

HRS4R ACTION PLAN – STATUS AND MONITORING

Actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
<p>ACTION 1. Organizing a Welcome Day for new staff recruited at IrsiCaixa:</p> <ul style="list-style-type: none"> • Reviewing a complete Welcome Pack to unify documentation of interest for new staff. • Organizing a Welcome Day to deliver the documentation to new staff. 	<p>1. Research freedom 2. Professional responsibility</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018-2023 annual review of the Welcome Pack)</p>	<p>Lab Manager</p>	<p>D 1.1: IrsiCaixa Welcome Pack revision Welcome Pack reviewed on July 2020 Next scheduled review in May 2021</p> <p>KPI 1.1: Number of Welcome Days organized 49 Welcome Days has been organized</p> <ul style="list-style-type: none"> • 2018 – 23 • 2019 – 16 • 2020 – 10 <p>KPI 1.2: Number of Welcome packs delivered 49 Welcome packs have been delivered</p> <ul style="list-style-type: none"> • 2018 – 23 • 2019 – 16 • 2020 – 10 	<p>COMPLETED</p>	<p>The Welcome Pack is reviewed at least once a year or when there are relevant changes in the content of the dossier. Additionally, there are other documents distributed to the new staff.</p> <p>IrsiCaixa organizes a Welcome Day every time new staff becomes part of the institution. If there is more than one new person that starts the stay the same week, the institution regroups to organize a single Welcome Day.</p>

