Institut Català
de Recerca de l'Aigua

Instituto Catalán
de Investigación del Agua

Catalan Institute
for Water Research

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ICRA

HUMAN RESOURCES EXCELLENCE IN RESEARCH

2015 - 2017

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Girona, September 2015

I. INTRODUCTION

The Catalan Institute for Water Research (ICRA) is a research center devoted to the study of water-related issues from scientific and technological perspectives. The ICRA was established in October 2006 by the Government of the Autonomous Community of Catalonia within the framework of the Research Centers Network Program (CERCA). The ICRA is a private foundation whose trustees are the Catalan government's Department of Economy and Knowledge (DECO), the University of Girona (UdG), and the Catalan Water Agency (ACA). The H2O building, the Institute's official headquarters, has housed the institute since 7 October 2009, during which time the ICRA has progressively defined its main lines of research and its internal structure.

The ICRA's lines of research are organized in three main areas, referred to as (AI) Water Resources and Ecosystems, (AII) Water Quality, and (AIII) Water Technologies and Evaluation (Table 1).

TABLE 1

AI. Resources and Ecosystems

Line 1. Analysis and modeling of hydrological and physical processes in inland water bodies, both in surface water and groundwater

Line 2. Biogeochemistry, biodiversity, structure and functioning of lacustrine ecosystems, including reservoirs

Line 3. Biogeochemistry, biodiversity, structure and functioning of river ecosystems; valuation of river ecosystems and compartments in a watershed perspective

Line 4. Management and restoration of ecosystems; watershed modeling and planning

AII. Water Quality

Line 1. Dynamics of organic pollutants in surface and ground waters, sediments, and biota

Line 2. Pollutants in drinking, treated, and reused waters

Line 3. Microbiological diversity and quality of natural and reused waters

Line 4. Ecotoxicological responses of the biota to priority and emergent pollutants

AIII. Technologies and Evaluation

Line 1. Efficient conditioning and distribution of ground or surface drinking water

Line 2. Wastewater treatment and reuse

Line 3. Modeling and control of water-based systems

Line 4. Unitary operational systems

II. ICRA HRS4R

a. Approach and applied methodology

The Human Resources Strategy for Researchers Incorporating the Charter and Code (HRS4R) is a tool supporting the systematic adoption of the Charter and Code in the ICRA's own human resources policy.

Charter and Code (C&C) refers to two European documents:
- European Charter for Researchers and
- Code of Conduct for the Recruitment of Researchers

These two documents provide means to achieve a transparent and open labor market for researchers and include general principles and requirements associated with the position, obligations and rights of researchers and their employers, as well as with the recruitment of researchers. This logo helps ICRA to distinguish itself as an attractive international employer, also, the logo will increase the institution's international visibility and ICRA will become more attractive to international researchers.

The steps of the Human Resources Strategy for Researchers have proceeded or are currently proceeding with the development of an Institutional HR Strategy and Action Plan based on the outcomes of the Gap Analysis.

According to these facts, ICRA decided to organize the procedure based on the analysis and inputs of a Human Resources Excellence in Research (HRS4R) work group and later performing fine tuning using a qualitative survey.

Main actions:
- Creation of the HRS4R Work Group
- Gathering existing legislation
- Design and implementation of a survey

Once the analysis is complete and gaps identified, ICRA develops an Action Plan to address them by following the practices outlined under each of the principles of the Charter & Code, and publishes the action plan on the ICRA website.

b. Creation of the Work Group

The process started in October 2014 when HRS4R work group was created. The internal analysis began by organizing a meeting to inform all the ICRA members about the HRS4R accreditation process and its implementation.

The Work Group was established consisting of:

PERSON PROFILE	AREA	M/F
Deputy Director	Management / Resources and Ecosystems	M
General Manager	Management	M
R&D&i Office Manager	R&D&I Office	M
Research Professor	Water Quality	F
Research Scientist	Water Quality	M
PreDoctoral Researcher	Technologies and Evaluation	F
Head of SCT	Scientific and Technical Services	F
Head of Human Resources	Human Resources	M
Personal Assistant – Admin	Management	F

There is a total of 4 women and 5 men.

c. Process Calendar

The entire process has been/will be communicated by the ICRA with the following schedule:

WHEN	TO WHOM	INFORMATION
Q4 2014	Work Group	Creation HRS4R Work Group
Q1 2015	All Staff	ICRA general information communication
Q2 2015	All Staff	ICRA general assembly and survey presentation
Q2 2015	All Staff	Survey and elaboration of Gap Analysis
Q2/Q3 2015	Work Group	Elaboration of ACTION PLAN
Q3 2015	Work Group	Applying for the HR Award

III. GAP ANALYSIS

a. Existing legislation and ICRA documentation related to the C&C

The next action by the HRS4R Work Group was to analyze the existing legislation related to the C&C principles at Spanish and autonomous community level and the ICRA documentation related to them.

