

## TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: Ref. Ares(2018)500972

Name Organisation under review: INSTITUT D'INVESTIGACIÓ I INNOVACIÓ PARC TAULÍ

Organisation's contact details: Gloria Palomar. Management Director. gpalomar@tauli.cat

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DATE ENDORSEMENT CHARTER AND CODE: JULY 2017

### **GAP ANALYSIS**

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	Implementation: ++ = <b>fully</b> implemented +/- = <b>almost but not fully</b> implemented -/+ = <b>partially</b> implemented -- = <b>insufficiently</b> implemented	In case of --, -/+, or +/-, please <b>indicate the actual "gap"</b> between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	+/-	I3PT research staff have the ability to freely investigate in line with the objectives set by:  - Strategic Plan based on the main challenges of Horizon 2020 - Cooperative Scientific Plan - R & D + i policy - Internal Intellectual Property Regulations - Code of Good Practice in Technology Transfer - Accredited courses of Good Clinical Practice - Code of Good Scientific Practice - Research Ethics Committee (CEI) -The Institutional Committee for Research and Innovation (CIRI) - External Advisory Committee (CAC) -The regional, state and European regulations.  Although all of these regulations and documents are available on the intranet, at the	The I3PT plans:  -To search for alternative methods to the one established for the dissemination of the mentioned regulations and I3PT documentation in order to guarantee that researchers knows their content.  - To develop and implement the RRI policy that is part of the 2020 objectives and the Strategic Plan that is being developed.  - To request evaluation to obtain CERCA accreditation.  - To become an ISCII accredited institute.  -To establish a clear patronage strategy that would solve the current need to obtain private funds to finance research.

		<p>moment we have no way of ensuring that the entire research community access these in order to be aware of and acknowledge the content.</p> <p>The fact that our Institute is not certified by the Institute of Health Carlos III (ISCIII) or as a “Centre de Recerca de Catalunya” by the CERCA Institution limits us when it comes to obtaining subsidies or being able to access certain calls for funding, which in some way limits the freedom of research since not all projects proposed within the framework of our institution can be carried out.</p> <p>There is increasing talk of the need to pour private money into research funding with stable patronage programs to ensure the future viability of research institutions and the ends they pursue. The funding agencies tend to co-finance part of the research but not the whole, and therefore the attainment of private funds is essential to sustain the Institute. In this sense, the I3PT lacks a clear patronage strategy.</p>	
2. Ethical principles	+/-	<p>The I3PT has different regulations, documents and Committees that ensure compliance with ethical principles in research:</p> <ul style="list-style-type: none"> <li>- Code of Good Scientific Practice</li> <li>- Research staff manual</li> <li>- Guide to Good Clinical Practice</li> <li>- Internal Intellectual Property Regulations</li> <li>- Code of Good Practice in Technology Transfer</li> <li>- Cooperative Scientific Plan</li> </ul>	<p>The I3PT also has a specific <b>Training Plan</b> to foster research and innovation, where the following courses are included:</p> <ul style="list-style-type: none"> <li>- Good Clinical Practice to all Researchers</li> <li>- Data Protection Regulation</li> </ul> <p>The I3PT expects:</p> <ul style="list-style-type: none"> <li>-To implement more intensive training in RRI.</li> </ul>

		<ul style="list-style-type: none"> <li>- Strategic Plan based on the main challenges of Horizon 2020</li> <li>- Research Ethics Committee (CEI)</li> <li>- The Institutional Committee for Research and Innovation (CIRI)</li> <li>- External Advisory Committee (CAC)</li> </ul> <p>Despite having all these tools, the I3PT does not currently have a method guaranteeing that the entire community of researchers is aware of them and acknowledges their content</p>	<p>-To develop a method to for wider diffusion and make it easier for researchers to access such training.</p>
3. Professional responsibility	+/-	<p>The I3PT has a <b>Research Ethics Committee (CEI)</b> the aim of which is ensuring the relevance of the studies based on the existing evidence on the subject, as provided by the researcher. Thus, the CEI ensures verifies and confirms that the study complies with the ethical aspects, it has not been anticipated and that it complies with the Code of Good Scientific Practice of the Institution.</p> <p>The current Intellectual Property Regulation of the Institution is not clear enough in this regard.</p> <p>The Institution has established a monitoring and control system for the publications arising from the I3PT.</p> <p>To this purpose, the institution has established an alert system (monitoring system) by means of which every Monday PubMed sends the Library manager an email with the registration of the articles that have been uploaded the prior week to that platform and which are signed by authors belonging to</p>	<p>To ensure transparency of internally promoted research studies, researchers are informed about the possibility of registering the study in international databases, mainly on <a href="http://www.clinicaltrials.gov">www.clinicaltrials.gov</a>, and providing the necessary support for registration.</p> <p>After having conducted the research study the Institute provides support to the researchers to disseminate the results obtained, favouring the publications with a high impact factor with peer review, which typically require having complied with the ethical standards of the <i>Uniform Requirements for Manuscripts Submitted to Biomedical Journal</i> (Vancouver).</p> <p>The I3PT has recently implemented a new internal regulation on the protection and commercial exploitation of the results yielded from research and innovation activities within the scope of the I3PT, which grants researchers and innovators specific rights with regards to authorship and intellectual and/or industrial property, as well as the entitlement to royalties, if any.</p>

