



Self-assessment

Human Resources Strategy for Researchers & Action Plan

Institute for Bioengineering of Catalonia (IBEC)



Content:

TEMPLATE 3: INTERNAL REVIEW.....	2
1. ORGANISATIONAL INFORMATION	3
2. NARRATIVE.....	4
3. ACTIONS.....	6
Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:	13
4. IMPLEMENTATION	14
ANNEX I: OTM-R CHECKLIST	18

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: **Institute for Bioengineering of Catalonia (IBEC)**

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Web-link to published version of organisation's HR Strategy and Action Plan:

<http://ibecbarcelona.eu/humanresourcesstrategy>

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

The OTM-R checklist is attached (in Annex I) to the self-evaluation report.

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 31ST JULY 2017

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE 30/06/2017
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	158*
<i>Of whom are international (i.e. foreign nationality)</i>	*46 (29%)
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	*118
<i>Of whom are women</i>	*78 (49%)
<i>Of whom are stage R3 or R4¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	*39
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	*52
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	*67
<i>Total number of students (if relevant)</i>	66
<i>Total number of staff (including management, administrative, teaching and research staff, also laboratory technicians)</i>	* 71
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	10.617.943
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	2.725.000
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	6.645.826
<i>Annual funding from private, non-government sources, designated for research</i>	1.247.117
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Institute for Bioengineering of Catalonia (IBEC) conducts excellent interdisciplinary research at the frontier of engineering and life sciences to generate new knowledge by putting together fields like nanomedicine, biophysics, biotechnology, tissue engineering and the applications of health information technology. IBEC aims to train the next generation of researchers in bioengineering for future medicine, active ageing, and regenerative therapies, as well as promoting clinical translation and market-driven technology transfer.</p> <p>The IBEC is a nonprofit foundation set up in 2005 by the Departments of Innovation, Universities and Enterprise and Health of the Government of Catalonia, the University of Barcelona (UB) and the Technical University of Catalonia (UPC).</p> <p>IBEC is one of the top research institutions named as a Severo Ochoa Research Centre by the Ministry of Economy and Competitiveness (in charge of research and innovation policy in Spain), which recognizes excellence at the highest international level in terms of research, training, human resources, outreach and technology transfer.</p>	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

2. NARRATIVE

In April 2015, IBEC was awarded the HR Excellence in Research stamp by the European Commission. The internal analysis used the following approaches: legislation analysis, a survey, four focus groups (35 participants) and meetings with the directorate. The Action Plan consisted of 17 actions to be implemented from 2015 to 2018.

After putting together a Monitoring Committee with eight volunteers from R1 to R4, the Managing Director and heads of support units started to meet to discuss the implementation of the actions.

The HR Unit was appointed as leader and coordinator of the development and implementation of the HRS4R, and the Monitoring Committee acts as a support, advising and monitoring the implementation of the actions. Over the past two years, relevant information and indicators regarding each of the 17 actions, as well as minutes from the Monitoring Committee meetings, have been collected. These are all available on request.

During the last trimester of 2015 and the first trimester of 2016 the HR unit suffered from a lack of resources, namely two maternity leaves and staff turnover. In the second trimester of 2016 a new HR technician was employed; consequently, a reorganization of tasks took place in the unit. These situations caused delays in those actions that were planned to be started in that period, whereas other measures that had already been started were kept on and implemented as planned.

Despite the delays in the implementation of some of the Actions, a rapid recovery took place from the second semester of 2016 onwards, and the HR Unit has worked intensively together with the Monitoring Committee to catch up.

The Selection and Ethical Issues dimensions were the ones that were most affected by the delays, in part because of the particular situation that the HR Unit encountered, but especially Selection, because it was decided to incorporate the OTM-R principles in the new selection policy. The actions under the dimensions Training and Working Conditions were almost all implemented by their due date. By 2017, all actions that were delayed have been implemented, or are about to be implemented in the following months. An exception is the implementation of a new Annual Performance and Development Appraisal System, which will need more time and investment than initially planned.

During the implementation of the Action Plan (2015-2017), we mainly focused on:

- **Selection:** feedback for shortlisted candidates for postdoc and group leader positions is now available. Training in interviewing skills for group leaders, senior researchers and heads of unit has been designed and scheduled. Yearly open days to attract talent have been organised, and a new PhD brochure is now available.
- **Training:** Development of a yearly Training Catalogue with more than 21 training courses in transferable skills, for all IBEC members, and with focus on offering more courses to postdocs and senior researchers. Training courses in technology transfer and in job placement and CV preparation have taken place. A new Mentoring scheme for postdocs has been implemented. IBEC's values, core competencies and specific competencies for all researchers (R1 to R4) have been defined, as have job descriptions for R1 to R4.
- **Working Conditions:** A new Equal Opportunities and Diversity Management Plan with 34 actions for the next three years has been defined. IBEC's Induction Plan has been improved and updated.
- **Ethical Issues:** a working group is developing the Code of Good Scientific Practice.

