

¹TEMPLATE 4: ACTION PLAN

Case number:

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

Organisation's contact details:

SUBMISSION DATE: MARCH 2023

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	416
Of whom are international (i.e. foreign nationality)	17
Of whom are externally funded (i.e. for whom the organisation is host organisation)	11
Of whom are women	215
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	38
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	131
Of whom are stage R1 = in most organisations corresponding with doctoral level	215
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	90
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	11.061.866,63
Annual organisational direct government funding (designated for research)	200.000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1.216.579,77
Annual funding from private, non-government sources, designated for research	6.230.160,52
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
Institut d'Investigació i Innovació Parc Taulí (I3PT) is the result of the integration of excellence in knowledge and innovative capacity from the research groups of five different entities, all of which are deemed to be essential elements in its formation.	

Its main objectives are to improve quality in patient care, the creation of social wellbeing by means of the improvement of the health and the quality of life of the population and economic return in the territory influenced and affected by its activity.

The I3PT is oriented to facilitate and enhance the research and innovation activity by means of a sustainable model aimed at translating and transferring results. This will promote public & private collaboration and national and international alliances that allow access to global market through actions aimed at fostering the generation and attraction of talent. This will be carried out via working policies and methodologies under quality criteria in response to the organisation's values of citizen orientation, excellence, cooperation and commitment to the environment.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Have any of the priorities for the short- and medium term changed? (max 500 words)

The I3PT's fundamental short-term priority is to improve researchers' working conditions by establishing pathways for career development. Its medium-term priorities include implementing a fundraising plan to increase the institute's budget for grants for projects and researchers. Actions are underway to realize these priorities.

To strengthen researchers' skills and professional development in line with the institute's areas of knowledge, we are developing a training plan. To ensure that all staff are familiar with the institute's position with respect to ethics, methodology, and innovation, this plan covers basic aspects that will enable staff-in-training to become integrated into the institutional culture. This plan also includes specific aspects to strengthen researchers' knowledge and skills at different points in their careers in line with their areas of specialization.

Furthermore, the I3PT has applied for accreditation from the Carlos III Health Institute (*Instituto de Salud Carlos III*; ISCIII). The I3PT was awarded CERCA institute status in 2021, making it one of the institutions in Catalonia that is best positioned to be accredited as an ISCIII centre. ISCIII accreditation will broaden the number of competitive grants that our researchers can apply for.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

Within the next two years, the I3PT's human resource strategy must be adapted to comply with the new legal framework under the Labour Reform Law (Royal decree 32/2021) and the updated Science, Technology, and Innovation Law (Law 17/2022) regulating workplace temporality and scientific careers.

For this reason, efforts will focus on improving working conditions and improving our researchers' career pathways. We are designing predoctoral and postdoctoral programmes that enable researchers be incorporated into the system and ensure stability and continuing professional development. We will introduce a new modality of indefinite employment contract linked to the development of scientific and technical activities for all research staff (technical support staff, researchers-in-training, postdoctoral researchers, and senior researchers) in the framework of defined research lines.

In January 2023, the institute created a Fundraising Unit to capture funds for human resources. Moreover, as mentioned above, CERCA institute status and possible ISCIII accreditation will provide the institute with greater access to more competitive calls and help create a more favourable environment.

Additionally, the institute will establish a system of scientific evaluation and accreditation to ensure the progressive acquisition of competencies, independence, and leadership that will enable those participating in the programme to stabilise their positions of employment.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

As mentioned above, the institute's priorities are focused on integrating the updates to the scientific career required by the new legal framework. Nevertheless, the Action Plan for the next 3 years includes actions that will enable us to meet the challenges posed by this framework.

Thematic heading of the Charter and Code	STRENGTHS	WEAKNESSES
Ethical and professional aspects	<p>The institute has a strong governance structure and management committed and participative leadership</p> <p>The institution's R+D+I policy is made up of basic guidelines that are specified in 9 points and which include the principles of C&C.</p> <p>The I3PT have obtained the accreditation as a CERCA Centre, which means it receives funding assigned by the Generalitat de Catalunya. Also, as a result of the CERCA accreditation, the Institute has access to several</p>	<p>The I3PT does not have a well-defined strategy to access private funds, nor does it have the structure to implement it. However, the I3PT has always worked with patronage actions.</p> <p>There is no stimulus to the research by the new generations of health care personnel.</p> <p>There is no evidence of the follow up by the area manager of the research group's achievements</p>