		<p>the I3PT. The same applies with the Web of Science and on a couple of other platforms.</p> <p>In addition, once a year the Library manager extracts all publications arising from the I3PT during the previous year to analyze the results (impact factor, quartiles, journals where our institution publishes the most, I3PT researchers who publish the most, publication on access open, etc ...).</p> <p>On the other hand, there is no way to control and ensure that I3PT researchers who are also attached to other institutions always sign their publications as I3PT professionals, which implies that we are not able to include these works in our yearly indicators of scientific production.</p>	<p>The I3PT should:</p> <p>-implement a dissemination plan that establishes a procedure for periodically sending emails (every 3 or 6 months) to the research community of our institution to remind them that whenever they make a publication, they must sign as members of the I3PT, among others if the case.</p>
4. Professional attitude	+/-	<p>The researchers have been continuously informed of all the plans carried out by I3PT (available on intranet):</p> <ul style="list-style-type: none"> <li>- <b>Strategic Plan</b></li> <li>- <b>Cooperative Scientific Plan</b></li> <li>- <b>Integration Plan</b></li> <li>- <b>Emerging Groups Support Plan</b></li> </ul> <p>To what competitive projects regards, the Project Unit is responsible for disseminating the different calls to researchers, as well as supporting them in the submission of proposals. Once a project has been granted, the Unit is responsible for the monitoring of the project's technical and economic aspects, informing, where necessary, the funding agency of any variation in this regard.</p>	<p>For the past 20 years, the I3PT has been annually awarding scholarships to internally promoted research and innovation projects. This last year the scholarships bases have been modified to allow for a better monitoring and follow-up of the projects through annual reports and the review of deviations.</p> <p>In addition, each time a competitive project is awarded, the project unit meets with the researcher to explain the technical and economic conditions for the competitive funding (dates of economic and technical justifications) and aspects to take into account of what can and cannot be financed with the funding.</p>

		<p>The reality is that, despite the existing means, researchers are not always aware of their responsibility for the provision of the necessary data to justify their projects on a technical and economic level.</p>	<p>In the case of the Carlos III research projects, we have made a document with aspects to take into account about the project's expenses.</p>
5. Contractual and legal obligations	-/+	<p>The researcher is informed about the training and work standards, and I3PT has elaborated various documents for this purpose, which are a must-read (available on intranet):</p> <ul style="list-style-type: none"> <li>- Welcome Manual for New Employees</li> <li>- Researcher's Guide</li> <li>- R&amp;D+i Training Plan</li> <li>- Internal Intellectual Property Rules</li> <li>- Code of Good Scientific Practice</li> <li>- Code of Good Practices in Technology Transfer</li> </ul> <p>Although all of these regulations and documents are available on the intranet, by the moment we have no way of ensuring that the entire research community accesses these and is aware and acknowledges their content</p> <p>The I3PT lacks a Collective Labour (or bargaining) Agreement which is adapted to the specific characteristics of the Institute's staff and which sets the basis for the successful development of a professional career within the I3PT.</p>	<p>A proposal for an I3PT Collective Labour (or bargaining) Agreement has been presented to the Health Department of the "Generalitat de Catalunya" (Government of the Autonomous Region of Catalonia) for approval and application in the I3PT, it is currently under review.</p> <p>Once the I3PT Collective Labour (or bargaining) Agreement is approved, the I3PT commits to implement a Career Assessment Procedure.</p> <p>Suggested improvements could be:</p> <ul style="list-style-type: none"> <li>-To search for the most effective method of dissemination of Regulations and I3PT documents that guarantees maximum impact on researchers.</li> <li>-To offer specific training in these subjects.</li> </ul>
6. Accountability	+	<p>The Project Unit and Administration Unit provide support to researchers for their accountability to the public funding agents, according to the deadlines required by each call.</p>	<p>I3PT annually awards research and innovation grants, in which its bases have been modified to have greater control over the status of the projects carried out. Proactively, economic monitoring is done from the Administration Unit.</p>