During the last two years the HRS4R has become a transversal project at the institute and is fully embedded into the IBEC Strategic Plan 2014-2017, the HR strategy being one of its seven programmes.

The results of the online survey for internal assessment reinforced that the HR strategy is taking all stakeholders into account, as 89% of the respondents were aware of the commitment of IBEC to continuously improve HR policies and working conditions in line with The Charter & Code. When they were asked whether the HR strategy is a highly participative project, 80% responded with agreement or maximum agreement.

In the coming years, the main projects in IBEC's HRS4R, apart from the actions that are already ongoing, will be:

- **Selection:** Incorporation of the OTM-R recommendations (with consequent update of action 1; new actions 18 & 19; improvement of dissemination of PhD brochure as a tool to attract talent): first trimester 2018 onwards. Increasing effectiveness and transparency of the recruitment process with a e-recruitment tool for all vacant positions, with access for supervisors: T1 2018.
- **Training:** Increasing effectiveness of the training processes with a Training Management and Administration Platform with online course booking (new action 20): T1 2019. Defining job descriptions for technician positions and support positions (new action 21): T1 2019. Training and Development Plan for R1 (new action 22): T1 2019.
- **Working Conditions:** Implementation of an Annual Performance and Development Appraisal System incorporating the use of core and specific competencies: T3 2018. Second Equality Opportunities and Diversity Plan: 34 actions to be implemented from 2017 to 2019.
- **Ethical Issues:** Creating the Code of Good Scientific Practice. Developing appropriate and adequate training in ethics and research integrity and ensuring that all concerned are made aware of the code: fourth trimester 2017 onwards.

A revised action plan for the coming years, including updates of the current actions already in place as well as the new actions, has been incorporated into this self-assessment report. Additional actions for 2019 and 2020 will be incorporated in January 2018, when the new IBEC Strategic Plan 2018-2021 will be defined. A working retreat is planned for October 2017 where for two days the directorate, group leaders and heads of unit will meet to define the guidelines for the new Strategic Plan. The Plan is expected to be finished in December 2017 and ready to roll out from January 2018 onwards.

After two years implementing the HR strategy, and taking into account the results of the internal survey and analysing the level of achievement of the plan and the quality of implementation of the different actions, we are satisfied with the level of implementation of the HRS4R Action Plan. The positive impact that the HRS4R has had in our institute is tremendous, although we are conscious that there is much more to do, and that it is a continuous process to improve the working conditions of the researchers at IBEC.

3. ACTIONS

In this section, the list of actions is shown, together with the following information:

- the **timing** as planned in the original Action Plan (if a delay has taken place, a new timeline is given);
- the responsible **units**;
- **indicators** with their status per year;
- the **status** of the action (completed, in preparation or postponed) with a detailed description.

New actions and improvements expected are also described.

All documents listed in the table can be supplied on demand.

Colour legend:

	In preparation, postponed or new
	Completed
	New

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
SELECTION Action 1: Develop an OTM-R recruitment and selection policy and an interviewer guide.	Delayed from original plan T2 2016 to T1 2018	HR unit; group leaders	Dissemination of document to IBEC community	In preparation. This action has been redefined and therefore delayed in order to incorporate the OTM-R perspective. A Working Group with group leaders and heads of unit from the support areas has been set up and will meet regularly during T3 and T4 2017 to incorporate the OTM-R in the new selection policy and the interviewer guide.
SELECTION Action 2: Final candidates at senior positions involved in a job interview, who were evaluated by a selection panel, will be informed about the strengths and weaknesses of their applications.	T3 2016	Group Leaders; Selection Panel; HR Unit	Strengths and weaknesses template: Yes Number of feedback reports per selection process: <i>2016: 52 postdocs (next selection of COFUND postdocs in 2018)</i> <i>2016: 7 group leaders</i> <i>2017: 7 group leaders</i>	Completed and ongoing. For COFUND postdoc positions: At the end of the evaluation of CV and research proposal, an Evaluation Summary Report is accessible to all candidates through the online application platform available in the IBEC website https://careers.ibecbarcelona.eu/ A template with scores and strengths and weaknesses feedback for each criterion is in place. The feedback report includes the average of all evaluators' scores, as well as the comments given by external evaluators in the sections strengths and weaknesses. For group leaders: Our International Scientific Committee prepares a feedback report for all shortlisted candidates that have been interviewed.
SELECTION Action 3: Train Group Leaders and Senior Researchers in the recruitment and selection process and in interviewing skills. Periodic training will be provided.	Delayed from original plan T3 2016 to T4 2017	HR Unit	Number of training sessions: <i>1 per year (November 2017)</i> Target: <i>group leaders, senior researchers and heads of unit</i>	Action postponed to November 15 th 2017. Core competencies and specific competencies for each research position (R1 to R4) have been approved in June 2017. The Selection Policy including OTM-R will be developed in September-October 2017 (see action 1). In consequence, it has been decided to postpone the course until the new OTM-R policy is defined. A training in interviewing skills has been scheduled for November aimed at Group Leaders, Senior researchers and Heads of Unit.