	<p>competitive calls, such as Marie Curie among others</p> <p>In 2023, the I3PT has obtained accreditation as a Carlos III Health Institute (ISCIII), this achievement provides more opportunities to apply for competitive calls and enhances its position and visibility within the network of Spanish Health Institutes</p> <p>The internal communication has been improved throughout 2021. the Communication area has been created. It is led by a corporate communications expert, who was already working on the implementation actions addressed to improving the internal communications. This is put into practice through weekly newsletter, internal notifications on topics of interest.</p> <p>Since 2021, the internal communication has been oriented to giving visibility to the progress (putting it out there) and to raise awareness among all staff about scientific and management activities of the Institute. Researchers and their development activities in I+D+I have become an I3PT priority's and an audience segment very important for internal communications</p> <p>The I3PT has a Cooperative Scientific Plan that supports the scientific organization of the Institute into areas and research groups and allows the accreditation of groups and monitoring.</p> <p>The scientific and cooperative plan contemplates the proposal of objectives to be achieved in the short, medium and long term, and it sets forth clear lines of projection. Every year the evaluation of the achievement of these objectives is carried out.</p> <p>The I3PT has a Plan for the participation of society. This Plan promotes activities related to matters of research. The action is made effective by open spaces</p>	<p>The I3PT doesn't have a specific itinerary in the training plan for Researchers</p> <p>The I3PT does not count on an integrated I. T. system, permitting a better control of the Institute's activities. Altogether, this makes unnecessarily expensive the collection and analysis of the results of the I+D+I activity.</p>
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	<p>for society, a suggestions mailbox, interactive platforms and virtual forums.</p> <p>The I3PT has a Working Comitee for the follow-up Action Plan. This is formed by professionals with different Scientific profiles, as well as representatives from Scientific Management, the human resources department, the quality department and, in addition, other people get involved to ensure the successful fulfilment of the plan. The working group take care of the implementation of the process and approves the execution of the corresponding actions to advance the plan.</p> <p>The i3PT has always worked with different strategic plans that they are aligned to challenges facing Europe, Spain and Catalonia, and they are oriented toward the Institute development. The strategy of these plans is participatory. It collects the opinions of different bodies of the institute and count on the participation of external agents.</p> <p>The main ethical aspects for R+D+I projects are related to:</p> <ul style="list-style-type: none"> ➤ Good Clinical Practice guidelines: The guidelines for good scientific practices including the most important aspects for working in responsible and ethic research. These guidelines address the scientific excellence and transfer of scientific knowledge from public to private sector ➤ Research Staff Guide/handbook for Researchers: the purpose of the guide is to provide researchers and the research community with information about the culture of the institution. They are also intended to help 	
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	<p>understanding into how the health professionals contribute to and work on their research</p> <ul style="list-style-type: none"> ➤ The Institute's commitment is to comply with the applicable privacy data politics. The Institute is subject to periodic external audits on this matter. The Ethics Committee accredits for Clinical Research and reviews and evaluates national and international projects carry out by the institute, so as to ensure the ethical standards and scientific merit of research involving human subjects. ➤ The specific good research and innovation practices training from 2012. These courses place special emphasis on ethical and legal standards related to research. ➤ The I3PT was audited and it has been certified to UNE166002:2014 standards since 2013 <p>The I3PT abides by its internal regulations on the protection and commercial exploitation of the results of the research and innovation activities, which grants researchers and innovators specific rights in terms of authorship and intellectual property and/or industrial, as well as the right royalties, if there are any. These regulations, together with the good clinical practices guidelines, form part of the Institution Welcome Manual.</p> <p>The I3PT is advised by external committees to guarantee the quality of the research and innovation</p> <ul style="list-style-type: none"> ➤ Institutional Committee for Research and Innovation ➤ External Scientific Advisory Committee ➤ Quality Committee ➤ Equality Committee 	
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	<p>➤ Health and Safety Committee</p> <p>The I3PT complies with the regulations established by the Law of Transparency and Good Governance (Law 19/2013) of December 9, 2013 of the Government of Spain that develops the Directive of the European Union 2013/50 / EU.</p> <p>The institute is committed to transferring research results and supports its researchers in their project protect and / or disseminate the results obtained in their research, favouring publications with a high impact factor with peer review.</p> <p>The institute draws up the process map and work procedure manuals available to professionals and the necessary structure to provide support to research and innovation activities.</p>	
Recruitment and selection	<p>The Institute's recruitment processes are transparent, based on the competencies and merits of the candidates.</p> <p>The Fundació I3PT, currently has its own collective labour agreement, which was approved in October 2021.</p> <p>The collective labour agreement incorporates those developing professional careers, promoting enhancement and progress in their work for the Institute</p> <p>The Fundació Parc Taulí (the Institute's management body) has been classified as SEC-95, a public sector company of the Generalitat, and is therefore governed by the principles of transparency, efficiency and equality.</p> <p>The I3PT has:</p> <ul style="list-style-type: none"> ➤ Selection Manual based on the OTM-R principles ➤ Welcome Manual accessible on the intranet. It is for a new employee 	<p>There is a difficulty in incorporating research personnel with training linked to the I3PT research groups.</p> <p>There is no attraction in the Institute for international investigators (R4), possibly due to there not being resources or infrastructure.</p> <p>There is not a plan for the generational renewal of researchers, which leads to a loss of scientific knowledge and expertise.</p>

	<ul style="list-style-type: none"> ➤ Equality Plan ➤ Risk prevention and self-protection plan ➤ Disengagement procedure for the personnel who is leaving the Institute. ➤ The I3PT has its own jobs offer template, which includes the improvement proposals from their workers. ➤ The job offer templates which include a section in compliance with the law on the social integration of people with disabilities. ➤ A questionnaire aimed to identified the reasons why a person voluntarily leaves the Institute. ➤ A procedure in which the selection criterias for Research Staff are defined. <p>Open advertisements for the recruitment of researchers were published on several national and international scientific employment websites.</p> <p>In recent years, the indicators of impact have improved significantly, and also there has been an improvement of the Institute's positioning.</p>	
Working conditions	<p>With the new approved labour agreement by the Department of Health (Generalitat de Catalunya), The Institute ensures the best for the professional careers of the researchers.</p> <p>After receiving CERCA accreditation, the funds obtained from the Generalitat, which have been increasing each year, have enabled the implementation of the professional career since 2023, thereby</p>	<p>The intramural program does not have sufficient economic resources to finance national and international mobility of researchers. However, once the Institute has been recognized as a CERCA Institute, the intramural program was reinforced by the funding allocated</p> <p>There is not a hight enough number of the European Reasearch Council (ERC) and Marie Skłodowska-Cuire (MSC) grants. If the numbers were</p>