<p>ACTION 2. Promoting the diffusion, compliance and commitment of regulations relating with intellectual property rights, research practices, ethics, confidentiality, data protection, etc:</p> <ul style="list-style-type: none"> • Intranet creation • Compiling the relevant regulations on the website • Communicating the information to researchers through the usual channels • Organizing training activities relating with intellectual property rights, research practices, ethics, confidentiality, data protection, safety procedures, etc. 	<p>1. Research freedom 3. Professional responsibility</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018 intranet creation) (Q4 2019-2023 annual compiling of the relevant regulations on the intranet)</p>	<p>Management Unit Lab Manager</p>	<p>D 2.1: Intranet creation</p> <p>During 2019, the structure and content of the IrsiCaixa's intranet was created.</p> <p>D 2.2: New IrsiCaixa regulation compilation on the intranet</p> <p>10 documents compiled on the intranet.</p> <p>KPI 2.1: Number of training activities organized including safety procedures</p> <p>8 internal training courses</p> <ul style="list-style-type: none"> • 2018 – 3 • 2019 – 4 • 2020 – 1 	<p>COMPLETED</p>	<p>IrsiCaixa intranet is available to all IrsiCaixa staff where they can consult the policies, regulations, procedures and other many documents that help them start and continue their activity. Relevant regulations and policies on the IrsiCaixa website and on intranet have been included.</p> <p>The IrsiCaixa intranet has been structured in 10 sections in which several documents and / or links.</p> <p>IrsiCaixa has compiled the most relevant policies and regulations and published internally on the intranet where all staff have access.</p> <p>IrsiCaixa has organized conferences/seminars where it trains personnel in different matters related to compliance, including intellectual property rights, research practices, ethics, confidentiality, data protection, occupational risk prevention, etc.</p>
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<p>ACTION 3. Defining and establishing a standard and transparent procedure to recruit and select new researchers based on the Open, Transparent and Merit-based Recruitment of Researchers Policy (corresponding to action OTMR-1):</p> <ul style="list-style-type: none"> • Appointing an internal working group in IrsiCaixa responsible for developing the new procedure. • Defining a new procedure to recruit and select, based on the acknowledgement of merits and professional career of researchers. • Publishing a version of the procedure online, both in Spanish and English. 	<p>13. Recruitment 14. Selection 15. Transparency 16. Judging merit</p>	<p>Q4 2018 IrsiCaixa OTM-procedure</p>	<p>Management Unit Scientific Director</p>	<p>D 3.1: New procedure to recruit and select based on the OTM-R policy</p> <p>Personnel Recruitment Policy approved in July 2019 and later reviewed in January 2020</p> <p>Agreement letter to approve the creation and regulation of the Personnel Selection Committee, signed by the Director in October 2018</p>	<p>COMPLETED</p>	<p>The Ethics Committee of IrsiCaixa has developed the Personnel Recruitment Policy, based on the acknowledgement of merits and professional career of researchers.</p> <p>The Scientific Director has signed an Agreement letter to approve the constitution and regulation of the Personnel Selection Committee. The document defines the composition of the Selection Committee to evaluate candidates according to the position category. It also refers to the functions and responsibility of the Selection Committee based on the Code of Conduct for the Recruitment of Research and an Open, Transparent and Merit-based Recruitment policy.</p> <p>Both the Personnel Recruitment Policy and the Selection Procedure have been published in English on the intranet and are available for all the staff.</p>
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<p>ACTION 4. Defining specific rules and explicit guidelines for recruiting early stage researchers (corresponding to action OTMR-2):</p> <ul style="list-style-type: none"> • Considering an early stage research as a transition profile, defining a maximum duration and specific objectives of such appointments. • Stablishing additional professional development opportunities for an early stage research in the context of a long-term professional career. 	<p>12. Recruitment of early stage researchers 13. Recruitment 16. Judging merit 28. Career development</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018 Guideline for recruiting early stage researchers including in IrsiCaixa OTM-R procedure)</p>	<p>Management Unit Scientific Director</p>	<p>D 4.1. Guideline for recruiting early stage researchers including in IrsiCaixa OTM-R procedure</p> <p>The Personnel Recruitment Policy was approved in July 2019 and later reviewed in January 2020. It is available on the intranet.</p> <p>KPI 4.1: Number of early stage researcher recruited</p> <ul style="list-style-type: none"> • 13 PhD Students (R1) • 16 Postdoc Researchers (R2) • 2 Emergent Leader Researchers (R3) • 2018: 15 • 2019: 9 • 2020: 7 <p>KPI 4.2: Number of early stage researchers with a postdoctoral opportunity in the institution</p> <ul style="list-style-type: none"> • 16 Postdoc Researchers (R2) • 2 Emergent Leader Researchers (R3) 	<p>IN PROGRESS</p>	<p>All researchers in early stages recruited have clearly defined their functions, which are mostly conducting a doctoral thesis or supporting scientific-technical services.</p> <p>The definition of a specific Research Career Policy of IrsiCaixa for the recognition and promotion of researchers at all stages of their career, including early stages, is currently under revision (in progress).</p>
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<p>ACTION 5. Designing and starting up a selection committee in IrsiCaixa (corresponding to action OTMR-3):</p> <ul style="list-style-type: none"> Defining clear rules concerning the composition of selection committee guaranteeing a sufficiently gender balance. Defining the functions and operations of the selection committee with clear guidelines for selection based in judging merit. Designing the members of the selection committee responsible for the selection of new staff. 	<p>14. Selection 15. Transparency 16. Judging merit 27. Gender balance</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018 Selection committee procedure and rules)</p>	<p>Management Unit Scientific Director</p>	<p>D 5.1: Selection committee procedure and rules</p> <p>Agreement letter to approve the creation and regulation of the Personnel Selection Committee, signed by the Director in October 2018.</p> <p>KPI 5.1: Number of selection processes and personal interviews with candidates in which the committee participates</p> <p>49 selection processes</p> <ul style="list-style-type: none"> 2018: 23 2019: 16 2020: 10 	<p>COMPLETED</p>	<p>The Internal Selection Committee of IrsiCaixa is made up of three members: the principal investigator, the manager and the supervisor of the laboratory. Experts or other additional members, whether internal or external to IrsiCaixa, may be assigned by the Internal Selection Committee.</p> <p>The evaluation of pre- and post-doctoral researchers and senior laboratory technicians is carried out by the Internal Selection Committee of IrsiCaixa.</p> <p>Personnel selection will be based on both the Personnel Recruitment Policy and the Personnel Recruitment and Selection Procedure.</p> <p>The Personnel Recruitment Policy establishes the criteria and procedures for hiring open, transparent and merit-based.</p> <p>IrsiCaixa is also committed to equality and diversity through the establishment of a Plan for Gender Equality and Opportunities.</p>
<p>ACTION 6. Providing an international and friendly research environment (corresponding to action OTMR-4):</p> <ul style="list-style-type: none"> Having IrsiCaixa 	<p>23. Research environment 30. Access to career device</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018 English Welcome Pack, OTM-R, etc.)</p>	<p>Lab Manager</p>	<p>D 6.1: English versions of Welcome Pack, OTM-R and other relevant documentation</p> <p>6 documents (policies, procedures and regulations) in English on the</p>	<p>IN PROGRESS</p>	<p>IrsiCaixa has compiled the most relevant policies and regulations and published internally on the intranet. Most of these documents are available in English.</p>