		<p>The I3PT complies with the regulations established by the <b>transparency and good governance law</b> (Law 19/2013) dated December 9, 2013 of the Government of Spain that develops the Directive of the European Union 2013/50/UE.</p> <p>It performs an active and passive advertising of the statutes, salaries and audits, and maintains an analytical accounting of research and innovation projects. This accounting is audited every year by an independent entity.</p>	
7. Good practice in research	+	<p>The I3PT makes a <b>Code of Good Scientific Practice</b> and a <b>prevention of occupational risks</b> document available to researchers</p> <p>The institute, since 2012, conducts accredited courses of Good Clinical Practice to all researchers. This course places special emphasis on ethical and legal standards related to research.</p> <p>The entity is inscribed in the <b>Type Code</b> of the <i>Unió Catalana d'Hospitals</i> since 31/03/2008. This entity conducts an audit twice a year to ensure compliance of the Data Protection legislation.</p> <p>On behalf of the Institution, the CCSPT established the <b>"Data Protection Follow-Up Committee"</b> on 28 April 2008, for all the entities that form the I3PT, to ensure compliance with the legislation in terms of data protection and confidentiality.</p>	Specific training has been offered on the most relevant aspects of the New Data Protection Law.

		<p>The Committee is currently adapting to the new European regulations.</p> <p>The I3PT has informed the Spanish Data Protection Agency of the creation of different databases containing personal data of researchers, and corresponding to each department of the Institution, which are Human Resources, Administration and Accounting (all these grouped up with the Consorci Corporació Sanitària Parc Taulí), Clinical Research and Biobank.</p> <p>All the databases registered with the competent data protection authorities have their respective Security Documents.</p> <p>The IT Service makes backup copies on a different tape every day, from Monday to Friday. Weekly copies are made on Friday and then saved in the safe at the Hospital de Sabadell. The copy made on the last Friday of every month is stored outside the premises.</p>	
8. Dissemination, exploitation of results	+/-	<p>It is advisable to publish the results in the code of good scientific practice of the Institute, and there is information about it in the document. On the other hand, the researchers have to present a final report of the study, which can be a publication, conference abstract, ad hoc final report, etc., but it is not disseminated.</p> <p>There is currently no means to guarantee that all I3PT research results will be disseminated and exploited.</p>	<p>Suggestions for improvement:</p> <p>-To design an effective method to make the research community aware of the importance of disseminating and exploiting the results of their research.</p>



<p>9. Public engagement</p>	<p>+/-</p>	<p>The I3PT is committed to pursue the general interest as evidenced in its <b>Strategic Plan</b>, which focuses efforts on the main challenges of society (H2020), prioritizing research relating to ageing, precision medicine, highly-prevalent and expensive pathologies, and rare diseases.</p> <p>It also prioritises the compliance with state and regional R&amp;D+i Policies, such as the RIS3CAT Strategy, the Catalonian Health Plan and the <i>Pla Estratègic de Recerca i Innovació en Salut</i> (PERIS).</p> <p>The Institute aims to communicate its results and to this purpose it has identified its target audience and elaborated a calendar of events to communicate its activities and results:</p> <ul style="list-style-type: none"> <li>- Appearances in the media: Radio Sabadell.</li> <li>- Presentations of the results to sponsoring entities of the Marató TV3.</li> <li>- Organization of seminars to present the results and participating in themed seminars for such purpose.</li> <li>- Collaboration with local entities in the organisation of events to disseminate the research developed in the I3PT</li> <li>- <i>Nit de la Ciència</i>. Annual thematic seminar opens to all citizens.</li> </ul> <p>Even so, it has been observed that the I3PT Communication Plan is not totally effective since some results that emerge from our institution as well as activities with relevance to society and the research community are not disclosed.</p>	<p>Work is being done to reach a greater number of the population through Social Networks, since the informative impact it has on the population is much greater.</p> <p>Suggestions for improvement:</p> <ul style="list-style-type: none"> <li>-To Review the Communication Plan</li> <li>-To establish a Crowdfunding Program for the research and innovation projects of the Institution.</li> </ul>
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10. Non discrimination	+	<p>The I3PT has an equal opportunities plan that guarantees the non-discrimination among all its professionals (available on intranet and website). It also has a protocol to prevent sexual harassment and the non-sexist language protocol available on intranet.</p> <p>Publicity has been given and dissemination meetings have been held with staff.</p>	<p>The institute, following the recommendations of the Committee for Equality and in compliance with the Equality Plan, is working to ensure that representation in the governing committee and advisory committee is equitable.</p>
11. Evaluation/ appraisal systems	-/+	<p>The assessment of the <b>development of healthcare professionals in their professional career</b> includes teaching and research activities carried out, among others.</p> <p>Expert researchers may tutor junior staff, according to the Code of Good Scientific Practice. Since it is a university hospital, professionals are in many occasions responsible for the tutoring of trainees or junior staff.</p> <p>The process of evaluating the development of a professional career within the I3PT has not been designed, since the I3PT Collective Labour Agreement is not yet in force.</p>	<p>A proposal for a Collective Labour (or bargaining) Agreement has been presented to the Health Department of the "Generalitat de Catalunya" (Government of the Autonomous Region of Catalonia) for approval and application in the I3PT, it is currently under review.</p> <p>Once the I3PT Collective Labour (or bargaining) Agreement is approved, the I3PT agrees to implement a Career Assessment Procedure.</p> <p>A working group has been created to define a professional career at the I3PT.</p> <p>The following improvements are suggested:</p>