	<p>providing economic stability to the career path.</p> <p>Due to the fact that I3PT has been recognized as a CERCA and a Carlos III Institute, the Institute has become more attractive for new research talents.</p> <p>The structure of the Institute includes the advisory committees and participatory groups of the research community which are necessary to safeguard the principles and commitments established in the C&C.</p> <p>The Institute provides researchers with Common Support Services to facilitate their research projects: Scientific and Technical Services, Biobank, Technological</p> <p>Laboratories and Support Units.</p> <p>In 2022, the Institute will begin working from a new physical space, which means it will enjoy greater infrastructures and it will have more possibilities to expand the scope of the Institute's research. The new space will mean that total growth capacity of the Institute will have by 2.500 metres approximately.</p> <p>The institute has a Training Plan in R+D+i and all the training courses have official certifications.</p> <p>It also has a Plan of measures and practices to reconcile work and personal life.</p> <p>The institute has an internal intramural program that promotes research and innovation projects through Grants, co-financing of research staff in projects chosen through contest, aid for the recruitment of post-doctoral researchers and support in applying of coordinated European projects. This program also allows the clinical care staff of the Institute to dedicate part of their time to research.</p>	<p>sufficient, it would allow the Institute to take on achieve sustainable growth, progress and evolution</p> <p>Internationalisation is still a weak point at the I3PT. The Institute has a very low number of foreign personal (4%).</p> <p>The implementation of the data management plan is still incipient and requires more investment and effort in order to bring it up to European standards.</p> <p>There is not a clear strategy to strengthen the links and contacts with national and international research groups.</p> <p>Although, the intensifications have allowed the clinicians and nurses to increase they allocate to research activities, there is still not enough to cover the demand for professionals who apply for grants/aid and ensure fruitful research and development.</p>
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Training and development	<p>The Institute has a Training Program in R+D+I, included in the Institutional Training Plan.</p> <p>Currently, The Institute is facilitating extracurricular practices to address the difficulties in the incorporation of the trained staff linked to the I3PT research groups. Furthermore, a study has been carried out to identify hiring needs for post-doctoral staff in the research groups</p> <p>The Institute is working together with other Institutions in order to obtain co-founding contracts for new staff</p> <p>The Institute has a methodological support department which contributes to researchers in their progress</p> <p>Currently, the Institute is working on the implementation of an internal program aimed to financing around 50% of the post-doctoral contracts.</p> <p>The Institute organizes annual conferences and R+D+I sessions oriented for and aimed at professionals/researchers/staff</p> <p>In the innovation n projects, we collaborate with start-up accelerators that provide mentoring and training in entrepreneurship.</p> <p>The institute is part of several networks that provide training to all staff across the board</p> <p>There is an Emerging Groups Mentoring Plan. It constitutes a clear element of cohesion and strengthens the integration of the entities and groups that make up the Institute, in line with the Institute's Integration Plan.</p> <p>It encourages among others things, the creation of synergies which contribute to promoting scientific and innovative activity developed and established in the Institution's Scientific Cooperation Plan.</p>	

	<p>The I3PT has an Integration Plan to regulate the institute and promote its working with of other research groups, as well as to integrate the groups of all the professionals who carry out R&D&I activities. In the last year, the creation of 3 Mixed Units with research groups from the Autonomous University of Barcelona (UAB) has gone forward successfully</p>	
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3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: <https://www.tauli.cat/institut/presentacio/recursos-humans/>

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

I. Ethical and professional aspects (1-11)

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)	Evidence	Remarks
A1_ To Organize an annual I3PT Research Conference, open to citizens, to improve institutional visibility	-/+ 8. Dissemination, exploitation of results +/-9. Public engagement	Q4 2022 Every end of the year Completed	Scientific Management Management Director Administration Unit	Proposal for the I3PT Annual Research Conference done (Yes)	https://www.lavanguardia.com/vida/20220505/8246528/efe-enfermedades-infecciosas-parc-tauli-alerta-sequimos-pandemia.html https://www.tauli.cat/institut/actualitat/divulgacio-cientifica/2022/03/el-futur-de-la-recerca-epidemiologica-a-debat-amb-els-doctors-cervantes-campins-clotet-i-subirana/	
A2_ To submit the application to get the CERCA Accreditation	+/- 1. Research free -/+ 26. Funding and salaries	Q1 2021 Completed	Scientific Management Management Director	The consensus report with the General assessment done (Yes)	https://www.tauli.cat/institut/actualitat/noticies/2021/02/institut-dinvestigacio-i-innovacio-parc-tauli-i3pt-rep-el-reconeixement-com-a-centre-cerca/	Having submitted the application to get the CERCA accreditation. In early 2021, the Institute was recognized as a CERCA Institute by The Generalitat de Catalunya
A3_ Spread by email the existence of the I3PT regulations and documentation available to the	+/- 1. Research Freedom +/- 2. Ethical principles -/+ 5. Contractual and legal obligations	Q1 2021 Completed	Administration Unit	Number of Internal communications by mail sending to spread per year done (Yes)	At the end of December 2021, around 33 internal communications have been sent.	Currently, the Communication Department has a corporate communications expert who provides information throughout internal notices relating to all new competitive

