	6	1,2
16. Judging merit	Recruitment and selection	5	6	1,2
23. Research environment	Working conditions and social security	5	6	1,2
24. Working conditions	Working conditions and social security	5	6	1,2
27. Gender balance	Working conditions and social security	5	6	1,2
28. Career development	Working conditions and social security	5	6	1,2
29. Value of mobility	Working conditions and social security	5	6	1,2
30. Access to career advice	Working conditions and social security	5	6	1,2
39. Access to research training and continuous development	Training and development	5	6	1,2
5. Contractual and legal obligations	Ethical and professional aspects	5	5	1
6. Accountability	Ethical and professional aspects	6	6	1
7. Good practice in research	Ethical and professional aspects	6	6	1
9. Public engagement	Ethical and professional aspects	6	6	1
10. Non discrimination	Ethical and professional aspects	6	6	1
18. Recognition of mobility experience	Recruitment and selection	6	6	1
19. Recognition of qualifications	Recruitment and selection	5	5	1
32. Co-authorship	Working conditions and social security	6	6	1
36. Relation with supervisors	Training and development	6	6	1
37. Supervision and managerial duties	Training and development	6	6	1
38. Continuing professional development	Training and development	6	6	1

## ACTION PLAN

The working group evaluated the results of the Internal GAP Analysis, considering the main aspects to work on in the Action Plan of the IrsiCaixa HRS4R. The **16 prioritized principles** were selected as **initial points for improvement**.

Thus, the Action Plan was focused in the following key aspects:

KEY ASPECTS FOR THE ACTION PLAN	
ETHICAL AND PROFESSIONAL ASPECTS	Research freedom Professional responsibility
RECRUITMENT AND SELECTION	Recruitment of early stage researchers
	Recruitment
	Selection
	Transparency
WORKING CONDITIONS AND SOCIAL SECURITY	Judging merit
	Research environment
	Working conditions
	Gender balance
	Career development
	Value of mobility
	Access to career advice
TRAINING AND DEVELOPMENT	Complains/appeals
	Participation in decision-making bodies
	Access to research training and continuous development

Specific actions will be developed to address all the gaps identified and improve the staff priorities.

## IMPLEMENTATION

As discussed above, the **working group** that has developed the Action Plan is listed below:

- Ester Ballana (PhD. Associate researcher)
- Ferran Tarrés (PhD Student)
- Julià Blanco (Principal Investigator)
- Lidia Ruiz (Lab Manager)
- Lourdes Grau (Manager Director of the Management Unit)
- M<sup>a</sup> Carmen Puertas (PhD)

The group will be involved in all phases derived from the implementation and monitoring of the HRS4R initiative in IrsiCaixa. To implement the **Action Plan**, the **following tools will be used**:

- Periodic meetings
- Analytical techniques
- Benchmarking
- Networking
- Research community approaching
- Stakeholder analyses

A **HRS4R Technical Team has been created** to carry out and monitoring the Action Plan. This team is formed by the following profiles:

- Lab Manager
- Representative of the Management Unit
- Representative of the Communication Unit

To ensure the proper monitoring and the regular overseeing of the IrsiCaixa Action Plan a **HRS4R Steering Committee** has been created. It is formed by the following members:

- Bonaventura Clotet (Scientific Director)
- Lourdes Grau (Manager Director of the Management Unit)
- Lidia Ruiz (Lab Manager)

The implementation of the Action Plan needs a **self-assessment to measure annually the KPIs** defined. The proper **annual measurement of the KPIs and the timely development of the deliverables**, guarantees an optimal self-assessment (see the schedule defined for the Action Plan).

It should be noted that the defined actions are aligned with the **Research Strategy of the institution (IrsiCaixa Strategic Plan 2018-2021)**, especially in the **recognition of the research activities** performance and in the **development of a professional career** in IrsiCaixa. Some of the defined KPIs are equivalent or related to KPIs of the institution's strategic plan, supporting the Technical Team and Steering Committee in the self-assessment of IrsiCaixa HRS4R.

ANNEXES

Survey

## Survey for Human Resources Strategy for Research Application (HRS4R)

IrsiCaixa AIDS Research Institute (IrsiCaixa)

## Opening Statement

The IrsiCaixa AIDS Research Institute (IrsiCaixa) is committed to achieve the Human Resources Strategy for Research (HRS4R) accreditation given by the European Commission (EC).