This existing legislation is the framework for ICRA activities related to the C&C principles; in particular it touches on principles concerning ethical and professional aspects and working conditions and social security:

- Spanish Constitution (see related articles)
- Spanish Law on the Workers Statute (RD 1/1995)
- Spanish Law on Science, Technology and Innovation (14/2011)
- Law of the third book of the Civil Code of Catalonia on legal persons (4/2008)
- General Law of subsidies (38/2013)

- Spanish Law on Intellectual Property Rights (RD 1/1996)
- Organic Law on Personal Data Protection (15/1999) and the Royal Decree 1720/2007 developing the law
- Spanish Law on Occupational Risk Prevention (31/1995)
- Organic Law on Gender Equality (3/2007)
- Catalan Law on fiscal and financial measures that determining the legal framework for Catalan research centers (CERCA) (07/2011)

The existing ICRA documentation related to the C&C principles can be described as follows:

EXISTING DOCUMENTATION	PRINCIPLES
Internal Scientific Committee (CCI) and CERCA institution evaluation	4, 11,
ICRA internal contracting instructions	5
ICRA internal contracting instructions, supply procedures and ICRA annual audit.	6
ICRA Occupational risk documentation and personal data protection	7, 23, 24
ICRA harassment prevention protocol	10
ICRA equality plan	12, 14, 27, 28

b. Design and implementation of a survey

The internal analysis was based on the answers provided to a number of questions using indicators evaluating the level of implementation and the importance perceived with the 40 principles set out in The European Character for Researchers and in the Code of Conduct for the Recruitment of Researchers.

The questions were gathered in three areas:
- General principles and requirements applicable to researchers
- General principles and requirements applicable to employers and funders
- General principles and requirements for the code of conduct

The ICRA members taking part in the process anonymously answered these questions grouped in accordance with the three abovementioned areas. To assess the different items of the Code and Charter, we create a survey with an online application; then we sent the informative email with the link to the survey to all staff of the ICRA.

c. Survey results

The survey was anonymous and addressed to all staff; it was answered by 59 employees (79, 73%). According to the answers to the survey, the job position and gender type distribution is:

ICRA Human Resources Excellence in Research

POSITION	FEMALE	MALE	TOTAL
Research Professor	1	4	5
Research Scientist	2	5	7
PostDoc Researcher	5	3	8
PreDoc Student	8	7	15
Research Technician	8	4	12
Support/Administration	4	8	12
TOTAL	28	31	59

The principles included in the survey and the results obtained are shown in the following table. The Priority Index is the ratio between the "importance average" and the "agreement average".

PRINCIPLE	IMPLEMENTED	IMPORTANCE	PRIORITY INDEX
GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO RESEARCHERS			
01. Research freedom	4.24	4.42	1.04
02. Ethical principles	4.29	4.56	1.06
03. Professional responsibility	4.39	4.56	1.04
04. Professional attitude	4.14	4.19	1.01
05. Contractual and legal obligations	3.98	4.05	1.02
06. Accountability	4.12	4.10	1.00
07. Good practice in research	3.98	4.27	1.07
08. Dissemination, exploitation of results	4.37	4.42	1.01
09. Public engagement	3.61	4.03	1.12
10. Relation with supervisors	4.20	4.36	1.04
11. Supervision and managerial duties	4.03	4.31	1.07
12. Continuing professional development	4.02	4.20	1.05
GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO EMPLOYERS AND FUNDERS			
13. Recognition of the profession	4.36	4.08	0.94
14. Non-discrimination	4.75	4.80	1.01
15. Research environment	4.17	4.27	1.02
16. Working conditions	4.34	4.56	1.05
17. Stability and permanence of employment	3.42	4.34	1.27
18. Funding and salaries	3.49	4.22	1.21
19. Gender balance	4.34	4.12	0.95
20. Career development	3.58	4.07	1.14
21. Value of mobility	3.83	4.14	1.08
22. Access to research training and continuous	3.49	4.12	1.18
23. Access to career advice	3.54	3.75	1.06
24. Intellectual property rights	3.90	4.14	1.06
25. Co-authorship	4.08	4.22	1.03
26. Supervision	4.31	4.39	1.02
27. Teaching	3.32	3.88	1.17
28. Evaluation/ appraisal systems	3.68	3.81	1.04
29. Complaints/appeals	3.03	3.73	1.23
30. Participation in decision-making bodies	3.39	3.81	1.13

31. Recruitment	4.14	4.19	1.01
GENERAL PRINCIPLES AND REQUIREMENTS FOR THE CODE OF CONDUCT			
32. Recruitment (code)	4.29	4.34	1.01
33. Selection	4.20	4.10	0.98
34. Transparency	4.24	4.27	1.01
35. Judging merit	4.15	4.32	1.04
36. Variations in the chronological order of CVS	3.88	3.83	0.99
37. Recognition of mobility experience	4.44	4.36	0.98
38. Recognition of qualifications	4.20	4.10	0.98
39. Seniority	4.19	4.29	1.02
40. Postdoctoral appointments	3.95	4.20	1.06

As a first prioritization stage, the principles for which a low level of importance is determined are rejected.

The principles for which the importance value is lower than the mode have been determined.

The mode has been determined at a value of 4 and the principles showing an importance value below 4 have been rejected.

The result of this first prioritization filter based on importance are shown below.