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
SELECTION Action 4: Define and disseminate a new PhD brochure.	Delayed from original plan T2 2015 to T4 2016	HR Unit; Communications Unit	The PhD brochure is published in the web and disseminated: Yes	Completed. The PhD Committee was very involved in the creation of the document. The document is available in the web http://ibecbarcelona.eu/wp-content/uploads/2016/12/IBECPhDbrochure_2016_web.pdf and has been disseminated to partner organisations. In the internal survey for the self-assessment, 21% of respondents were not aware of this document. More effective dissemination of the document is needed.
SELECTION Action 5: Organize a yearly open day for undergraduate students to attract them to apply for internships and future master and PhD positions.	T2 2015 T2 2016 T2 2017 T2 2018	HR Unit; Communications Unit	One open day per year: Yes Number of participants: 2015: 59 2016: 45 2017: 39	Completed. Every year, in May, IBEC organises an event for undergraduate and master students with talks from the Director and meetings with the different research groups. Visits to the labs and other IBEC facilities take place. IBEC researchers at all careers stages are involved in different tasks during the event. Feedback collected from participants is very positive.
SELECTION NEW Action 18: Implementation of the OTM-R policy. Updates, adjustments in our procedures due to OTM-R. Monitoring and publication of documentation.	T1-T4 2018, and on going	HR Unit, group leaders and heads of unit	Quality monitoring system	
SELECTION NEW Action 19: Design and implement a new e-recruitment portal for all processes	T1 2018	HR Unit, group leaders and heads of unit, Communications Unit	Number of candidates. Number of selection processes. Quality of data	IBEC has an e-recruitment portal for institutional selection processes, such as the COFUND Postdoctoral Programme, the International PhD Programme, the Master Programme and the Junior Group Leader Programme.

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
TRAINING Action 6: Extend training opportunities for postdocs and senior researchers.	T4 2015 T4 2016 T4 2017 T4 2018	HR Unit	Number of training sessions: <i>2015: 8</i> <i>2016: 9</i> <i>2017:13</i> Number of postdocs and senior researchers trained: <i>2015: 13 postdocs; 0 senior researchers</i> <i>2016: 17 postdocs; 8 senior researchers</i> <i>2017: pending final data until 31/12/2017</i>	Completed and ongoing. See Training Catalogue, published in our webpage, for details of the courses aimed at postdocs and senior researchers http://ibecbarcelona.eu/wp-content/uploads/2017/03/training_catalogue_2017-1.pdf
TRAINING Action 7: Improve the planning and visibility of the training actions for researchers. Create a yearly training plan and publish it on IBEC's intranet and website.	T1 2016 T1 2017 T1 2018	HR Unit	Training Plan published yearly in March: <i>2016: half-yearly, published in June</i> <i>2017: yearly published in March</i>	Completed and ongoing. Until 2016 HR was publishing calls every time a course was launched. There was a need for improvement: In 2016 a half-year Plan (June to December) was published. In 2017 a yearly Plan has been established and published http://ibecbarcelona.eu/wp-content/uploads/2017/03/training_catalogue_2017-1.pdf NEW: specific training courses aimed at staff in the support area should be included in the yearly Training Catalogue.
TRAINING NEW Action 20: Training Management and Administration Platform with online course booking	T1 2019	HR Unit; Integrated Management Systems	Platform is in use on time	