information to researchers available in English.				intranet and on the website. KPI 6.1: Number of foreign researchers recruited per year <ul style="list-style-type: none">• 2018: 3 foreign• 2019: 5 foreign• 2020: 1 foreign		Regarding the recruitment of personnel, it also highlights the incorporation of 11 researchers from other Spanish regions.
ACTION 7. Defining a professional career for researchers at all stages of their career: <ul style="list-style-type: none">• Defining the professional career for IrsiCaixa researchers.• Appointing mentors to provide support and guidance for researchers	28. Career development 30. Access to career device	From Q4 2018 to Q4 2023 (Q1 – Q2 2019 preparing the professional career for IrsiCaixa researchers)	Management Unit Scientific Director	D 7.1: Professional career for researchers The definition of the IrsiCaixa Research Career Policy is in progress. KPI 7.1: Number of appointed mentors <ul style="list-style-type: none">• 2018: 8• 2019: 9• 2020: 12 KPI 7.2: Number of mentees <ul style="list-style-type: none">• 2018: 51• 2019: 52• 2020: 55	IN PROGRESS	The definition of the IrsiCaixa Research Career Policy for the recognition and promotion of researchers at all stages of their career is currently under development and refers to the competencies required for both R3 and R4 researchers in supervision and mentoring of trainees and early researchers (in progress). The definition of a standard procedure to establish the figure of independent researcher profiles (R4 and R3) as mentors to provide advice and guidance for researchers in all professional categories is currently under development (in progress). The Code of Good Scientific Practices has been reviewed to include the supervision and responsibility of trainees and early researchers educational process by Principal Investigators.

<p>ACTION 8. Considering and using mobility as a favorable condition in the career development (corresponding to action OTMR-5):</p> <ul style="list-style-type: none"> Establishing parameters to recognize mobility in the career development 	<p>16. Judging merit</p> <p>28. Career development</p> <p>29. Value of mobility</p>	<p>From Q4 2018 to Q4 2023</p>	<p>Management Unit</p> <p>Scientific Director</p>	<p>KPI 8.1: Number international meetings and workshops attended</p> <ul style="list-style-type: none"> 2018: Attendance to 7 international meetings and workshops (64 conference participations) 2019: Attendance to 15 national and international meetings and workshops (45 conference participations) 2020: Attendance to 6 international meetings and workshops (13 conference participations) <p>KPI 8.2: Number of international training activities attended</p> <ul style="list-style-type: none"> 2018: 5 2019: 1 <p>KPI 8.3: Number of stays in collaborating centers</p> <ul style="list-style-type: none"> 2018: 3 2019: 2 	<p>IN PROGRESS</p>	<p>IrsiCaixa is currently developing a specific Research Career Policy for the recognition and promotion of researchers at all stages of their career, including the value of mobility activities.</p> <p>Additionally, IrsiCaixa has set up a training commission responsible for coordinating a new Internal Training Plan of the institution, which will include among its initiatives the attendance at international conferences and workshops.</p> <p>In the Code of Good Scientific Practice and in the Training Plan, one of the important points is to promote the mobility of researchers in all categories. Specifically, IrsiCaixa responds to requests for attendance to international meetings and offers financial support based on the available budget.</p>
<p>ACTION 9. Promoting strategic alliances with foreign partners to stimulate researcher mobility (corresponding to action OTMR-6):</p> <ul style="list-style-type: none"> Strengthening relationships with foreign partners. 	<p>29. Value of mobility</p>	<p>From Q4 2018 to Q4 2023</p>	<p>Management Unit</p> <p>Scientific Director</p>	<p>KPI 9.1: Number of strategic alliances with foreign partners</p> <p>105 strategic alliance in total</p> <ul style="list-style-type: none"> 2018: 72 2019: 89 2020: 92 	<p>IN PROGRESS</p>	<p>IrsiCaixa's research groups maintain a close relationship with foreign partners and research groups in the development of collaborative research projects.</p> <p>IrsiCaixa annually publishes numerous scientific papers in collaboration as a result of the</p>