FIRST FILTER FOR PRIORITIZING PRINCIPLES
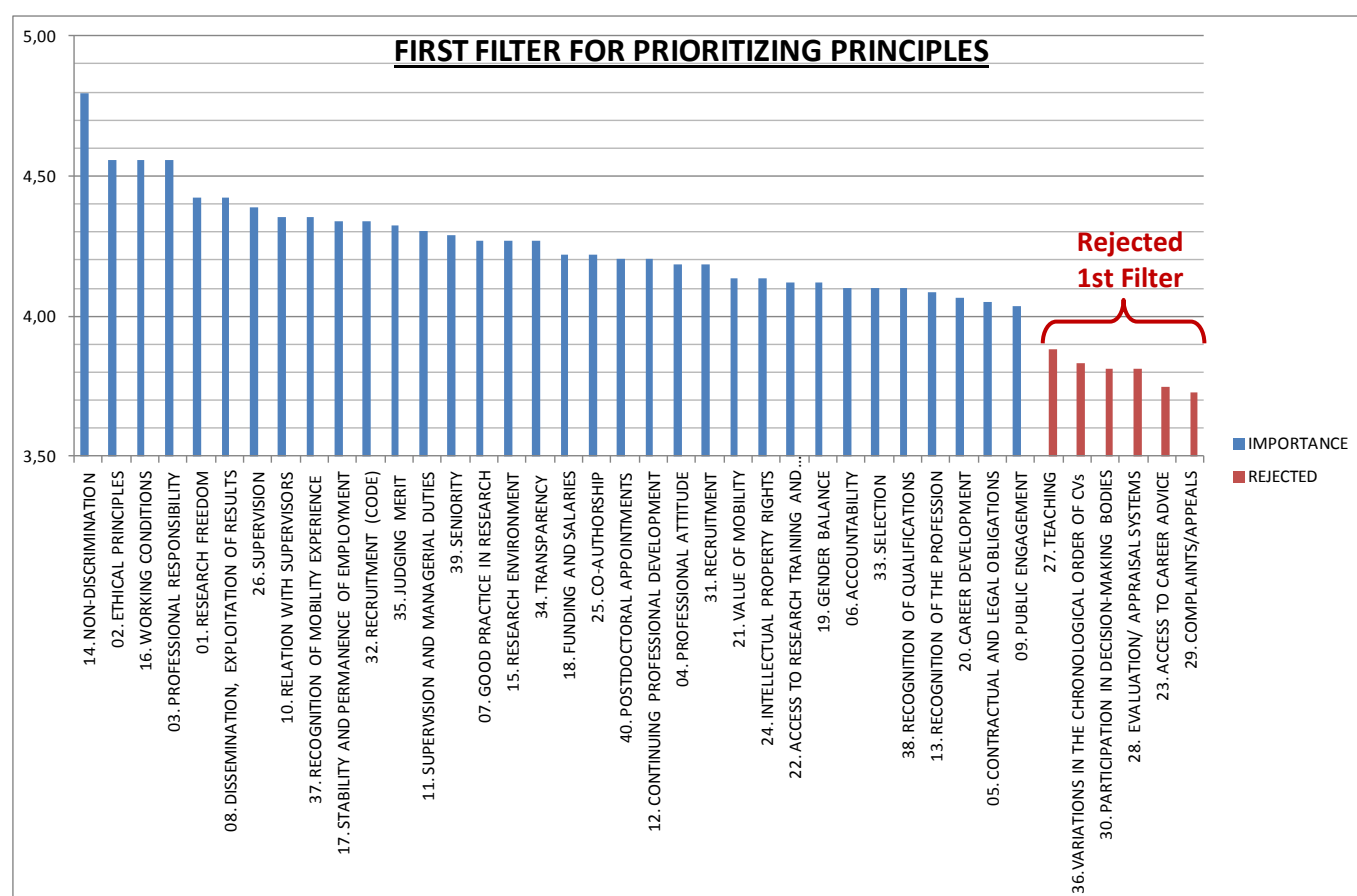
Secondly, the principles showing a high importance weighting and/or low implementation, implying a high priority index, have been selected.

The second filter for prioritizing the principles has therefore been based on the score obtained in the Priority Index (Balance between importance and implementation) In this case the principles where the Priority Index shows a value clearly above the mode have been selected: those with a PI higher than 1.10.