The HRS4R emerges with the aim of making the research career more attractive and intends to give all researchers in any European Union Member State the same rights and obligations, independently of the country they live in. Entities adhering to the strategy receive the recognition of HR Excellence in Research.

An important part of the HRS4R application is a throughout survey to staff, with the final objective to draft a Human Resources Strategy following the best European practices complied in the European Charter for Researchers and the Code of Conduct for the Recruitment of researchers, and your personal opinions on these issues.

The survey is completely anonymous, and it will take 20 minutes of your time. Its structure follows five sections: 1) Basic Information, 2) Ethical and Professional Aspects, 3) Recruitment and Selection, 4) Working Conditions and Social Security, and 5) Training and Development.

The questionnaire develops 27 recommended concepts from the EC and which description corresponds to that indicated in the Charter and Code.

Please fill in all the sections. Your opinions will be taken into account for the Human Resources Strategy of the Institute. The strategy will be beneficial for us all, paving the way for the attainment of the HRS4R accreditation and improving our positioning in Europe.

Please answer all the questions and add your level of agreement (from 1 to 6, where 1 is very little agreement and 6 is full agreement) and the level of priority (from 1 to 6, where 1 is very little priority and 6 is full priority).

Your opinion is very important to IrsiCaixa.

Thanks for your time!

## Basic Information

Sex:

- Male
- Female

Age:

- 18-24
- 25-34
- 35-44
- 45-54
- 55-65
- >65

Time at the center:

- 0 to 1 year
- Between 1 and 3 years
- > 3 years

Professional Category at the Center:

- Predoctoral researcher
- Postdoctoral researcher
- Clinical researcher (Medical Doctor, nurse)
- Lab Technician
- Administrative Staff

Research group:

- RETROVIROLOGY AND CLINICAL STUDIES (GREC)
- CELL VIROLOGY AND IMMUNOLOGY (VIC)
- MICROBIAL GENOMICS
  
- HOST GENETICS AND CELLULAR IMMUNITY

- HIV PATHOGENESIS
- HIV AND HCV GENETIC AND PHENOTYPIC VARIABILITY
- TISSUE VIROLOGY (VITI)
- VIRAL IMMUNE EVASION AND VACCINES (VIRIEVAC)

## Ethical and Professional Aspects

### Principle 1. Research Freedom

#### Description

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

#### Question 1

At the Institute researchers have freedom of thought and expression, and the freedom to identify methods by which problems are to be solved, all within the recognised ethical principles and practices.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

## Principle 3. Professional responsibility

### Description

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.

Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

### Question 3

The Institute ensures that all researchers practice their research in full responsibility, avoid plagiarism and ensure that delegated work is carried out responsibly.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 5. Contractual and legal obligations

### Description

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.

### Question 5

IrsiCaixa informs researchers adequately on the regulations, including IPR, from sponsors or funders, independently of the nature of contract.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 6. Accountability

### Description

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the

principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

### Question 6

IrsiCaixa promotes the principles of sound, transparent and efficient financial management from public or private bodies by involving researchers, to ensure the sustainability and promotion of health research activities.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 7. Good practice in research

### Description

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

## Question 7

IrsiCaixa makes sure that researchers always adopt safe working practices in line with national legislation including taking the necessary precaution for health and safety. Additionally, researchers at IrsiCaixa are familiar with the current national legal requirements regarding data protection and confidentiality protection.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Less	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 9. Public engagement

### Description

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

### Question 9

The Institute provides channels for researchers to disseminate their results.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 10. Non discrimination

### Description

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

### Question 10

IrsiCaixa applies the principle of non-discrimination, which prohibits discrimination based on sexual orientation, religious belief, age, disability, race, ethnicity in the area work setting and in the access to all goods and services.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Recruitment and Selection

### Principle 12. Recruitment of Early Stage Researchers

#### Description

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career.

Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

#### Question 12

IrsiCaixa ensures that both the entry and the admission standards for researchers, particularly at the beginning of their careers, are clearly specified.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 13. Recruitment

### Description

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

### Question 13

IrsiCaixa has recruitment procedures which are open, efficient, transparent, supportive and internationally comparable. Working conditions and entitlements are included in the description. The time for application is realistic.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

Haga clic aquí para escribir texto.

If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

Haga clic aquí para escribir texto.

## Principle 14. Selection

### Description

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.

### Question 14

The institute uses selection committees with diverse expertise and competences, with a gender balance, including, where applicable, members from the public and private sectors and from different disciplines.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 15. Transparency

### Description

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.