<ul style="list-style-type: none"> Promoting actions for research mobility between centers. 				<p>KPI 9.2: Number of researchers in other centers</p> <ul style="list-style-type: none"> 2018: 3 2019: 2 		<p>relationship with foreign partners and research groups in the development of joint research projects. International alliances, collaborations and participation in research networks are disseminated through the scientific reports.</p> <p>In 2018 IrsiCaixa has created a network of alumni. IrsiCaixa Alumni Network (IAN) is an association that aims to build a solid connection between IrsiCaixa alumni spread all over the globe.</p>
<p>ACTION 10. Promoting internal funds or external funding opportunities to provide to researches optimal working conditions:</p> <ul style="list-style-type: none"> Establishing a specific budget for spaces, equipment and infrastructures. Promoting the participation in public or private calls for stabilization of researchers. Co-financing for recruiting or stabilizing researchers with salaries according to their career and qualification. 	<p>23. Research environment</p> <p>24. Working conditions</p>	<p>From Q4 2018 to Q4 2023 (Q4 2018-2023 specific annual budget for spaces, equipment and infrastructures)</p>	<p>Management Unit</p>	<p>D 10.1: Specific budget for spaces, equipment and infrastructures</p> <p>Annual budget for the adaptation of spaces and for the purchase and renovation of scientific equipment.</p> <p>KPI 10.1: New spaces, equipment and/or infrastructure enabled for research</p> <p>Laboratory equipment purchased (new or by renovation):</p> <ul style="list-style-type: none"> 2018: 5 2019 : 7 2020: 3 <p>Several small lab equipment purchased between 2018 and 2020.</p>	<p>COMPLETED</p>	<p>IrsiCaixa Strategic objectives include having spaces and infrastructures adapted to the needs of researchers and according with the scientific activity carried out in the Institute.</p> <p>The renovation and new equipment acquisition plan is revised annually by the Management Unit and depends on the needs detected by researchers and the Lab Manager.</p>

				<p>KPI 10.2: Number of researchers intensified or stabilized in IrsiCaixa</p> <ul style="list-style-type: none"> • 2018: 23 • 2019 : 27 • 2020: 32 <p>KPI 10.3: Number of researches recruited by co-financing</p> <ul style="list-style-type: none"> • 2018: 10 • 2019 : 15 • 2020: 12 		
<p>ACTION 11. Assuring the implementation of a complaints and appeals procedure for researchers (corresponding to action OTMR-7):</p> <ul style="list-style-type: none"> • Defining a complaints and appeals procedure for researchers. • Compiling the complaints and appeals procedure in the Welcome Pack. • Having a suggestion box on the intranet for compilation of complaints and appeals by researchers. 	34. Complaints/appeals	From Q4 2018 to Q4 2023 (Q2 2019 procedure for handling complaints and appeals)	Management Unit Lab Manager	<p>D 11.1: Procedure for handling complaints and appeals</p> <ul style="list-style-type: none"> • Communications Channel (canaldecomunicaciones@irsicaixa.es) • Labor and organizational suggestions and complaints handled by an specific working group • Labor survey to consult all the IrsiCaixa staff about working environment • Human Resources (HR) e-mail contact RRHH@irsicaixa.es • Suggestion box on the intranet 	COMPLETED	The Welcome Pack includes information on IrsiCaixa's procedures and communication channels available to compile suggestions or handle complaints.

				<p>KPI 11.1: Number of collected complaints and/or appeals</p> <p>35 communications and no complaints received</p> <p>23 Meetings of the working group on labor and organizational aspects</p> <ul style="list-style-type: none"> • 2018: 11 group meetings • 2019: 8 group meetings • 2020: 4 group meetings <p>KPI 11.2: Number of resolved complaints and/or appeals</p> <ul style="list-style-type: none"> • 35 communications resolved • 90% of the proposals, suggestions and complaints are resolved by the working group on labor and organizational aspects. 		
<p>ACTION 12. Increasing the participation of young researchers and post-doctoral positions in the internal scientific committees:</p> <ul style="list-style-type: none"> • Defining a rule procedure for the Internal Organizing Lab Committee of IrsiCaixa to guarantee the participation of young researchers and post-doctoral positions. • Procuring, as far as 	<p>27. Gender balance</p> <p>35. Participation in decision-making bodies</p>	From Q4 2018 to Q4 2023	Management Unit Scientific Director	<p>KPI 12.1: Number of young researchers and/or post-doctoral positions in the IrsiCaixa committees</p> <ul style="list-style-type: none"> • Biosafety Committee: 1 R2 • HRS4R Group: 1 R2 and 1 R1 • Equality and opportunities committee: 1 R2 • Internal Organizing Lab Committee: 6 R2-3 	IN PROGRESS	<p>IrsiCaixa has promote during this period the integration of both pre-doctoral and post-doctoral staff in several committees to ensure the participation of early stage researchers in some of the decision-making bodies.</p> <p>Currently, IrsiCaixa is pending to define and promote an Equality and Diversity Plan for gender and opportunities equality. The Equality and</p>