The result of this second prioritization filter based on the Priority Index is shown below.
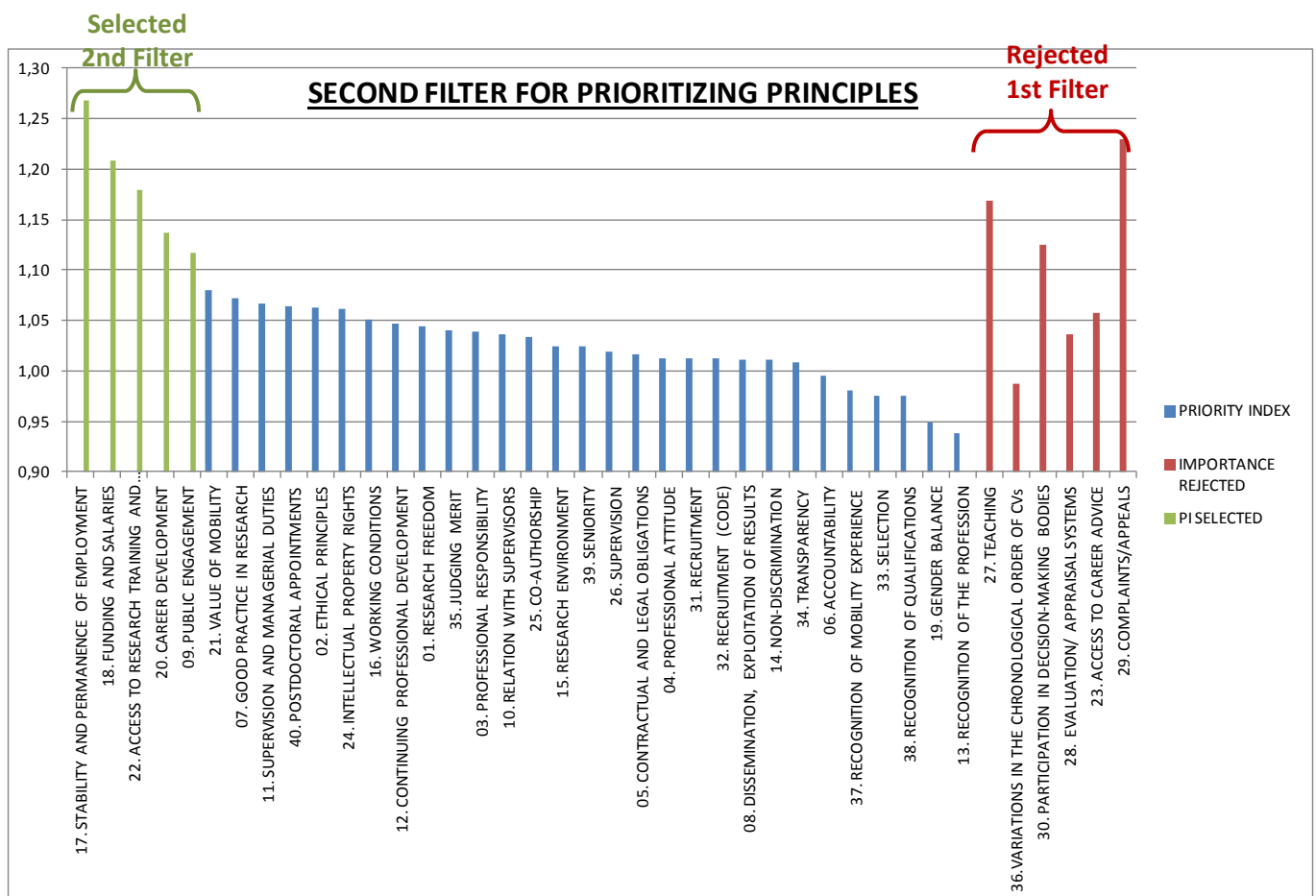
Finally, the principles not affected in the previous filters and showing implementation lower than 4 were selected.

A third filter has been applied in the prioritization of principles. In this case the criterion was lower implementation and the remaining principles (not excluded in the first filter or selected in the second) with an implementation value of less than 4 were selected.