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
TRAINING Action 8: Provide training sessions about job placement, preparation of CV, interviewee skills and different options of career development in research and other sectors. Periodic training will be provided.	T3 2015 T3 2017	HR Unit; Research Affairs Unit	Number of training sessions: 2 Number of participants: <i>2015: 11 PhDs</i> <i>2017: 7 PhDs and 5 Postdocs</i>	Completed and ongoing. The first idea was to give this course every two years (2015-2017-2019), but given the success of the course, a similar (2-day) training will also take place in 2018.
TRAINING Action 9: Provide training in Technology Transfer.	T2 2016 T2 & T4 2017 T2 & T4 2018	Technology Transfer Unit; HR Unit	Number of training sessions: 3 Number of participants: <i>2016: 13</i> <i>2017 session 1: 24</i> <i>2017 session 2: not known yet</i> Target: <i>researchers R1 to R3</i>	Completed and ongoing: On 23-02-2016: Technology Transfer I On 23-05-2017: Technology Transfer II On 29-11-2017: IP and Patents 2018: How to reach industry 2018: Product development
TRAINING Action 10: Mentoring programme: young researchers (mentees) are appointed with senior researchers (mentors). Includes training for mentors.	T1 2017 T2 2018	Group leaders; Directorate; Research Affairs Unit; HR Unit	Number of mentees: <i>2017: 12 mentees (postdocs) and 10 mentors (group leaders)</i> Number of training sessions: <i>2017: 2</i> Target: <i>postdocs</i>	Completed and ongoing You can find information about the programme in our webpage: http://ibecbarcelona.eu/training/mentoring-programme/ The 1 st Mentoring Programme was launched in March 2017 and is a one-year process. Training for mentors took place on 15 th May 2017. Training for mentees took place on 23 rd May 2017. In 2018 a new call of the Mentoring Programme will be launched. NEW: An online evaluation questionnaire will be defined for mentors and mentees at the end of the 1 st Mentoring Programme to gather information and make necessary changes for the next call.

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
TRAINING Action 11: Revise job descriptions, including identification of core competencies for researchers.	Delayed from original plan T1 2016 to T2 2017	Group leaders; Directorate; HR Unit	Job descriptions are defined and published: Yes, in June 2017 Core competencies for all IBEC members and specific competencies for researchers (R1 to R4): all competencies have been defined from February to May 2017. They were approved by Directorate in July 2017 and will be published after the summer holidays in September 2017	Completed. Step I: In October 2016, an interdisciplinary working group was created to identify and define IBEC's values. http://ibecbarcelona.eu/about-us/our-missions-2/ This was the ground work necessary to identify the competencies. Step II.a: In February 2017, four working groups of researchers at all career stages were established to identify and define core competencies and specific competencies for researchers (R1 to R4). These groups met during the period Feb–May 2017 and were approved by the Directorate in July 2017. In November 2017, a course in core competencies will be organised for support services staff. Step II.b: In February 2017, four working groups of researchers at all career stages were established to define the job descriptions for R1 to R4. Each group addressed one of the research positions. Additionally, feedback from researchers was requested via a template that was sent to all researchers by category. Job descriptions were published in June 2017.
TRAINING NEW Action 21: Job descriptions for technician positions. Update all job descriptions for support area.	T1 2019	HR Unit; Group leaders; heads of unit; Directorate	Job descriptions are defined and published on time	In the internal Survey, there was a demand for job descriptions for technicians at IBEC. Likewise, job descriptions for support services must be updated or newly described.
TRAINING NEW Action 22: Training & Development Plan for R1	T1 2019	HR Unit; group leaders; PhD committee	The plans are defined and communicated. The annual Training Catalogue is defined according the Training & Development Plan.	HR will work together with group leaders and R1 to define the training and development path, which will cover from the starting point as a newcomer at IBEC until PhD graduation.

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
WORKING CONDITIONS Action 12: Create mechanism for conflict resolution establishing procedures for conflict situations	Delayed from original plan T2 2017 to T4 2017	Group leaders; Directorate; HR Unit	Procedure is defined and published Target: <i>all IBEC community</i>	In preparation. Monitoring committee discussed in two meetings in T1 and T2 2017 A draft has been prepared, but it needs some development before approval by the Directorate.
WORKING CONDITIONS Action 13: Create and implement a new Annual Performance and Development Appraisal System for PhD students & postdocs to monitor their progress. Provide training in strategies for setting and agreeing objectives and how to provide feedback.	Delayed from original plan T3 2017 to T4 2018	HR Unit; Group leaders; Finance Unit; Scientific Committee	% of performance and development interviews Number of training sessions Target: <i>PhD students & postdocs</i>	Action postponed to T4 2018. More time is needed to prepare this action, as the appraisal system will be based on competencies. Before putting a performance and development system in place, competencies should have had broader use within all researchers and the support areas.