possible, a sufficiently gender balance in scientific committees.						Diversity Plan has among its priorities to procure sufficiently gender balance in scientific committees.
<p>ACTION 13. Improving the IrsiCaixa Training Plan to develop a research career:</p> <ul style="list-style-type: none"> Identifying of training needs according to career development. Defining a new Training Plan based on the needs identified. Improving multidisciplinary and transversal training. Promoting a training program based in non-scientific complementary skills. Recognizing of training attendance for career development merits. Communicating the Training Plan to the researchers. 	<p>28. Career development</p> <p>39. Access to research training and continuous development</p>	<p>From Q4 2018 to Q4 2023 (Q2 2019 survey and new Training Plan)</p>	<p>Management Unit</p> <p>Lab Manager</p>	<p>D 13.1: Survey asking the training needs</p> <p>The new training plan is currently under review and includes the dissemination of a specific survey to identify training needs of researchers and planning the training activities properly.</p> <p>D 13.2: New Training Plan</p> <p>The Training Plan has already been elaborated and is currently under review by the training commission.</p> <p>KPI 13.1: Number of organized training courses</p> <p>Transversal training courses in Skills to support the research career:</p> <ul style="list-style-type: none"> 2019: 11 2020: 11 <p>Internal training courses related with Safety Procedures and compliance:</p> <ul style="list-style-type: none"> 8 in total <p>KPI 13.2: Number of attendees</p> <ul style="list-style-type: none"> 2018: 49 2019: 407 	<p>IN PROGRESS</p>	<p>IrsiCaixa provides an important training offer for its researchers through magazine clubs, results meetings, among other activities.</p> <p>It has been proposed that the training commission meet twice a year to identify the training needs of researchers and plan activities.</p>

				<ul style="list-style-type: none"> 2020: 118 		
<p>ACTION 14. Defining and promoting an Equality and Diversity Plan for gender and opportunities equality:</p> <ul style="list-style-type: none"> To promote the creation of the IrsiCaixa Equality and Diversity Commission. To develop the Equality and Diversity Plan. To organize dissemination activities on gender equality, non-discrimination and equal opportunities. 	<p>10. Non discrimination</p> <p>27. Gender balance</p>	From Q4 2020 to Q4 2023	<p>Management Unit</p> <p>Lab Manager</p>	<p>D 14.1 Appointing the IrsiCaixa Equality and Diversity Commission</p> <p>Equality committee creation on May 2019</p> <p>D 14.2 Defining the Equality and Diversity Plan of IrsiCaixa</p> <p>Equality and Diversity Plan is currently under development</p> <p>KPI 14.1 Number of organized activities on gender equality, non-discrimination and equal opportunities</p> <ul style="list-style-type: none"> 2020: 1 	NEW	<p>In May 2019, the Director of IrsiCaixa declared his commitment to establishing and developing policies that integrate equal treatment and opportunities between women and men.</p> <p>IrsiCaixa also created (may 2019) an equality committee made up of 6 members (3 men and 3 women). IrsiCaixa is currently elaborated the equality and diversity plan of the institution.</p>
<p>OTM-R 8. Establishing a specific training in OTM-R:</p> <ul style="list-style-type: none"> Organizing periodic OTM-R courses for IrsiCaixa staff. 	<p>13. Recruitment</p> <p>14. Selection</p> <p>15. Transparency</p> <p>16. Judging merit</p> <p>OTM-R System (Staff involved in the process is sufficiently trained in OTM-R)</p>	From Q4 2018 to Q4 2023	<p>Management Unit</p> <p>Lab Manager</p>	<p>KPI OTM-R 8: Number of specific courses about OTM-R organized</p> <p>In Progress</p>	IN PROGRESS	<p>IrsiCaixa has pending to organize an internal meeting with all the staff to disseminate the new Personnel Recruitment Policy and the Personnel Recruitment and Selection Procedure, based on the OTMR principles.</p>
<p>OTM-R 9. Supporting in EURAXESS services to increase the visibility of the calls:</p>	<p>13. Recruitment</p> <p>14. Selection</p> <p>15. Transparency</p>	From Q4 2018 to Q4 2023	Lab Manager	<p>KPI OTM-R 9: Number of IrsiCaixa job adverts published in EURAXESS portal web</p>	COMPLETED	<p>Our job offers are published on our IrsiCaixa website, in different neighboring scientific institutions, on the EURAXESS</p>

<p>Publishing periodically the job adverts in EURAXESS portal web.</p>	<p>16. Judging merit</p> <p>OTM-R Advertising and application phase (Using EURAXESS tools to ensure the research vacancies a wider audience)</p>			<ul style="list-style-type: none"> • 2018: 7 • 2019: 8 • 2020: 5 		<p>portal web and on different social networks in order to spread our job offers.</p>
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