		<p>Regarding the assessment of the indicators for each research group, it is required to follow the procedure stipulated in the Cooperative Scientific Plan, available to all researchers.</p> <p>The I3PT lacks a Collective Labour (or bargaining) Agreement which is adapted to the specific characteristics of the Institute's staff and which sets the basis for the successful development of a professional career within the I3PT</p>	<ul style="list-style-type: none"> <li>- To define the professional career of the I3PT</li> <li>-To implement the I3PT Professional Career</li> <li>-To establish a Committee for the evaluation and assessment of the professional career of I3PT staff on a regular basis.</li> <li>-To review the Cooperative Scientific Plan.</li> <li>- Each research group should present its strategic plan (3 year or annual view) with clear objectives and lines of action.</li> <li>-To increase the involvement of the CIRI in this area, for this it will be necessary to reform this committee structurally and functionally, in order to increase its potential.</li> </ul>
<b>Recruitment and Selection</b>			
12. Recruitment	+	<p>Recruitment is based on merits and takes into account equality concerns</p> <p>Researchers that join the I3PT are given access to the <b>Welcome Manual for New Employees</b> and training material in <b>Good Scientific Practices, in order to inform them of regulations</b> applicable to research at the Institute.</p> <p>The Institute is based on a clinical research model. It recruits doctors that dedicate part of their day to research to improve and seek</p>	

		<p>solutions to their patients' medical problems. Their potential and professional career are taken into account in the recruitment phase.</p>	
13. Recruitment (Code)	+/-	<p>Recruitment processes are open and posted on the Institution's website and Euraxess portal. Sometimes they are also posted on different websites targeting professionals that adjust to the profile of the position offered.</p> <p>The academic requirements, as well as the minimum skills required for the job, are detailed in the offer.</p> <p>The term between the announcement of the vacancy and the response time is normally 15 days, but it always depends on the needs of each position offered.</p> <p>The institution has a staffing, selection, recruitment and internal promotion code.</p> <p>To make the recruitment process more transparent the institute has prepared a Selection Manual with an objective evaluation of the candidate staff.</p> <p>In each call, the interview and the merits are scored.</p>	<p>Suggestions for improvement:</p> <ul style="list-style-type: none"> <li>-To modify the System for publishing offers on the I3PT website so that it is clearer and more visual and easier to update.</li> <li>-To modify the I3PT "Job Offer" template so that it considers all relevant aspects as, for example, the scale of the merits to be valued.</li> <li>-To guarantee publication of all offers (including those for specific reinforcements).</li> <li>-To increase the number of national and international scientific job websites where to publish open calls for recruitment of researchers.</li> </ul>
14. Selection (Code)	+	<p>Recruitment tribunals are created for each job call recruitment processes consist of a personal interview and a psychometric test, the latter only if considered necessary for the position offered.</p>	<p>Suggestions for improvement:</p> <ul style="list-style-type: none"> <li>-To include the selection committee in the published offers</li> </ul>

			-To include in the selection committee, as far as possible, an external member from another sector and an international agent.
15. Transparency (Code)	+/-	<p>In personal interviews, candidates are informed of the hiring process and the selection criteria, the number of available positions and the prospects for career development (at this moment we inform about the non-existence of a professional career and what is being worked on for it)</p> <p>In each call, the interview and the merits are scored.</p> <p>The Selection Manual is available on the institute's website.</p> <p>All candidates are informed whether they have been selected or discarded by mail; but they receive no comment on the strengths and weaknesses of their candidature. Only some comment is made about it in personal interviews.</p>	<p>In order to improve in this aspect the I3PT proposes:</p> <p>-to include in the selection procedure the sending of a personalized feedback by email after each selection process is made of, where the strengths and weaknesses of each candidate are collected. One mail per candidate.</p>
16. Judging merit (Code)	+/-	<p>In each call, the interview and the merits are scored with a template for a correct qualitative and quantitative evaluation. Merits assessment is made based on, amongst others, bibliometric indices, teaching experience, supervisory tasks developed, teamwork, knowledge transfer, research and innovation management, engagement in public awareness activities and patent (or similar) authorship.</p>	<p>In the initial phase, a proper evaluation of the merits is made, but the I3PT Collective Labour (or bargaining) Agreement must ensure that these merits are reflected in the development of the professional career within the I3PT.</p> <p>To work on the approval and implementation of the I3PT Collective Labour (or bargaining) Agreement, since although the merits are judged adequately, these are not always remunerated as deserved.</p> <p>The I3PT plans:</p>