The result of this last prioritization filter based on implementation is shown below.
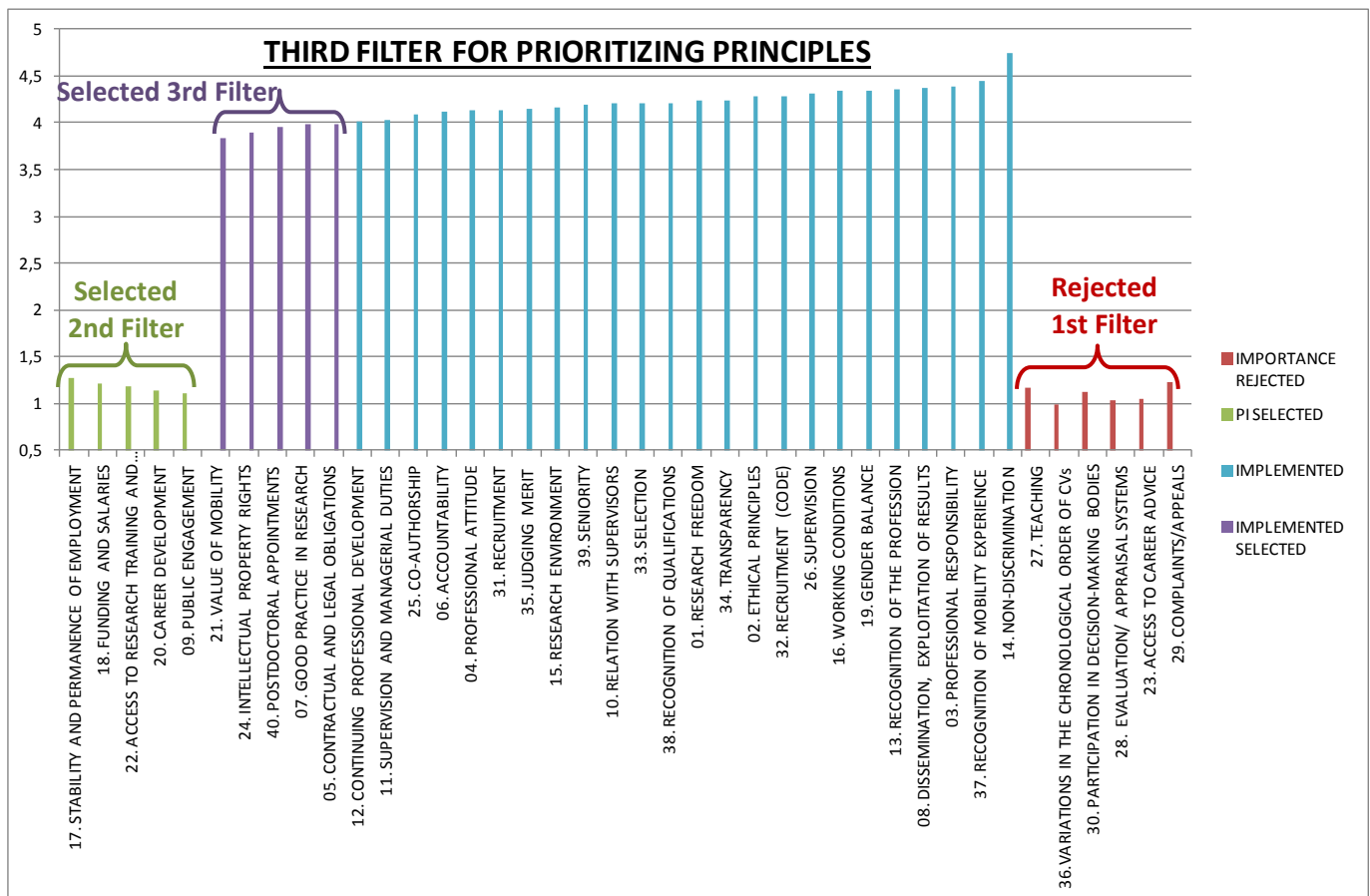
IV. CONCLUSIONS

The following table shows a summary of the 3 steps of the process carried out in order to determine the priority principles for drawing up the ACTION PLAN.

PRINCIPLES	REJECTED FIRST FILTER	SELECTED SECOND FILTER	SELECTED THIRD FILTER
01. RESEARCH FREEDOM			
02. ETHICAL PRINCIPLES			
03. PROFESSIONAL RESPONSIBILITY			
04. PROFESSIONAL ATTITUDE			
05. CONTRACTUAL AND LEGAL OBLIGATIONS			■
06. ACCOUNTABILITY			
07. GOOD PRACTICE IN RESEARCH			■
08. DISSEMINATION, EXPLOITATION OF RESULTS			
09. PUBLIC ENGAGEMENT		■	
10. RELATION WITH SUPERVISORS			
11. SUPERVISION AND MANAGERIAL DUTIES			
12. CONTINUING PROFESSIONAL DEVELOPMENT			
13. RECOGNITION OF THE PROFESSION			
14. NON-DISCRIMINATION			
15. RESEARCH ENVIRONMENT			
16. WORKING CONDITIONS			
17. STABILITY AND PERMANENCE OF EMPLOYMENT		■	
18. FUNDING AND SALARIES		■	
19. GENDER BALANCE			
20. CAREER DEVELOPMENT		■	
21. VALUE OF MOBILITY			■
22. ACCESS TO RESEARCH TRAINING AND CONTINUOUS DEVELOPMENT		■	
23. ACCESS TO CAREER ADVICE	■		
24. INTELLECTUAL PROPERTY RIGHTS			■
25. CO-AUTHORSHIP			
26. SUPERVISION			
27. TEACHING	■		
28. EVALUATION/ APPRAISAL SYSTEMS	■		
29. COMPLAINTS/APPEALS	■		
30. PARTICIPATION IN DECISION-MAKING BODIES	■		
31. RECRUITMENT			
32. RECRUITMENT (CODE)			
33. SELECTION			
34. TRANSPARENCY			
35. JUDGING MERIT			
36. VARIATIONS IN THE CHRONOLOGICAL ORDER OF CVs	■		
37. RECOGNITION OF MOBILITY EXPERIENCE			
38. RECOGNITION OF QUALIFICATIONS			
39. SENIORITY			
40. POSTDOCTORAL APPOINTMENTS			■

V. <u>ACTION PLAN</u>

The Work Group has defined the following Action Plan in accordance with the results of the Gap Analysis.

The Director and the CERCA Institution reviewed it on August 2015.

The ICRA Steering Committee approve it at its meeting held on 02/09/2015.

The members of the ICRA Steering Comittee are:
  ➢ Dr. Damià Barcelò Cullerés (Director) – Chairman
  ➢ Dr. Sergi Sabater Cortés (Deputy Director)
  ➢ Mr. Ivan Sanchez Tolosa (General Manager)
  ➢ Ms. Olga Corral Llobet (Secretary)

The HRS4R Working Group will be in charge of making the implementation of Action Plan and Self-Assessment.