### Question 15

The institute informs about the recruitment process and the selection criteria through a public call. Once evaluated and selected, all those who have been evaluated are informed about their position and the score obtained.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 16. Judging merit

### Description

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.

This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of

publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

### Question 16

The institute takes into consideration the whole range of experience of the candidates, not only publications, but also teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

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Other Inputs and Proposals for Actions (optional):

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## Principle 18. Recognition of mobility experience

### Description

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

### Question 18

At the Institute, mobility of any kind is considered as a valuable contribution to the professional development of a researcher.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level agreement of	<input type="checkbox"/>					
Level importance of	<input type="checkbox"/>					

If you know it and/or consider it relevant, indicate the national or regional legislation or the regulation of the institution that allows or forbids the implementation of this principle

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 19. Recognition of qualifications

### Description

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal 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.

### Question 19

The institute puts enough effort into the appropriate assessment and evaluation of the academic qualifications, including informal qualifications, of all researchers, in particular within the context of international and professional mobility.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Working Conditions and Social Security

### Principle 23. Research environment

#### Description

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed.

Funders should ensure that adequate resources are provided in support of the agreed work programme.

#### Question 23

The Institute offers appropriate facilities and equipment, promotes collaboration in research networks, ensures that national or sectoral regulations concerning health and safety in research are observed, ensuring the most stimulating research or research training environment.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 24. Working conditions

### Description

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.

### Question 24

The Institute makes sure that the working conditions for researchers, including those for disabled researchers, provide the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 27. Gender balance

### Description

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.

### Question 27

At the Institute, a gender balance is fostered by guaranteeing representative gender balance at all levels of staff and as well as in the selections and evaluation committees.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 28. Career development

### Description

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.

### Question 28

The Institute provides a career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 29. Value of mobility

### Description

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.

This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

### Question 29

At the Institute, there is an overall recognition on mobility of different kinds (geographical, intersectoral, inter- and trans-disciplinary, etc.) as an asset for the researchers' career development.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 30. Access to career advice

### Description

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

### Question 30

The Institute offers career advice and job placement assistance to researchers at all stages of their careers, regardless of their contractual situation.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 32. Co-authorship

### Description

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).

## Question 32

The institute supports researchers to use co-authorship, including those at the beginning of their research careers.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle 34. Complaints/ appeals

### Description

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.

### Question 34

The Institute offers the necessary means for all staff to file complaints or to appeal, including those relating to conflicts between supervisors and researchers in the early stages of their careers. In addition, the Institute offers 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.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 35. Participation in decision-making bodies

### Description

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

### Question 35

At the institute researchers are represented in the relevant information, consultation and decision-making bodies.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Training and Development

### Principle 36. Relation with supervisors

#### Description

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative (s) so as to take full advantage of their relationship with them.

This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

#### Question 36

At the Institute, researchers in their training phase establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative (s) to take full advantage of their relationship with them.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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Other Inputs and Proposals for Actions (optional):

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## Principle 37. Supervision and managerial duties

### Description

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

### Question 37

At the Institute, senior researchers devote attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					

<b>Level of importance</b>	<input type="checkbox"/>					
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Other Inputs and Proposals for Actions (optional):

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## Principle 38. Continuing Professional Development

### Description

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

### Question 38

At the institute researchers at all career stages are free to continually improve themselves by regularly updating and expanding their skills and competences.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## Principle: 39. Access to research training and continuous development

### Description

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.

Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

### Question 39

The Institute ensures that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of their skills and competencies.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
Level of agreement	<input type="checkbox"/>					
Level of importance	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

Haga clic aquí para escribir texto.

Other Inputs and Proposals for Actions (optional):

## Principle: 40. Supervision

### Description

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.

Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

### Question 40

At the Institute the supervisors are clearly identified, and the early stage researchers can refer for the performance of their professional duties. The defined supervisors are proficient in supervising research and have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

How do you agree with the statement and what level of importance would you assign to it?

Score from 1 to 6 (1 is very little, 6 is very much)

	1 Les s	2	3	4	5	6 Full
<b>Level of agreement</b>	<input type="checkbox"/>					
<b>Level of importance</b>	<input type="checkbox"/>					

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If you know it and/or consider it relevant, indicate practices that are being carried out in this regard at the Institute

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Other Inputs and Proposals for Actions (optional):

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## **Any additional issues (optional)**

Please add any other comments.

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