Dimension; Action Number; Title action	Timing	Unit(s)	Indicator(s) and Targets	Current status & description
WORKING CONDITIONS Action 14: Create, implement and disseminate measures of IBEC Equal Opportunities and Diversity Plan (2014-2016). Create a new Plan as of 2017.	2015, 2016, 2017, 2018	Gender and Diversity Committee; all Support Units	Implementation of the 17 actions and dissemination of the 1 st Plan: Yes Create and implement the 2 nd Equal Opportunities and Diversity Plan (2017-2019): Yes Target: IBEC community	Completed and ongoing. IBEC's first Equal Opportunities and Diversity Plan (2014-2016): http://ibecbarcelona.eu/about-us/ibec-strategy-and-action-plan-2014-2017/ Second Equal Opportunities and Diversity Plan (2017-2019), which consists of 34 actions : http://ibecbarcelona.eu/wp-content/uploads/2017/07/Equal_opportunities_diversity_%202017_2019.pdf
WORKING CONDITIONS Action 15: Improve and update the current induction plan: Initial training, welcome materials, induction presentation.	Delayed from original plan T1 2016 to T1 2017	HR Unit; Core Facilities; Communications Unit	Satisfaction survey: yes. 2017: <i>88% of respondents answered they agree that the induction plan is well organised and covers the needs of newcomers</i>	Completed.
ETHICAL ISSUES AND INTELLECTUAL PROPERTY Action 16: Creating a Code of Good Scientific Practice.	Delayed from original plan T3 2016 to T4 2017	Group leaders; Scientific Committee; Strategic Initiatives Unit; HR Unit; Communications Unit	Code of Good Scientific Practice is created and published Target: <i>researchers and support area of IBEC</i>	In preparation. An interdisciplinary working group with volunteers (R1 to R4) has been set up. The group is meeting regularly and advancing in the definition of the Code's contents.
ETHICAL ISSUES AND INTELLECTUAL PROPERTY Action 17: Course in ethics in research and on good scientific practice. Dissemination and inclusion in the welcome package for newcomers	Delayed from original plan T4 2016 to T1 2018	Strategic Initiatives Unit; HR Unit	Participants in the course Target: <i>Researchers R1 to R4 and senior technicians</i>	Postponed. Once the code is created and published, training will take place, and the code will be included in the Induction pack for newcomers.

COMMENT ON THE IMPLEMENTATION OF OPEN, TRANSPARENT, MERIT-BASED RECRUITMENT PRINCIPLES:

IBEC entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015). The OTM-R checklist is available in Annex I.

Action number 1 of the HRS4R Action Plan is to create a recruitment policy and an interviewer guide. This action has been delayed to incorporate the OTM-R principles. An additional action has been incorporated into the Action List to continuously update our policy and implement adjustments in our procedures due to OTM-R, including the monitoring and publication of documentation.

Before starting to analyse whether our current policies comply with the OTM-R, it was important to receive some specific training. Consequently, the Head of HR attended the Erasmus+Staff training “In Search of HR Excellence in Research” at the University of Liège from May 8th to May 12th 2017. The training had focused on HRS4R and OTM-R and consisted of five days of talks by international experts, working groups, discussions and cross-fertilisation activities.

The OTM-R checklist has been prepared in June and July 2017 by a working group of group leaders, heads of unit of the support areas and the HR Unit, among them senior members of the Monitoring Committee. The results have been understood as a good basis of work; however, future work by the working group is crucial to include the OTM-R principles in our processes and policies.

From the analysis of the OTM-R checklist, we conclude that IBEC is laying the foundation of a solid OTM-R system. Proof of this are the following examples:

The definition of IBEC’s values, the job descriptions and the competencies (core and specific) for each research position (R1 to R4). See action number 11 from the Action Plan.

In November 2017, a training course on selection techniques will be held for researchers R1 and R2. The draft of the Selection Policy will be presented. Also in November, all support staff will be trained in a two-day session in core competencies.

The following recruitment and selection processes largely comply with OTM-R: the Junior Group Leader Programme, the COFUND Postdoctoral Programme (with 12 incoming postdoctoral researchers), the International PhD Programme (2016 and 2017) and the Master Programme.

However, there are other selection processes that comply partially with OTM-R, and this is where we need to improve and implement new measures.