The details of the ACTION PLAN can be found in Annex 1 to this document.

VI. <u>ANNEXES</u>

a. **Annex 1: ACTION PLAN (Detail Actions)**

b. **Annex 2: Creation of the Work Group**

c. **Annex 3: Internal communication**

d. **Annex 4: Survey**

e. **Annex 5: Link to ICRA website with HR Excellence in research document Containing Action Plan**

Annex 1:

<u>ACTION PLAN</u>

(Detail Actions)

PRINCIPLE	STABILITY AND PERMANENCE OF EMPLOYMENT				
17	*Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
	1. TRAINING PLAN	(1.17) State in the Training Plan that it will apply to all the personnel, both temporary and permanent.	HR	2016 Q1	Deliverable: Training Plan Document
	4. SELECTION MANUAL	(4.17) Instructions will be drawn up on Recommendations in Contractual and Continuity forms.	HR + GM	2016 Q1	Deliverable: Selection Manual Document
	7. INTELLECTUAL PROPERTY RIGHTS (IPR)	(7.17) It will be specified in the procedure that temporary staff may participate in IP exploitation rights.	HR + GM + RDI	2016 Q2	Deliverable: Intellectual Property Rights (IPR) Document
	8. STRATEGIC PLAN	(8.17) Define Tenure Track by temporary positions and implementation of Permanent Positions.	HR + GM + DIR + Trustees	2017 Q4	Deliverable: Strategic Plan Document

PRINCIPLE	FUNDING AND SALARIES				
18	*Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
	4. SELECTION MANUAL	(4.18) Verify that no process is endowed with a salary lower than that determined in the salary tables	HR + GM	2016 Q1	Deliverable: Selection Manual Document
	11. ROSTER "CHECK"	(11.18)(Once a year) Salary structure of entire ICRA's roster is reviewed by the Steering committee in order to assure coherence of each position.	HR + GM + DIR	2017 Q1	Minutes of Steering committee session

PRINCIPLE	ACCESS TO RESEARCH TRAINING AND CONTINUOUS DEVELOPMENT				
22	*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, takeup and effectiveness in improving competencies, skills and employability.*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
	1. TRAINING PLAN	(1.22) Design a training programme based on non-scientific complementary competencies	HR + GM	2016 Q4	Deliverable: Training Plan Document
	9. MENTORING	(9.22) Determine mentor links and detection of training plan needs.	HR + GM + WGHR	2017 Q2	Deliverable: Mentoring Guide Document

PRINCIPLE	CAREER DEVELOPMENT				
20	*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 arrengements*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
	1. TRAINING PLAN	(1.20) Define Annual Training Plan	HR + GM	2016 Q4	Deliverable: Training Plan Document
	9. MENTORING	(9.20) Determine mentor links for professional guidance.	HR + GM + WGHR	2017 Q2	Deliverable: Mentoring Guide Document

PUBLIC ENGAGEMENT

PRINCIPLE					
	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.				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
9	2. OPEN DOORS	(2.09) Design and organise the "Welcome Day"/Open Day, Teachers' Day	DIR + WGHR	2016 Q4	
	3. PUBLIC DISSEMINATION PLAN	(3.09) Dissemination Plan for Non-Specialist Public	DIR + WGHR	2017 Q3	Deliverable: Public Dissemination Plan Document

VALUE OF MOBILITY

PRINCIPLE					
	Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual 12 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.*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
21	5. DEFINING REGIME OF STAGES AND MOBILITY	(5.21) Define Stage Regime (research or sabbatical).	HR + GM + DIR	2016 Q2	Deliverable: Mobility Policy Document

GOOD PRACTICES IN RESEARCH

PRINCIPLE					
	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.				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
7	6. IT DATA TREATMENT PROCEDURE	(6.07) IT Data Treatment Procedure / Drafting of document.	GM + IT	2016 Q2	Deliverable: Digital Data Procedure Document

INTELLECTUAL PROPERTY RIGHTS

PRINCIPLE					
	Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. *Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.*				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
24	7. INTELLECTUAL PROPERTY RIGHTS (IPR)	(7.24) Implementation of Intellectual Property Policy.	GM + RDI	2016 Q2	Deliverable: Intellectual Property Rights (IPR) Document

POSTDOCTORAL APPOINTMENTS

PRINCIPLE					
	Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.				
	ACTION	**WORK PACKAGE**	**RESPONSIBLE**	**TIME FRAME**	**INDICATOR**
40	4. SELECTION MANUAL	(4.40) Define Tenure Track of each ICRA postdoctoral position.	HR + GM + WGHR	2016 Q4	Deliverable: Selection Manual Document

PRINCIPLE	CONTRACTUAL AND LEGAL OBLIGATIONS				
5	*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.*				
	ACTION	WORK PACKAGE	RESPONSIBLE	TIME FRAME	INDICATOR
	7. INTELLECTUAL PROPERTY RIGHTS (IPR)	(7.05) Add an intellectual property clause to employment contracts. Inform on rights and obligations.	HR	2016 Q2	Deliverable: Intellectual Property Rights (IPR) Document
	9. MENTORING	(9.05) Create a document accessible for all the personnel on employment conditions in Spain.	HR	2017 Q2	Deliverable: Instruction Document on Employment Conditions in the Spanish State