			-To include in the calls for jobs how the merits will be valued.
17. Variations in the chronological order of CVs (Code)	+	CV share assessed as per the qualifications the candidate has for the position offered and the chronology of the achievements will not be taken into account.	
18. Recognition of mobility experience (Code)	+/-	The I3PT values very positively and deems enriching that the researcher has stayed in other countries, regions or in other research contexts to acquire or reinforce their knowledge. During 2009 to 2015, researchers were awarded grants to go abroad, who brought back and shared the knowledge they had acquired.	<p>The I3PT is already working:</p> <ul style="list-style-type: none"> <li>-To approve the Collective Labour (or bargaining) Agreement, in order to offer more competitive salaries and attract more international talent.</li> <li>-To improve the infrastructure with a Functional Plan for a new building, and thus make a more attractive Institution.</li> <li>-To improve the impact of the result in the Institute by improving the impact of communication.</li> <li>-To positively value and promote mobility in the definition of a professional career at the I3PT.</li> </ul>
19. Recognition of qualifications (Code)	+/-	<p>The I3PT has a Recruitment Manual.</p> <p>In each call, the interview and the merits are scored with a template for a correct qualitative and quantitative evaluation. Merits assessment is made based on, amongst others, bibliometric indices, teaching experience, supervisory tasks developed, teamwork, knowledge transfer, research and innovation management, engagement in public awareness activities and patent (or similar) authorship.</p>	<p>A curricular manager is also expected to be implemented in the I3PT in the mid-term that will permit being more aware of the qualifications obtained by the professionals.</p> <p>It is necessary to create foreign qualification homologation procedure.</p>

		There is a limitation that non-national degrees must be homologated in order to work at the I3PT	
20. Seniority (Code)	+	At I3PT, the minimum education and skills required for the position are evaluated, but the additional qualifications that the researcher may have are also valued positively.	
21. Postdoctoral appointments (Code)	-	In the applicable labour regulations, the figure of postdoc is not contemplated, although I3PT contracts post docs under the category titled Higher Degree I. A new Collective Labour (or bargaining) Agreement is being negotiated, which will contemplate these figures, adapting them to the different modalities, to adapt it to the reality of the centre.	<p>Work is underway to develop an own Collective Labour (or bargaining) Agreement that reflects the reality of the centre. Currently the Collective Labour (or bargaining) Agreement proposal has been sent to the department of Health (Generalitat de Catalunya) (Government of the Autonomous Region of Catalonia) for approval, but the institute is awaiting a response in this regard.</p> <p>Suggestions for improvement:</p> <p>-To promote the recruitment of the postdoctoral profile in the I3PT research groups by reviewing the group's objectives and applying it to specific calls.</p>
<b>Working Conditions and Social Security</b>			
22. Recognition of the profession	-/+	<p>The I3PT has a large staff that includes the following professional categories:</p> <ul style="list-style-type: none"> <li>- Research staff, with a labor relationship with any of the institutions that are part of the I3PT and integrated into the research groups of the Institute.</li> <li>- Research support staff: technical support staff, including data administrators, data</li> </ul>	<p>Our Institution encourages the researcher to develop their professional careers, but currently, it cannot be recognized financially.</p> <p>Work is underway to develop an own Collective Labour (or bargaining) Agreement that reflects the reality of the centre. Currently the I3PT Collective Labour (or bargaining) Agreement proposal has been sent to the department of Health (Generalitat</p>

		<p>collectors and laboratory technicians, among others.</p> <ul style="list-style-type: none"> <li>- R&amp;D+i management staff: staff of the Fundació Parc Taulí (managing entity of the Institute), in charge of supporting research and innovation at the I3PT, carrying out the administrative and accounting management of all projects, project management and technology and knowledge transfer activities, amongst others.</li> </ul>	<p>de Catalunya) for approval, but the institute is awaiting a response in this regard.</p> <p>Once the I3PT Collective Labour (or bargaining) Agreement by the Generalitat (Government of the Autonomous Region of Catalonia), work will be done to implement the definition of the I3PT professional career that is being drawn up so that it is appropriate to the work carried out by our professionals, since the activity carried out by them is not reflected at present.</p>
23. Research environment	+	<p>The I3PT offers <b>Common Support Services</b> to researchers for the execution of research projects:</p> <ul style="list-style-type: none"> <li>- Scientific Technical Unit</li> <li>- Digital Medical Imaging Centre</li> <li>- Simulation Lab</li> <li>- 3D Laboratory</li> <li>- Clinical Trials Unit</li> <li>- Library</li> <li>- Shared Care Areas</li> <li>- Other support services and common platforms</li> </ul> <p>The I3PT also fosters the creation of alliances and research networks through the internal <b>R&amp;D+i Policy</b>.</p> <p>The Company Committee strives to create and maintain appropriate work and training environments.</p> <p>The I3PT has a risk evaluation plan for all the positions, and the workers are informed accordingly.</p>	