entire research community						<i>calls, relevant document, news of scientific interest, among others to the entire I3PT community. Also, the news is published on the web so as to keenly inform not only the scientific community but also visitors of the website..</i>
A4_ To develop and implement the RRI policy	<i>+/- 1. Research Freedom</i>	<i>Q1_2021 In Progress Extended to Q1_2024</i>	<i>Management Director</i>	<i>The RRI policy document done (No)</i>		
A 5_ To design a patronage strategy, to strengthen the institute and increase fundraising	<i>+/- 1. Research freedom -/+ 26. Funding and salaries</i>	<i>Q4 2021 In Progress Extended to Q3_2023</i>	<i>Management Direction</i>	<i>The Patronage strategy document Number of campaigns % of increase of private funds to finance research. done (No)</i>		
A6_ To offer RRI courses to all I3PT staff - General RRI training - Training workshops for the Institute's staff, for each of 6 aspects covered by RRI	<i>+/- 2. Ethical principles +/- 39. Access to research training and continuous development</i>	<i>Q1_2022 Completed</i>	<i>Administration Unit</i>	<i>Number of RRI courses offered % of registrants done (Yes)</i>	<i>Throughout 2021, conference cycles were held, some of them addressing the principles of the RRI. 2021: https://www.tauli.cat/institut/wp-content/uploads/2021/05/Cicle_conferencies.pdf 2022: https://www.tauli.cat/institut/docencia/cicles-de-conferencies-cientifiques/</i>	<i>By the end of 2022, specific conferences will be created, which will address issues such as the gender perspective among other. That is why this action will continue to be implemented throughout 2022</i>

A7_ To design online courses for researchers, to make them more accessible to everybody	+/- 39. Access to research training and continuous development	Q4_ 2021 In Progress Extended to Q3_2023	Administration Unit	Number of online courses offered % of registrants done (No)		
A8_ To establish a procedure for periodical sending emails (every 3 or 6 months) to the research community of our Institution remain them, whenever they make a publication , they must sign as members of the I3PT, among others if the case	+/- 3. Professional responsibility	Q4_2020 Completed	Scientific Management	Number of internal communication mails sending to spread per year done (Yes)	Communication in Monday Launch 2021: 25-10-2021 2022: 14-11-2022	
A9_ Generate a concrete action plan for internal communication within the framework of the I3PT communication plan	+/- 9. Public engagement +/- 18. Recognition of mobility experience (code)	Q1_2021 Completed	Scientific Management	Number of public brochures per year done (Yes)	At the end of December 2021, around 33 internal communications have been sent At the end of December 2022, around 77 internal communications have been sent	The I3PT has different internal communication channels through it is disseminated the Institute's activity to all the professionals as a part of the internal communication plan (Monday Launch, comunicació I3PT, actualitat I3PT, Newsletter)
A10_ To establish, within the sponsorship program, a policy of capturing funds for R+D+I projects	+/- 9. Public engagement	Q4_ 2021 In Progress Extended to Q4_2023	Management Director	Publication in the I3PT website Having the Program published in the I3PT website Number of campaigns done (No)		
A11_ To define the professional career	+/- 11. Evaluation appraisal system	Q4_2022	Management Director	Having a professional proposal,	In Progress.	Currently, the new collective labour agreement is in place,

of the I3PT, to be more competitive and attracting and retaining talent	+/- 18. Recognition of mobility experience (code) -/+ 22. Recognition of the profession +/- 25. Stability and permanence of employment -/+ 26. Funding and salaries - /-28. Career development	In Progress Extended to Q4_2023		according to the new agreement (currently pending approval) approved by the Governing Council done (No)		which embeds the professional career of the I3PT. Throughout 2022 the implementation of the professional career will be launched. (RESOLUCIÓ de 3 de setembre de 2021, per la qual es disposa la inscripció i la publicació del Conveni col·lectiu de treball de la Fundació Parc Taulí per als anys 2020 i 2021 (codi de conveni núm. 08103372012021)
A12_ To redefine the CIRI, to improve the organization of the I3PT's research and innovation	-/+ 11. Evaluation appraisal system +/- 35. Participation in decision making-bodies	Q2_2021 Completed	Scientific Management	Having a document with the new structure, composition and functions of the CIRI: Approval of Governing Council (Delegated Commission) done (Yes)	The document is available in the Institution's intranet for all professional: "Reglament de Funcionament del Comité Institucional de Recerca de l'I3PT. I3PT-URD-NI-CIRI". Approved by the Governing Council on 23/02/2022 https://intranet.tauli.cat/gest-or-documental-i3pt	
A_13 To review of the Cooperative Scientific Plan, to bring closer independent researchers to groups to improve the organization of the institute's research and innovation	-/+ 11. Evaluation appraisal system	Q1_2022 Completed	Scientific Management	Number of researcher integrated in groups % of publications no assigned to groups done (Yes)	Number or researchers integrated in groups: 2021: 31 2022: 55 Percentage of publications no assigned: 11,7 %	The Cooperative Scientific Plan was reviewed by Scientific Management. The implementation activities involve a follow-up plan for the research groups of the Institution. Once the annual evaluation is carried out, taking in account the monitoring plan, a status report is prepared and it is presented to the CIRI. The implementation Plan set outs the important points that are

