

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

Ethical & Professional aspects

Strengths:

- Strong Governance in the institution and great involvement and commitment from leaders and managers.
- Research groups, structures and resources which are already outstanding and consolidated.
- It has an **R&D+i Strategic Plan** with a clear orientation towards the real needs of the specialisation in terms of healthcare, the creation of efficiency and economic return where the collaborative and multidisciplinary work is paramount, with special attention to public/private collaborations to ensure things reach the market faster. In this context, the I3PT -as a **benchmark innovation institution**- stands in an advanced position as a mature and consolidated innovation model in the institution, aligned with the challenges set by Europe, Spain and Catalonia.
- The institution's R & D + I Policy has basic guidelines that are specified in 9 points that include the C&C principles.
- 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.
- We have a **Code of Good Scientific Practice** that includes all those aspects that we must take into account to do research and innovation in an excellent, orderly, ethical manner and without missing any opportunity, without losing scientific excellence, translation to the clinic or in transfer to the economic sector.
- There is also a **Code of Good practices in the field of technology and knowledge transfer**, where professionals are informed of the main legal aspects that specify the institution's technology and knowledge transfer policy, as well as the procedure applicable in the technology transfer processes.
- 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.
- The I3PT has an accredited **Research Ethics Committee (CEIm)** that is among the ten most active in Spain and has evaluated more than 40 projects using the European VHP procedure. At the same time, it has a prestigious **External Scientific Advisory Committee (CAC)** as well as an **Institutional Research and innovation Committee (CIRI)** that is actively involved and informed of the actions and objectives proposed.
- The I3PT complies with the regulations established by **the transparency and good governance law** (Law 19/2013) dated December 9, 2013 of the Government of Spain that develops the Directive of the European Union 2013/50/UE
- The **RRI (Responsible Research & Innovation)** has been adopted as a framework for Research and innovation.
- We have the **"Investigator's Guide"** that includes the basic aspects to know the institution and guidance on how to work when doing research, with the proposal of facilitating access for new professional researchers and serving as a guide for those who have already they are part of the institution.
- Our researchers have a high commitment to the Ethical Codes of their discipline and an efficient and transparent management of both public and private funds; as well as the

permanent concern for the dissemination of results both to economic agents and to society in general and a firm attitude of non-discrimination.

- The institute supports researchers to disseminate the results obtained in their research, favouring publications with a high impact factor with peer review. All of our biomedical journal publications meet Vancouver.
- It has an R&D+i management unit with defined proceedings and methodologies, certified under the **UNE 166.002** standard since 2013.
- We have more than a dozen research groups recognized by the Generalitat de Catalunya SGR.

Weaknesses:

- The I3PT is not an accredited institute by the Institute of Health Carlos III (ISCIII) and is not certified as a CERCA Centre.
- The I3PT lacks a clear patronage strategy. 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 I3PT lacks of a control system to 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.
- The I3PT Communication Plan lacks an effective strategy. Very weak internal communication.
- Complex institution with difficulty in information flows.
- there is a lack of citizenship's involvement in research activities, as well as an insufficient participation of the research community in in organized activities focused on their sector.
- The I3PT also lacks of an established plan for direct involvement of society in matters related to research.
- The I3PT Scientific-Cooperative Plan lacks lacks the obligation to the research groups to define a strategy as a group, although it contemplates the proposal of objectives to be achieved in the short, medium and long term and clear projection lines.
- There is no written specific recommendation for the management of scientific results.
- Lack of encouragement towards research of new generations of medical care personnel

Recruitment and selection

Strengths:

- An **equality plan** is available.
- The Fundació Parc Taulí (managing entity of the Institute) has been classified as **SEC-95**, a company of the Public Sector of the Generalitat, and therefore, is governed by the principles of transparency, efficiency and equality.
- The Institute's **recruitment processes** are transparent, based on the competencies and merits of the candidates.
- The Institute is an entity associated with the Universitat Autònoma de Barcelona, which, within the framework of the UAB Sphere-Health Core, has designed a talent attraction and creation programme aimed at young researchers who would like to do their doctoral thesis in the field of Health, in the broad sense of social challenge of the Horizon 2020. This programme called "Co-funding of Regional, National and

International Programmes (**COFUND**)” is based on strengthening transnational, intersectoral and interdisciplinary mobility of researchers, aligned with the main principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers”.

- Open calls for recruitment of researchers were published on several national and international scientific job websites.
- The I3PT has a Selection Manual and Welcome Manual for New Employees.

Weaknesses:

- Given the legal restrictions to implement variable remuneration, there is no possibility of having a competitive talent attraction model.no possibility of having a competitive talent attraction model.
- There is a lack of personal researcher in training linked to the I3PT research groups.
- I3PT's proximity to other powerful and prestigious research institutes.
- Insufficient human resources in R&D+i (including technical and management profiles).
- In some cases, open calls for recruitment of researchers were not published in enough national and international scientific job websites.
- Monitoring calls to jobs can be difficult at times.

Working Conditions and Social Security

Strengths:

- **Taulí Grants**, funded by the Institute, are awarded each year for research and innovation. Awards are given to the best process and grants are given to stimulate research among medicine students of the *Universitat Autònoma de Barcelona*.
- The Institute's structure includes advice and research community participation bodies necessary to safeguard the principles and commitments set in the C&C.
- The Institute puts **Common Support Services** at the researchers' disposal to facilitate their research projects.
- The I3PT has a company committee that strives to create and maintain appropriate training and work environments. In addition to ensuring the labour rights and salary conditions of workers.
- Official certifications are provided for the training activities of researchers.

Weaknesses:

- The I3PT does not have a Collective Labour agreement adapted to research activity. Its reference is the Offices and Bureaus agreement. This means that, for example, we cannot offer more competitive salaries or be able to offer recognized professional development to researchers. It is currently negotiating a new agreement gathering the singularities typical of research activity.
- A definition of the professional career as such is missing for I3PT researchers.
- The budget of the Institute is very tight and cannot face a professional development immediately.
- The institution does not have defined proper procedures to favour mobility of researchers, or access to career advice.

Training and development

Strengths:

- The I3PT has an **Integration Plan** to regulate and promote the approach of other research groups to the Institute, and to integrate and group all the professionals performing R&D+i activities.
- There is a **Tutoring Plan for Emerging Groups** that 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 synergies that contribute to foster scientific and innovative activity developed and established in the **Scientific Cooperative Plan** of the Institution.
- The Institute also has a **R&D+i Training Plan** that trains all researchers that so require, in Good Clinical Practice, as well as all the updates necessary to improve their skills.

Weaknesses:

- Increase in the pressure and burden of health care in crisis years, which is a limitation to the growth of research activity, given that the research model of the Institute is specifically clinical where all purposes of groups are personal care.
- There is no option to carry out research practices in the institution, for example, students or graduates without sufficient research experience but who want to orient their professional career to the research.
- No guidelines are written on the proper supervision of R1 and R2 investigators recruited to carry out a specific research project.