RESPONSIBLE	
DIR	DIRECTION
GM	GENERAL MANAGER
HR	HUMAN RESOURCES DEPARTMENT
RDI	RDI DEPARTMENT
IT	IT DEPARTMENT
WGHR	WORK GROUP HRS4R

Annex 2:

Creation of the Work Group

CONSTITUTION DEED OF THE "HRS4R" WORKING GROUP

In accordance with the European Researchers' Charter and the Code of Conduct for Contracting Researchers, with the aim of obtaining the "HR Excellence in Research" Accreditation, on this date the "HRS4R" Working Group of the Fundació Institut Català de Recerca de l'Aigua (ICRA, Catalan Water Institute Foundation) is constituted to implement the "Human Resources Strategy for Researchers."
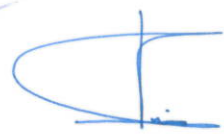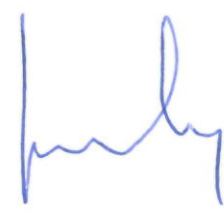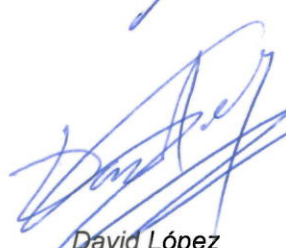
The "HRS4R" Working Group is composed of a multidisciplinary team of professionals with the initial goal of performing the "gap analysis" as the starting point for the design of the institutional strategy in Human Resources.

With the unanimous agreement of the undersigned persons as members of the group, who have been informed previously of the objective, competences, powers and functions to be performed, the "HRS4R" Working Group of the ICRA is hereby officially constituted.

COMPOSITION:

Sergi Sabater	Deputy Director	President
Ivan Sanchez	General Manager	Member
Jaume Alemany	R&D&i Office Manager	Member
Mira Petrovic	Research Professor	Member
José L. Balcazar	Research Scientist	Member
Anna Ribera	Predoctoral Student	Member
Sara Insa	Head of SCT	Member
David López	Head of Human Resources	Member
Olga Corral	Personal Assistant – Admin.	Secretary

In witness whereof, this certificate is signed in Girona on October 20th, 2014.

Sergi Sabater   Ivan Sanchez   Jaume Alemany   Mira Petrovic

José L. Balcazar   Anna Ribera   Sara Insa   David López   Olga Corral

Fundació Institut Català de Recerca de l'Aigua (ICRA) - Parc Científic i Tecnològic de la Universitat de Girona, Edifici H₂O, carrer Emili Grahit,101
E-17003 Girona – Spain   Tel. +34 972183380 fax 972183248 info@icra.cat
Núm. 2376 del Registre de Fundacions de la Generalitat de Catalunya – NIF: G17920851

Annex 3:

Internal communication

INSTITUTIONAL PROJECTS ICRA

We inform you that two major projects have been recently started at ICRA and they will be carried out at institutional level. These projects arise with the aim to improve the management of their areas of application and answering the requirements of both the European Commission and the legislation in force in each case.

These two projects are:

1. Accreditation "HR Excellence in Research"

According with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. The goals are to Improve Processes and achieve the Accreditation. ICRA and Working Group "HRS4R" will develop and implement "HRS4R" Human Resources Strategy for Researchers.
The multidisciplinary Working Group "HRS4R" is composed by nine people from different areas and groups of ICRA.

2. Equality Plan

According to the Organic Law 3/2007 of March 22th for effective equality between women and men, with the aim of establishing and developing policies that integrate equal treatment and opportunities between women and men, ICRA and the Permanent Committee on Equality will develop and implement the Equality Plan.
The Permanent Committee on Equality is a multidisciplinary team composed by 4 people from different areas and groups of ICRA. Questions or concerns on this matter can be addressed to the Permanent Committee.

Permanent Committee on Equality:

- Marta Villagrasa
- José L. Balcazar
- Olga Corral
- David Lopez

Thanks for your cooperation!

Human Resources Department

Annex 4:

Survey

THE EUROPEAN CHARTER FOR RESEARCHERS & THE CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS

This form contains 40 questions, one for each principle, subdivided in two questions: the first, Level of Implementation, and the second, Importance Perceived. Please, answer all questions.