						reflected in an annual report, as well as in the proceedings of the follow-up meetings with the research groups
A_14. To modify the System for publishing offers on the I3PT website to be more attractive and visible to candidates	+/- 13. Recruitment process	Q3_2020 Completed	Administration Unit RH Department Communication Unit	Offer published on the Web done (Yes)	https://www.tauli.cat/institut/presentacio/recursos-humans/treballa-amb-nosaltres/	A new job offer I3PT template was approved by the RRHH and Executive Commission
A_15. To modify the I3PT "Job Offer" template so that it considers all relevant aspect, to make the evaluation of skills more transparent	+/- 13. Recruitment process +/- 14. Selection (code) +/- Judging merit (code)	Q3_2021 Completed	Administration Unit Quality Management	The I3PT "Job Offer Template" done (Yes)	https://www.tauli.cat/institut/presentacio/recursos-humans/treballa-amb-nosaltres/	Over the different session with the working Committee, the new template for the Institute's Job offer was defined. It includes a section on the compliance with the law on the social integration of people with disabilities. The new template is available for open job offer on the Institute's website.
A16_To increase the number of national and international scientific job websites where to publish open calls for recruitment of researchers	+/- 13. Recruitment process (code)	Q3_2021 Completed	Administration Unit	Number of national and international Scientific Job website where to publish open calls for recruitment done (Yes)	Nationals: Biocat, I3PT web International: Euraxess, LinkedIn	Since the second half of 2021, the open calls for recruitments such as researchers as other professional profiles of the Institute were announced on different scientific job websites such as Biocat, LinkedIn and Euraxess job among others.
A17_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	+/- 15. Transparency (code)	Q3_2021 In Progress	Administration Unit	Number of emails sent regarding candidates submitted done (yes)	An average of 25 email per month	After several sessions with the working committee, and after assessing the number of annual calls and the average number of candidates interviewed, a decision was reached to develop a standard run mail and send it to the candidates not selected.

collected. One mail per candidate.						
A18_To create foreign qualification homologation procedure	+/- 19. Recognitions of qualification	Q2 2022 Extended to Q2_2023 In Progress	Administration Unit Management Direction	The foreign qualification homologation procedure done (No)		It was created a standard procedure to foreign qualification homologation, but it is still no approved by the RH Department
A19_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.	-/- 21. Postdoctoral appointments (code)	Q2 2022 In progress	Heads of Research areas Heads of Research groups	Trend in the share of postdoctoral profiles contracted. Number of postdoctoral applying to specific calls Number of postdoctoral contracted done (yes)	6 out of 33 (18%) total personnel contracted in the research groups are postdoctoral profile. 2021: 5 applications 2022: 6 applications (3 internal calls) 6 (3 contracted through competitive call)	In 2022, The first intramural call for grants for the hiring of Postdocs was made in order to support the Institute's accredited research groups for the recruitment of talent. However, there is still no enough funds to afford more postdoctoral positions at the moment. The I3PT is working to set out a fundraising program, and be able to afford more scientific professional for long term.
A_20. To launch a specific job call to incorporate a disable profile to the I3PT staff	+/+ 10. Non discrimination	Q4_2022	Administration Unit Management Direction	The specific job call publicized	https://www.tauli.cat/institut/presentacio/recursos-humans/treballa-amb-nosaltres/	Since 2021, the new job call template includes a section in compliance with the law on the social integration of people with disabilities.
PROPOSED ACTIONS 2023-2024						
Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)	Evidence	Remarks
A21_Develop a programme to help pre- and post-doctoral researchers identify sources of funding from publicly available funds and	-/- 21. Postdoctoral appointments (code) +/- 25. Stability and permanence of employment -/+ 26. Funding and salaries	Q3_2023 to Q4_2024	Management Direction Scientific Management	Number of predoctoral and postdoctoral profiles hired by the Institute		

from the institute's patronage policy.	-/- 28. Career development					
A_22. Include strategies for collaboration with universities in pre- and post-doctoral research programmes.	-/+ 23. Research environment -/+ 39 Access to research training and continuous development -/+ 29. Value of mobility	Q3_2023 to Q4_2024	Management Direction Scientific Management	Number of pre and postdoctoral personal included into the program		
A_23. Include assessments of researchers' stays in other research centres among the criteria for evaluating researchers' curricula.	+/- 18. Recognition of mobility experience (code) -/+ 39 Access to research training and continuous development	Q3_2023 to Q4_2024	Management Direction Scientific Management	Definition of the assessment criteria for the recognition of mobility within the professional career		
A_24. Organize joint sessions between research groups from the university and the I3PT.	+/- 23. Research environment -/+ 39 Access to research training and continuous development +/- 38. Continuing professional development	Q3_2023 to Q4_2024	Management Direction Scientific Management	Nº sessions per year		
A_25. Defining an international policy taking into account the academic	+/- 3. Professional responsibility	Q4_2023 Every end of the year	Knowledge Management Unit Communication Unit	Percentage of publications with incorrect corporate affiliation		