During the period of July to November 2017 the OTM-R Working Group composed of group leaders, heads of unit and the HR Unit will develop the new OTM-R recruitment and selection policy.

Another project foreseen for T4 2017-T1 2018 is a new online recruitment tool that will be available for all positions and to all candidates who want to apply spontaneously to IBEC.

4. IMPLEMENTATION

The internal review process of the HR strategy has had two variants: the **review of each action**, and the analysis of the **internal survey**.

a. Review of each action

Since the Action Plan for the HRS4R was sent to the European Commission for assessment, a Monitoring Committee of volunteers was set up. This committee meets regularly every two to three months and, when necessary, ad-hoc meetings take place. It is an interdisciplinary group with four researchers from all career stages (R1 to R4), two heads of support units and the Managing Director.

The members are very engaged and participative, contributing with ideas and suggestions for improvements. Its members go through the status of each action and revise the indicators for each, so that any problem arising can be identified. Indicators and Targets have been set up for each action of the Action Plan. The HR Unit fills out Excel sheets for each action that compile information including timing, links to documents, statistics, budget, etc, that is relevant for the analysis of the action. For each meeting of the Monitoring Committee, minutes are prepared and signed.

Apart from the new actions added in the Action Plan (for OTM-R issues and e-recruitment tool), the Monitoring Committee will discuss other new actions to be included for the new period of the Action Plan and until the award renewal phase, which will take place three years from now.

b. Analysis of the internal survey

The Monitoring Committee created an online survey in June 2017 for the self-assessment, and their members helped to spread the word within IBEC to encourage participation. The aim was to collect as many opinions and perceptions as possible regarding the actions implemented within the HRS4R, as well as collecting possible improvements and ideas for new actions.

The survey reached 285 people and was answered by 89 people, which represents 31% of IBEC's community (students included). 82% of them were researchers and 18% staff from the support areas. The survey was completely anonymous to guarantee maximum participation within the IBEC community.

The survey was organized in 17 statements, divided into the following dimensions: HRS4R, Recruitment, Working Conditions, Training and Ethical Aspects.

These are the results:

89% of the respondents are aware of IBEC's commitment to continuously improve HR policies and working conditions in line with The Charter & Code.

82% feel they are well informed about the implementation and evolution of the actions in place. However, 15% are not aware of them.

80% responded with agreement or maximum agreement when asked whether the Human Resources Strategy is a highly participative project.

Regarding some of the measures that we have implemented during the first two years, we asked about the degree of knowledge and the level of satisfaction:

Legend:	Knowledge	Satisfaction
1. I am not aware	%	%
2. Minimum		
3. General Knowledge/ Satisfaction		
4. Maximum		
PhD Brochure (Action 4)	1. 21% 2. 22% 3. 38% 4. 18%	1. 24% 2. 13% 3. 53% 4. 10%
Annual Training Catalogue (Action 7)	1. 12% 2. 17% 3. 29% 4. 42%	1. 12% 2. 11% 3. 48% 4. 28%
Job Descriptions (Action 11)	1. 1% 2. 9% 3. 53% 4. 37%	Not evaluated with a multiple-choice question, but in the survey's open questions it was evaluated positively, and there were requests to prepare job descriptions for technician positions.
Mentoring Programme (Action 10)	1. 4% 2. 29% 3. 34% 4. 33%	1. 13% 2. 18% 3. 51% 4. 18%
Equal Opportunities and Diversity Plan (Action 14)	1. 6% 2. 19% 3. 45% 4. 30%	1. 10% 2. 15% 3. 55% 4. 20%
Values (Action 11)	1. 12% 2. 26% 3. 40% 4. 21%	1. 15% 2. 18% 3. 54% 4. 13%

From these results, actions are needed regarding the level of knowledge of the PhD Brochure and IBEC Values. The Mentoring Programme and the IBEC Values actions have been evaluated with low levels of satisfaction and should be thoroughly investigated, and actions implemented.

Regarding the statement "The Open Day "reSearch4Talent" organised every May for undergraduate and master students, is useful in attracting talent to IBEC": 79% responded agreement or maximum agreement.

To the statement "The yearly Training Catalogue, launched in February 2017, covers my needs and expectations and improves the previous situation": 63% responded agreement or maximum agreement, whereas 31% disagreed. Improvement is needed when assessing the training needs of researchers and support area staff. The training management platform that is planned for 2019 will improve also effectiveness in the process.