		<p>Regular occupational risk training is conducted and workers have access to the Health Surveillance Service.</p> <p>The Health &amp; Safety Committee meets up quarterly to address all the matters related to the prevention of occupational risks.</p> <p>The I3PT is member of different research and innovation platforms at national and international level.</p>	
24. Working conditions	+	<p>The I3PT has an Equality Committee, which has developed the following documents (available to staff):</p> <ul style="list-style-type: none"> <li>- Equality Plan, which includes some measures to reconcile personal, family and work life, available on the intranet, as well as the rest of the measures contemplated by the Law in this matter.</li> <li>- Protocol against sexual harassment</li> <li>- Non-sexist language manual</li> </ul> <p>The Health and Safety Committee meets quarterly to discuss all issues related to occupational risk prevention. There is also a self-protection plan.</p> <p>On the other hand, after conducting a pilot test, the I3PT offers staff the possibility to telework. There is also flexibility in work schedules.</p>	
25. Stability and permanence of employment	+/-	The I3PT complies with applicable regulations regarding the recruitment of staff. All	Furthermore, work is being done on the elaboration of a Collective Labour (or bargaining) Agreement

		<p>researchers have an employment contract with the institution and, therefore, contractual issues do not affect the research and performance carried out by researchers.</p>	<p>which will include the principles of the Science Law and adapt it to the requirements of research activity.</p> <p>Currently the I3PT Collective Labour (or bargaining) Agreement proposal has been sent to the department of Health of the Generalitat de Catalunya (Government of the Autonomous Region of Catalonia for approval, but the institute is awaiting for response in this regard.</p> <p>Once this agreement is approved by the Generalitat (Government of the Autonomous Region of Catalonia), work will be done to implement the I3PT professional career development plan, which is already drafted, so that it is appropriate for the work carried out by our professionals (at the present date, our staff is not offered clear and defined career development incentives, and thus their professional achievements may not be fully recognized. .</p>
26. Funding and salaries	-/+	<p>The I3PT is mainly financed with private research funds and public competitive calls.</p> <p>As explained above, the I3PT follows the applicable regulations with regards to the recruitment of staff. All researchers have an employment contract with the institution.</p> <p>As noted in section 1, the fact that our Institute is not accredited by the Institute of Health Carlos III (ISCIII) or as a or “Centre de Recerca de Catalunya” by the CERCA Institution, limits us when it comes to obtaining subsidies or being able to access certain calls for funding</p>	<p>The I3PT Collective Labour (or bargaining) Agreement has been prepared to adapt it to the new reality of the institution, which aims to establish a professional career.</p> <p>Currently the Collective Labour (or bargaining) Agreement proposal has been sent to the department of Health of the Generalitat de Catalunya (Government of the Autonomous Region of Catalonia for approval, but the institute is awaiting a response in this regard.</p> <p>Once this agreement is approved by the Generalitat (Government of the Autonomous Region of Catalonia), work will be done to implement the I3PT professional career development plan, which is</p>

		<p>Currently, the institution's salaries are not too competitive due to the labor regulations that are currently in force within the institution.</p> <p>There is increasing debate about the need to pour private money into research funding with stable patronage programs to ensure the future viability of research institutions and the ends they pursue. The funding agencies tend to co-finance the research but not the total costs for research, and therefore the attainment of private funds is essential to sustain the Institute. In this sense, the I3PT lacks a clear patronage strategy.</p>	<p>already drafted, so that it is appropriate for the work carried out by our professionals (at the present date, our staff is not offered clear and defined career development incentives, and thus their professional achievements may not be fully recognized.</p> <p>The I3PT plans:</p> <ul style="list-style-type: none"> <li>- To request for an evaluation to obtain CERCA accreditation.</li> <li>- To become an ISCII accredited institute.</li> <li>- To establish a clear patronage strategy that would solve the current need to obtain private funds to finance research.</li> </ul>
27. Gender balance	+	<p>The I3PT has an equality plan that guarantees the non-discrimination between researchers and equality of opportunities to access any position and professional promotion.</p> <p>At the moment of recruitment, the selection committee tends to comply with the balance between genders in equal competence of the candidates.</p>	
28. Career development	-	<p>The I3PT does not have a professional career</p>	<p>A Collective Labour (or bargaining) Agreement is being prepared to adapt it to the new reality of the institution, which aims to establish a professional career.</p> <p>Currently the Collective Labour (or bargaining) Agreement proposal has been sent to the department of Health of the Generalitat de Catalunya (Government of the Autonomous Region</p>