background and development of researchers						
A_26. Apply measures to ensure transparent information about the application of the professional career and related assessments.	+/-12. Recruitment +/- 15. Transparency +/- 16. Judging merit (code) -/+ 22. Recognition of the profession +/- 24. Working conditions -/- 28. Career development	Q4_2023	Management Direction Communication Unit	Broadcasting of the professional career		
A_27 Ensure that new employees receive the orientation manual before being incorporated in the team.	+/- 3. Professional responsibility -/+ 5. Contractual and legal obligations +/- 11. Evaluation/Appraisal systems +/- 12. Recruitment +/- 37. Supervision and material duties	Q3_2023 Every new hired professional	Management Direction Administration Unit	Nº new hired professional accomplish the requirement vs Nº total of new hired professionals		
A_28 Revise the selection manual to include the procedures for evaluating candidates for employment openings.	-/+ 5. Contractual and legal obligations +/- 12. Recruitment	Q3_2023	Management Direction Administration Unit Quality Management	The selection handbook reviewed and signed by the Governing Council		
A_29 Define the selection process in much greater detail, specifying all aspects of the procedures to	-/+ 5. Contractual and legal obligations +/- 12. Recruitment	Q3_2023	Management Direction Administration Unit	The selection handbook reviewed and signed by the Governing Council		

be followed for each employment category.	-/+ 13. <i>Recruitment (code)</i> -/+ 14. <i>Selection (code)</i>		<i>Quality Management</i>			
A_30. Establish a collaborative working group in conjunction with the CCSPT to formulate and define the strategies for intensification						

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

With the approval of, and when their own Collective Labour Agreement comes into force, the I3PT will commit to implementing a Career Assessment Procedure, by creating more attractive offers, by improving working conditions (for example, more competitive salaries). It will also be more attractive for international talent (A_11)

Although, the Institute currently does not have workers with disabilities, it takes into account in its new job offer template a section that considers the equality rights, no gender or race discrimination and/or due to disability conditions. In this way, the Institute offer opportunities to Individuals with disabilities who submit applications to its different open positions (A_20).

Currently, the Selection Procedure of I3PT has an appropriate response for those candidates who were not chosen to cover the vacancy they have applied for. The response is part of the feedback emailing to interviewees after each selection process (A_17).

We have a complaints mailbox. Its aim is to improve our complaints mechanism in place. We have improved the awareness of its existence so as to increase its use.

In order to communicate some actions on which the Working Committee is work, these has been implemented aare published through an internal communication channel (Newsletter, Monday Launc). We also have an anonymized mailbox through wich we can receive all suggestions, comments or complaints that are generated regarding each action (A_9).

The policy of RRI will be elaborated taking into account those actions which are aligned to the RRI principles and are part of the Strategyc Plan. Each plan will be individualized. Eeach action will be analized and those actions that abide with RRI principles will be linked to policy of RRI. This is aimed to improve the alignment of the research and innovation processes and its impact on the society and to reduce the gap between healthcare innovation and society.(A4)

Currently, the Institute does not have yet a foreign qualification homologation procedure. However, the information to develop the procedure has already been collected. We plan to carry through the elaboration of the procedure and its validation during the second period of 2023.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: <http://www.tauli.cat/institut/recursos-humans/>

4. IMPLEMENTATION

General overview of the implementation process: (max. 1000 words)

I3PT has a dedicated Implementation Committee comprising professionals and scientists with the following profiles: senior scientist, predoctoral researcher, principal investigator, labour union representative, scientific direction representative, technical support representative, human resources department representative, and representative of the quality-control unit.

Throughout the past two years, this committee has held monthly meetings to follow up scheduled actions and/or to discuss strategies for their implementation. The committee also has the authority to evaluate the level of implementation, as well as to propose or prioritize actions. At each meeting, a working plan is elaborated to support and guide the implementation of the actions.

Information about the HRS4 actions implemented is disseminated through the institute's main communication channels. Likewise, in events targeting the scientific community, the institute emphasises the importance of working toward quality research inspired in the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers as a collective commitment to promoting and supporting an inclusive and successful research culture that will attract, retain, and promote the best scientific talent.

The Steering Committee is in charge of ensuring the appropriateness of the process through reviewing and approving the execution of the plan.

In this first phase, the strategy for implementing the actions was devised in the monthly meetings of the Implementation Committee in which the different professional profiles and researchers participated. In the next phase, periodic meetings of focus groups comprising individuals with different professional profiles will help guide the implementation.

The HRS4R action plan forms part of the Strategic Plan, and its progress is periodically monitored through indicators of the execution of actions in the institute's Internal Management meetings, as

well as by the Quality Committee, which meets 2 or 3 times a year. The Quality Committee includes representatives from the HRS4R Work and Follow-up Committee. In meetings of the Quality Committee, the HRS4R team proposes new necessary and timely actions that have come up to further the implementation of the Plan, while the Quality Committee is in charge of validating these actions.

How have you prepared the internal review? * Max (500Words)

We have been preparing the internal review from the very moment in which the institute was awarded the recognition. Initially, representatives from all the different scientific and management profiles were assembled to create a Work and Follow-up Committee and begin evaluating the Action Plan. In monthly meetings, the committee deals with each action, examining the resources necessary and discussing strategies for its implementation and follow-up.