When asked if they believe that IBEC promotes the possibility for researchers to experience geographical, intersectoral, inter- and transdisciplinary mobility, between public and private sectors: 64% were in agreement or maximum agreement, whereas 36% disagreed or totally disagreed. Action is needed in this respect.

To the statement that training courses for postdoc researchers and seniors has increased in the past two years: 78% answered agreement or maximum agreement.

64% considered that the Mentoring Programme at IBEC improves the career development of mentees (postdocs), whereas 36% disagreed or totally disagreed. Action is needed: an online evaluation questionnaire will be defined for mentors and mentees at the end of the current mentoring scheme to gather information and make necessary changes for the next.

75% considered that gender balance and equal opportunities are actively fostered at all levels of staff, including at the supervision and management level. 25% disagreed or totally disagreed. Action is needed: the second Equal Opportunities and Diversity Management Plan has been launched in June 2017.

64% consider that sufficient and specific measures are in place to encourage both women and men to combine family and work, children and career (e.g. flexiwork, part-time, tele-working, sabbatical leaves, etc.), whereas 29% don't agree or 7% totally disagree. Action is needed. The Internal guide with measures to reconcile family and professional life has to be regularly updated and needs to incorporate new measures.

All this information, together with the comments and suggestions received from the participants in the open question of the survey, has provided us with an opportunity to identify challenges and potential for improvement.

Apart from this survey, researchers and staff have I-Box (IBEC's suggestions box) always open and available to share their ideas and suggestions for the improvement of the institute's processes, particularly those related to the HRS4R.

The HRS4R is completely aligned with the IBEC Strategic Plan 2014-2017 (available on our webpage at <http://ibecbarcelona.eu/about-us/ibec-strategy-and-action-plan-2014-2017/>). Specifically, the HR strategy is one of the seven programmes in the Strategic Plan 2014-2017, namely SP2, 'Good HR practices': "Creating a professional environment for both researchers and technical and administrative staff that attracts, develops and keeps talent and fosters achievements of IBEC's goals".

The HRS4R has become, in the last two years, a transversal project at IBEC and an integral part of our policies. Our researchers and the Directorate include references to the HRS4R in slides in their corporate presentations, in relevant policy documents and calls for proposals, and it is verbally explained at employee fairs, to mention just a few examples.

The award of a Marie Curie COFUND project in 2015 to fund IBEC's International Postdoctoral Programme has been a recognition by the European Commission of the quality of IBEC's HRS4R, and a boost to the quality of all matters related to human resources at IBEC.

The HRS4R is a highly participative programme, and 80% of respondent of the internal survey had this opinion. All stakeholders at IBEC are taking part in different working groups and committees.

The following examples are proof of this.

- Based on IBEC's mission and vision, our values have been identified and defined by different working groups which met from October to December 2016 in the "From Values to Excellence" project.
- On the basis of the values, five different working groups were organised, involving around 40 researchers at all career stages, to identify and define the core competencies for all IBEC members and specific competencies for the research positions R1 to R4. The working groups met from January to May 2017. The draft of the "Competency Dictionary" was presented to the Directorate who revised it, made contributions and approved it in June 2017.
- Job descriptions for research positions R1 to R4 were created and defined thanks to four working groups. In each working group, a minimum of six researchers at the relevant position and two group leaders met with the HR Unit and an external consultant to create each job description. The result was sent by email to the rest of the researchers to ask them for their contributions. The four job descriptions were presented in May to the Directorate who revised them, added changes and approved them.
- The second Equal Opportunities and Diversity Management Plan has been the result of five months of work by the Gender and Diversity Commission, including an online survey to gather opinions from the IBEC community. The first Gender and Diversity Plan ended in November 2016 and from January 2017 a new commission was established with regular meetings every two months (more often during the first months) to create the Plan for 2017-2019. A celebration and high point of the first Gender and Diversity Plan, in November 2016, was the event 'Advancing Gender Equality and Diversity in Science' with more than 50 people in attendance from IBEC as well as other research institutions, and featuring renowned speakers in gender and research.
- A working group to create the IBEC Code of Good Scientific Practice has also started working on the document. Its members are researchers from R1 to R4, heads of unit and the Managing Director.
- An interdisciplinary working group of group leaders and heads of unit has recently started to analyse the situation on the basis of the OTM-R checklist that they have prepared, and will meet regularly to define the new OTM-R selection policy.

There is a specific budget allocated for the implementation of the measures, partly funded by the Spanish Ministry of Economy, Industry and Competitiveness under the Severo Ochoa grant SEV-2014-0425 (2015-2019). The HR Unit together with the Managing Director manages the budget.