			<p>of Catalonia for approval, but the institute is awaiting a response in this regard.</p> <p>Once this agreement is approved by the Generalitat (Government of the Autonomous Region of Catalonia), work will be done to implement the I3PT professional career development plan, which is already drafted, so that it is appropriate for the work carried out by our professionals (at the present date, our staff is not offered clear and defined career development incentives, and thus their professional achievements may not be fully recognized.</p> <p>A working group has been created to define a professional career at the I3PT.</p> <p>The following improvements are suggested:</p> <ul style="list-style-type: none"> <li>- To define the professional career of the I3PT</li> <li>-To implement the I3PT Professional Career</li> <li>-To establish a Committee for the evaluation and assessment of the professional career of I3PT staff on a regular basis.</li> </ul>
29. Value of mobility	+	<p>The I3PT encourages mobility of research staff to acquire or reinforce the necessary knowledge both for their usual clinical practice and for research purposes.</p> <p>During 2009 to 2015, researchers were awarded grants to go abroad, who brought back and shared the knowledge they had acquired.</p>	

		<p>There are administrative mechanisms to transfer subsidies regarding researchers who have moved to another centre.</p> <p>There are financial problems that prevent implementing a policy and conducting activities consisting in the promotion of international mobility as well as talent attraction. This does not mean that the institution has any objection to researchers accessing these services through other means, including external funding bodies.</p>	
30. Access to career advice	+	<p>As mentioned above, the I3PT has developed a <b>Researcher's Guide</b> and a <b>Code of Good Scientific Practice, which are made</b> available to all professionals.</p> <p>Regarding the execution of projects, the I3PT has the necessary structure to offer researchers <b>methodological and statistic support</b>, as well as <b>support with HR calls, project follow-up</b> and knowledge and technology transfer..</p>	
31. Intellectual Property Rights	+	<p>For the elaboration of the Strategic Plan, the <b>R&amp;D+i Policy</b> provides, amongst others, the following basic guidelines:</p> <ul style="list-style-type: none"> <li>- Ensure compliance with the Intellectual and Industrial Property Rules on the results of the research conducted in the I3PT, and with the Good Practices Document in terms of technology and knowledge transfer.</li> <li>- Define, establish and maintain strategic alliances with universities, companies and networks to the benefit of the research conducted at the I3PT.</li> </ul>	<p>As explained above, the I3PT has recently implemented a new internal regulation on the protection and commercial exploitation of the results yielded from research and innovation activities within the scope of the I3PT, which grants researchers and innovators specific rights with regards to authorship and intellectual and/or industrial property, as well as the entitlement to royalties, if any.</p>

		<p>- Promote the transfer of knowledge to the scientific community and the market, in pursuit of excellence, creation of value and economic return.</p> <p>The <b>Intellectual and Industrial Property Rules</b> establish the reciprocal rights and obligations between researchers and the Institution regarding the intellectual and industrial property of the results of the research.</p> <p>The I3PT has also implemented a <b>Code of Good Practices in Technology Transfer</b> establishing the institutional framework for the transfer of the results of the research.</p>	
32. Co-authorship	+	<p>One of the fundamental documents of the Institute is the Code of Good Scientific Practice, which contains the Institutes' policy on the public dissemination of the results of the research. It contains, amongst others, rules on the authorship, co-authorship, signature of publications and I3PT membership information. It further emphasizes the importance of publishing the results of research projects carried out at the Institute. This document is given to all professionals joining the entity.</p> <p>The I3PT has regulated the <b>intellectual and industrial property</b> of the results deriving from the research and innovation activity developed in the auspices of the I3PT.</p> <p>I3PT innovation procedures recognise the authorship of researchers in the registration of</p>	

		<p>their ideas. Innovative ideas can be registered with the Innovation Unit through the I3PT website by completing a disclosure form, which is composed of the following information: <i>IMPORTANT NOTE: If you have an idea, let us know. Do not delay. You do not need to run it past your line manager as innovation is not a hierarchical process and the relationship is established directly between the professional that has the idea and the innovation unit.</i></p> <p>The Regulatory Framework of the institution determines that industrial and intellectual property shall belong to the institution but the professional that has come up with the idea shall be recognised as the inventor, as reflected in the <b>Intellectual and Industrial Property Rules</b>. The inventor shall be entitled to participate in the profits obtained in the commercialisation of the invention, according to the percentages established in the <b>Good Practices Document in terms of technology and knowledge transfer</b>.</p> <p>A co-authorship clause is included in the project collaboration agreements.</p> <p>The necessary advice on these matters is offered from the different support units at the Institute.</p>	
33. Teaching	+	<p>The <b>development of healthcare researchers' professional careers</b> is assessed, among other methods, by their teaching activity.</p> <p>The <b>Training Plan</b> is set out according to the needs of the researchers, but at the same time,</p>	