At the end of 2021, the results of the review of the initial Action Plan were published in the institute's webpage to make them available to all members of the staff.

Later, the Work and Follow-up Committee reviewed the gap analysis and proposed new actions to be implemented in the following period; these proposals were reviewed and approved by the Steering Committee.

After the approval of the Action Plan, and 3 months prior to the deadline, the institute informed the European Commission of our interest in continuing toward the internal review.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
Do you have an implementation committee and/or steering group regularly overseeing progress? *(500 words)	From the decision to integrate the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers into the I3PT's human resources policy, the Steering Committee was placed in charge of implementing the Action Plan. On the other hand, the HRS4R Work and Follow-up Committee's role is to implement the plan, defining the strategies for and identifying the resources necessary for its complete

	<p>implementation, as well as proposing additional actions to the I3PT management team to respond to needs or weaknesses detected in the implementation of the Charter or Code.</p> <p>The Work and Follow-up Committee meets monthly to further the planned actions and evaluate the progress in implementing the Action Plan. This involves adapting the timeframe in which the actions should be carried out and/or reconsidering actions for which limitations have arisen or proposing new actions to deal with needs that have been identified. Together with the management, the Committee devises strategies to deal with the limitations that arise and overcome obstacles.</p> <p>Every year, the Work and Follow-up Committee reviews the Gap analysis, OTM-R, and Action Plan. This results of this review are made available to all employees on the I3PT's website.</p>
<p>How have you involved the research community, your main stakeholders, in the implementation process? * Max (500Words)</p>	<p>Upon the I3PT's recognition, to ensure that the principles of the Charter and Code were fulfilled and to involve the researchers in the Action Plan, the Work and Follow-up Committee was established, incorporating representatives from all the different areas (scientific-patient care, management, and technical-scientific support).</p> <p>Additionally, the needs identified in relation to the scientific staff (senior scientists, postdoctoral researchers, and predoctoral researchers) within the Work Committee are also passed on to the Internal Scientific Committee, where the pertinent decisions are made to be referred to the Governing Organs for approval.</p> <p>On the other hand, for actions that require the intervention of other interested parties, such as the Human Resources Department of the CSPT, the I3PT has worked together with researchers, allowing them to participate in forging the strategy, carrying out the process, and making the decisions.</p> <p>To raise funds to accelerate research and undertake new projects, we designed a fundraising strategy</p>

	<p>and an Action Plan. There is now a dedicated professional who works together with the Communication Unit to promote the I3PT through clear, coherent strategies to ensure that society understands the institute's role and the importance of the health sciences.</p> <p>Finally, as part of the Communication Plan and the Plan for the Participation of the General Public, the institute has been carrying out activities to inform young people about careers in research and innovation, with the aim of sparking interest in these fields and thus strengthening the population's commitment to the institute and to science.</p>
<p>Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy * Max (500Words)</p>	<p>The I3PT's organisational policies are aligned with the HRS4R through its Strategic Plan, regulations, and codes that promote transparency and excellence.</p> <p>The I3PT has a code of good scientific practice that aims to promote compliance with the legal obligations and the institute's regulations, strengthen the research staff's commitment to responsibility and excellence, and encourage good scientific practice in all aspects, dimensions, and stages of scientific activity. This code integrates the principles of the European Charter for Researchers, and the scientific staff must comply with it in all their activity at the institute.</p> <p>Moreover, the I3PT has regulations for the ownership, protection, and transfer of the results of research and innovation to ensure compliance with the applicable legal framework. These regulations ensure the principles of the right to intellectual property, co-authorship, and dissemination and exploitation of results, among others, that are included in the Charter and Code. The scientific staff must comply with these regulations in all their activity at the institute.</p> <p>Both good scientific practice and the regulations are integral parts of the I3PT's R+D+I policy, which in turn includes the principles that the institution and its researchers must embrace to facilitate and promote a sustainable model of research and</p>

	<p>innovation grounded in ethics and professional responsibility, investigative freedom, professionalism, dissemination and exploitation of results, and equitable working conditions.</p> <p>On the other hand, the I3PT's strategic plan incorporates different plans to promote and incentivise research, to promote actions within the scientific areas, and to follow up the progress of these actions. In this way, currently through the Cooperative Scientific Plan, research activity is evaluated, and work is underway to implement policies for the internal review and supervision of research groups.</p> <p>Finally, the I3PT's internal human resources policies integrate the principles of the Charter and Code, periodically reviewing the level of compliance with the OTM-R, revising the processes and the selection guidelines, developing the professional career plan, and offering optimal conditions for capturing and keeping talent.</p>
<p>How has your organisation ensured that the proposed actions would be also implemented? * Max (500Words)</p>	<p>As explained above, the I3PT has a Work and Follow-up Committee for the HRS4R. This committee is responsible for ensuring compliance with the Action Plan, for creating strategies for the implementation of the actions, and for following up these actions. To ensure that the actions are coherent with the needs, are sufficiently relevant, and are aligned with the institution's strategy, the Plan is reviewed by the Steering Committee.</p> <p>In addition to the Work and Follow-up Committee's evaluation of the level of implementation, the Quality Committee validates the actions at its annual meeting, where actions and their results are presented together with difficulties that have arisen during their implementation.</p> <p>The actions that have been proposed after the initial plan of action aim to correct shortcomings identified in the selection and hiring of researchers. Shortcomings have also been identified in researchers' stays at other centres. The actions undertaken to correct these shortcomings not only aim to ensure the integration of the principles for hiring and mobility from the Code of Conduct for the Recruitment of Researchers and the European Charter for Researchers, but they are also</p>