*Obligatorio

GENDER *

○ Male

○ Female

WORK POSITION *

○ Research Professor

○ Research Scientist

○ PostDoc Researcher

○ PreDoc Student

○ Research Technician

○ Support / Administration

VINCULATION *

○ Temporary Staff

○ Permanent Staff

○ Associated

GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO RESEARCHERS

1. RESEARCH FREEDOM *

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 recognized ethical principles and practices. Researchers should, however, recognize 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 recognized ethical principles and practices, to which researchers have to adhere. LEVEL OF IMPLEMENTATION:

	0	1	2	3	4	5	
0% implemented	○	○	○	○	○	○	100% implemented

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Importance perceived

0   1   2   3   4   5

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2. ETHICAL PRINCIPLES *

Researchers should adhere to the recognized ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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3. PROFESSIONAL RESPONSIBILITY *

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. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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4. PROFESSIONAL ATTITUDE *

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason. LEVEL OF IMPLEMENTATION:

0   1   2   3   4   5

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Importance perceived

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5. CONTRACTUAL AND LEGAL OBLIGATIONS *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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6. ACCOUNTABILITY *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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7. GOOD PRACTICE IN RESEARCH *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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8. DISSEMINATION, EXPLOITATION OF RESULTS *

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results 48 are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises. LEVEL OF IMPLEMENTATION:

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Importance perceived

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9. PUBLIC ENGAGEMENT *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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10. RELATION WITH SUPERVISORS *

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 bymeans of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs. LEVEL OF IMPLEMENTATION:

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Importance perceived

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11. SUPERVISION AND MANAGERIAL DUTIES *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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12. CONTINUING PROFESSIONAL DEVELOPMENT *

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

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Importance perceived

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GENERAL PRINCIPLES AND REQUIREMENTS APPLICABLE TO EMPLOYERS AND FUNDERS

13. RECOGNITION OF THE PROFESSION *

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants). LEVEL OF IMPLEMENTATION:

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Importance perceived

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14. NON-DISCRIMINATION *

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. LEVEL OF IMPLEMENTATION:

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0% implemented ⚪ ⚪ ⚪ ⚪ ⚪ ⚪ 100% implemented

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Importance perceived

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15. RESEARCH ENVIRONMENT *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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16. WORKING CONDITIONS *

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements. LEVEL OF IMPLEMENTATION:

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Importance perceived

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17. STABILITY AND PERMANENCE OF EMPLOYMENT *

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work. LEVEL OF IMPLEMENTATION:

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Importance perceived

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18. FUNDING AND SALARIES *

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities. LEVEL OF IMPLEMENTATION:

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Importance perceived

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19. GENDER BALANCE *

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. LEVEL OF IMPLEMENTATION:

0   1   2   3   4   5

0% implemented ◯ ◯ ◯ ◯ ◯ ◯ 100% implemented

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Importance perceived

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20. CAREER DEVELOPMENT *

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 arrengements. LEVEL OF IMPLEMENTATION:

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Importance perceived

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21. VALUE OF MOBILITY *

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual 12 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. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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22. ACCESS TO RESEARCH TRAINING AND CONTINUOUS DEVELOPMENT *

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, takeup and effectiveness in improving competencies, skills and employability. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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23. ACCESS TO CAREER ADVICE *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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24. INTELLECTUAL PROPERTY RIGHTS *

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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25. CO-AUTHORSHIP *

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). LEVEL OF IMPLEMENTATION:

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Importance perceived

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26. SUPERVISION *

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. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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27. TEACHING *

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers. LEVEL OF IMPLEMENTATION:

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Importance perceived

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28. EVALUATION/ APPRAISAL SYSTEMS *

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior reserachers, preferably international) committee. LEVEL OF IMPLEMENTATION:

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Importance perceived

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29. COMPLAINTS/APPEALS *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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30. PARTICIPATION IN DECISION-MAKING BODIES *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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31. RECRUITMENT *

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at there careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) 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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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GENERAL PRINCIPLES AND REQUIREMENTS FOR THE CODE OF CONDUCT

32. RECRUITMENT (CODE) *

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 specialized 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. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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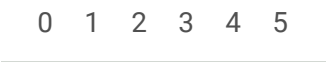
33. SELECTION *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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34. TRANSPARENCY *

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. LEVEL OF IMPLEMENTATION:

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0% implemented ○ ○ ○ ○ ○ ○ 100% implemented

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Importance perceived

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35. JUDGING MERIT *

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. LEVEL OF IMPLEMENTATION:

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Importance perceived

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36.VARIATIONS IN THE CHRONOLOGICAL ORDER OF CVs *

Career breaks or variations in the chronological order of CV's should not be penalized, but regarded as an evolution of career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CV's, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made. LEVEL OF IMPLEMENTATION:

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Importance perceived

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37. RECOGNITION OF MOBILITY EXPERIENCE *

Any mobility experience, e.g. 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 researcher career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher. LEVEL OF IMPLEMENTATION:

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Importance perceived

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38. RECOGNITION OF QUALIFICATIONS *

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels. LEVEL OF IMPLEMENTATION:

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Importance perceived

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39. SENIORITY *

The levels of qualifications required should be in line with the needs of the position and not be set as a

barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised. LEVEL OF IMPLEMENTATION:

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Importance perceived

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40. POSTDOCTORAL APPOINTMENTS *

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects. LEVEL OF IMPLEMENTATION:

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Importance perceived

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Annex 5:

Link to ICRA website with HR Excellence in research document Containing Action Plan

VISIT:

www.icra.cat

ICRA Action Plan 2015-2017

http://www.icra.cat/files/ckeditor/ICRA%20ACTION%20PLAN%202015_2017.pdf