		<p>training is also offered considering the expert knowledge of the researchers. Training activities are remunerated</p> <p>One of the objectives of the <b>Integration Plan</b> is to establish the procedure to assess the activity of the groups that form the Institute.</p> <p>The Institute has a solid teaching structure. The Institutional Teaching Committee fosters training activities in the institution.</p> <p>Teaching Unit: professionals of the institution form part of the group of professors associated to the Universitat Autònoma de Barcelona.</p> <p>The Institutional Training Committee: teachers that participate in the training programme.</p> <p>The regulations of the Teaching Committee and the Training Committee establish a remuneration for these activities, besides the usual salary. The teaching and research activities form part of the assessment criteria of the professional career of healthcare researchers.</p>	
34. Complains/ appeals	+	<p>The structure of the I3PT is composed of different advisory bodies, among them the Investigation Committee (CIRI) and the Quality Committee.</p> <p>The <b>CIRI</b> is the body responsible for assessing the projects developed, and one of its missions is giving support to the Scientific Management.</p> <p>The <b>Quality Committee</b> has a suggestions/complaints box that is addressed directly by the Quality manager, who escalates</p>	



		<p>it to the Committee or Management Direction or Scientific Management, if necessary.</p> <p>The Company Committee, heads of groups, heads of area, Management Direction and Scientific Management ensure the conflicts and labour claims are solved effectively.</p>	
35. Participation in decision-making bodies	+	<p>The I3PT has the following structure that allows for the representation of researchers in the decision-making bodies.</p> <p>The <b>Governance Committee</b> is formed, among others, by an expert researcher, the President of the CEIC and the Scientific Management.</p> <p>The <b>CIRI</b> and the <b>CEI</b> -both advice and support bodies are formed by the most experienced researchers of the institution.</p> <p>The <b>Innovation Committee</b> has two researchers from among its members.</p> <p>All the area coordinators attend as guests in the <b>Scientific Advisory Committee (CAC)</b>.</p> <p>All the researchers are represented in the <b>Company Committee</b>.</p>	<p>The following improvements are suggested:</p> <p>-To reform the CIRI structurally and functionally, in order to increase its potential, make it more dynamic, and to ensure the rotation of its members.</p>
<b>Training and Development</b>			
36. Relation with supervisors	+	<p>The <b>Tutoring Plan for Emerging Groups</b> of I3PT constitutes a clear cohesion and empowerment element for the integration of entities and groups that form the Institute, in line with the Institute's Integration Plan, favouring, among others, the creation of</p>	

		<p>synergies that contribute to foster scientific and innovative activity developed and established in the Scientific Cooperative Plan of the Institution.</p> <p>The <b>R&amp;D+i Training Plan</b> trains all researchers that so require, in Good Clinical Practice.</p> <p>Likewise, the Institute's <b>Code of Good Scientific Practice</b> clearly defines the relationship that researchers in training must have with their tutors and thesis supervisors, and the follow-up that must be done.</p>	
37. Supervision and managerial duties	+	<p>As support to the research and innovative activity, the I3PT has scientific platforms and common support services that provide support to all the groups of the Institute, with a specific user manual aimed at all its members, and a common regulation in terms of <b>Good Scientific and Innovation Practice</b>. These services include those provided by the Library, which makes the bibliographic resources available to all the staff at the Institute.</p> <p>The <b>Code of Good Clinical Practice</b> places special emphasis on the ethical and legal standards related to research</p>	
38. Continuing Professional Development	+	<p>The R&amp;D+i Training Plan and the Institutional Training Plan trains all researchers that so require, in Good Clinical Practice, as well as all the updates necessary to improve their skills.</p>	
39. Access to research training and continuous development	+/-	<p>Among the aims of the Strategic Plan is the attraction of talent and to do this, it has a <b>Tutoring Plan for Emerging Groups</b> to oversee</p>	<p>The I3PT is looking for the formula to have a greater dissemination of the courses it offers and to expand the offer of online courses to make it easier for</p>

		<p>the research, as well as a R&amp;D+i Training Plan, to which the researchers access to, regardless of their professional stage or contractual status.</p> <p>The I3PT puts the <b>Researcher's Guide</b> at the researchers' disposal, which gathers the basic aspects to guide them on how to work in research with the purpose of facilitating access to new professionals and serve as a guide to those who already form part of the institution. It is a must-read for all professionals.</p> <p>The Equality Plan ensures that all researchers have access to the necessary training regardless of their contractual situation.</p> <p>The definition of the Training Plan in Innovation is based on competencies.</p> <p>The I3PT also has a specific Training Plan to promote research and innovation, which includes the courses:</p> <ul style="list-style-type: none"> <li>- Good Clinical Practice to all Researchers</li> <li>- Data Protection Regulation</li> </ul>	<p>researchers to access these courses, since due to their healthcare tasks they cannot always attend classroom courses.</p> <p>The I3PT expect:</p> <ul style="list-style-type: none"> <li>-To expand the more intensive training in RRI.</li> </ul>
40. Supervision	+	<p>The <b>Tutoring Plan for Emerging Groups</b> of the I3PT has the following objectives:</p> <ul style="list-style-type: none"> <li>- To favour translational research and innovation with an impact on health outcomes, as a formula for the improvement of quality of the healthcare provided to the population.</li> </ul>	

		- To strengthen integration of the research groups that form the I3PT.	
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