	<p>requirements for CERCA institutes and accredited health research institutes as well as being included in the new labour reform and modified law for science, technology, and innovation.</p>
<p>How are you monitoring progress (timeline)? * Max (500Words)</p>	<p>The full implementation of the Initial Action Plan was scheduled for November 2024. In rolling out the plan, we have been evaluating its relevance, the resources available to carry it out, and the probability of achieving it. Every month, the Work and Follow-up Committee meets to assess the progress. No specific deadlines have been set, because depending on the resources available, the actions are implemented, and the level of implementation and quality are considered priorities. Nevertheless, more than 70% of the Initial Action Plan has been implemented since the I3PT has been recognised.</p> <p>Additionally, each action is linked to an indicator that enables the effectiveness of the proposed actions to be evaluated. The level of compliance with the indicators is monitored in periodic Internal Management Meetings and in meetings of the Quality Committee, which take place 2 or 3 times a year.</p> <p>Both the Steering Committee and the Work and Follow-up Committee are aware of the need to integrate all the principles of the Code and the Charter with total responsibility while avoiding overloading the system. For this reason, all the initial actions and following proposals are evaluated by both parties, taking into account the resources and capacity of implementation.</p>
<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>When the Action Plan was designed, indicators of effectiveness were established to monitor the level and quality of the implementation of the actions from the outset. These indicators are used to measure the progress of the Action Plan.</p> <p>At present, management software enables the indicators to be monitored periodically. This software registers the level of compliance with the</p>

	<p>indicators for annual assessments in the reports of the Steering Committee's review. Moreover, the Institute's governing organs are informed of the progress in implementing the Action Plan.</p> <p>As mentioned above, progress in implementing the plan is assessed every month by the Work and Follow-up Committee and the Steering Committee, and it is validated every year by the Quality Committee.</p> <p>These dynamics ensure the optimal level of implementation; for this reason, we will continue to employ them until the initial plan and posteriorly proposed actions have been completed.</p>
<p>How do you expect to prepare for the external review? * Max (500Words)</p>	<p>From the time when the Institute made the formal decision to adhere to the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, the Institute has been in the process of aligning its policies for R+D+I and human resources with them and has been integrating them into its corporative strategy. Since its recognition by the European Commission, the I3PT has worked to identify its strengths and weaknesses regarding human resources, promotion, and retaining research talent.</p> <p>Taking into account the weaknesses identified, the Action Plan was proposed to convert them into strengths. The interventions of various key scientific and non-scientific actors have made this possible through their participation in the different committees (Internal Research Committee, HRS4R Work and Follow-up Committee, Steering Committee, and Quality Committee).</p> <p>After two years' work toward total alignment of the I3PT's human resources policies with the principles of the Charter and Code, it is evident that the strategy has been effective and that, as mentioned above, we will continue to follow it. Decision making by the committees and the evaluation and validation of the proposed actions are fundamental to continue advancing in the implementation.</p>

	<p>Nevertheless, in the next three years, in addition to continuing with the current strategy, greater efforts will be employed to ensure that the principles of the Charter and Code are more evident at all levels of the institution. To this end, we have a decisive communication strategy that includes workshops and focus groups where research and management staff will learn about the Action Plan and be encouraged to embrace the principles of the Charter and Code.</p> <p>Additionally, the importance of these matters and policies for the Institute's activities will be underlined at every institutional event.</p>
<p>Additional remarks/comments about the proposed implementation process: (max. 1000 words)</p>	<p>It is important to point out that, from the European Commission's recognition of the I3PT's adherence to the principles of the Code of Conduct and the Charter for Researchers, the Institute has worked toward the full integration of these principles into its human resources policy. The participation of key scientific agents in the implementation of the Initial Action Plan has been instrumental in achieving these goals, especially in aspects related to supervision, mobility, and professional career pathways.</p> <p>Our Department of Human Resources considers that the strategy used for implementing the Action Plan has been successful, because the reviews by the Work and Follow-up Committee and the Steering Committee guarantee the availability of the resources necessary for implementing each action. Nevertheless, in this second phase of the process, our efforts will focus on integrating the principles of the Charter and of the Code in all the Institute's activity. For this reason, as mentioned above, we consider it crucial to have a decisive communication strategy and to ensure the participation of key scientific and non-scientific agents, including the general public, because the wellbeing of the general public is the principal target of all our activity.</p> <p>Bearing in mind that scientific activity and research require optimal working conditions, professional</p>

	<p>recognition, and the application of ethical principles that are aligned with health research as a source of wellbeing, the Institute strives to create and maintain the best working conditions for its researchers through improving funding for competitive projects and increasing the critical mass of researchers through intensifications, obtaining sources of income through fundraising and patronage.</p> <p>On the other hand, the Action Plan for the next three years is oriented not only toward improving working conditions, but also toward improving the processes for selecting and incorporating professionals to ensure that they are familiar with the principles in the Charter and Code from the very beginning.</p>
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