The HR Unit is the task leader in charge for implementing the Actions. The Head of Human Resources and the HR Talent and Acquisition technician collaborate with the responsible units. The Managing Director is a member of the Monitoring Committee, and the all Actions within the HRS4R, including this report, are approved by IBECs Directorate.

Annex 1

OTM-R Checklist

Institute for Bioengineering of Catalonia (IBEC)

Open, Transparent and Merit-based Recruitment Check-list¹					
	Open	Transparent	Merit-based	Answer: Yes, completely Yes, substantially Yes, partially No	Current status, indicators, future actions to be implemented, comments
OTMR-System					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	No	IBEC has an internal selection policy approved in 2009 for internal use by the HR Unit. It has never been made public and must be updated with OTM-R. To define and publish a Selection Policy and Interviewers Guide is Action number 1 in the Action Plan of the HRS4R.
2. Do we have internal guidelines setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes, substantially	For the COFUND Postdoctoral Programme and International PhD Programme there are clear internal guidelines, which are OTM-R compliant, therefore the answer in these cases is Yes, completely. For the rest of the selection processes, see comments on question 1.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	Yes, partially	Group leaders, senior researchers and heads of unit will have a training course in November 2017. A HR Unit member has been trained in Erasmus+Staff Training in Liège, with a focus on HR excellence in research and OTM-R.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes, substantially	IBEC has an e-recruitment tool which can be accessed through its website. It has been used for the following selection processes: the International PhD Programme, Junior Group Leader Programme, COFUND Postdoctoral Programme and Master Programme. All other selection processes need to be incorporated in the e-recruitment tool. This is planned for T4 2017.

¹ https://cdn5.euraxess.org/sites/default/files/policy_library/otm-r-checklist.pdf

5. Do we have a quality control system for OTM-R in place?	x	x	x	Yes, partially	Guidelines should be implemented. For the COFUND Postdoctoral Programme and the International PhD Programme a supervisory board meets before, during and after the selection process to monitor and supervise the quality. After that, the process and areas of improvement are discussed in the Group Leader Meeting together with the Directorate.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes, completely	All researcher job adverts are advertised publicly. Indicator: Number of external applicants per selection process.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes, substantially	For all research positions: Yes, completely, as these are advertised in Euraxess and other international recruitment platforms. For positions in the support areas: Yes, partially. Indicator: Number of international applicants per selection process. Since 2016, statistics are available only for the selection processes mentioned in question 4. For the rest of the selection processes, statistics will be available when the e-tool is extended to all the selection processes.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes, substantially	For junior group leader and postdoc positions, IBEC applies a 40% ratio of underrepresented sex to short-listed candidates who attend final interviews. Job adverts are checked with e-tools to avoid masculine-coded language to achieve a more inclusive use of language.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes, substantially	Flexi-time, teleworking, special leave, and other measures related to balancing work and family life are included in the "Internal procedures guide: measures to reconcile work and family life". This guide must be regularly updated.
10. Do we have the means to monitor whether the most suitable researchers apply?				No	
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g. EURAXESS) for advertising positions?	x	x		Yes, completely	All researcher job adverts are published in Euraxess. The HR Unit uses templates. Each job advert is agreed between the supervisor and the HR Unit. The HR Unit leads and monitor the recruitment phase.
12. Do we include in the job advertisement references/links to all the elements foreseen in	x	x		Yes, partially	The following selection processes comply with the elements included in Chapter 4.4.1: the International

the relevant section of the toolkit? (see Chapter 4.4.1.a)					PhD Programme, the COFUND Postdoctoral Programme and the Master Programme. For the rest of the selection processes, more elements should be included in the job adverts.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes, completely	
14. Do we make use of other job advertising tools?	x	x		Yes, completely	Job adverts are published in free and paid advertising tools, nationally and internationally, and also in social networks such as Twitter and LinkedIn.
15. Do we keep the administrative burden to a minimum for the candidates? (see Chapter 4.4.1.b)	x			Yes, substantially	
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? (see Chapter 4.4.2.a)		x	x	Yes, substantially Yes, partially	For the COFUND Postdoctoral Programme and the International PhD Programme: Yes, completely. For the rest of positions: Yes, partially. Guidelines are needed. Indicator: Statistics on the composition of panels are needed.
17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes, partially	Guidelines are needed
18. Are the committees sufficiently gender-balanced?		x	x	Yes, substantially	In those cases where there is a selection committee, IBEC complies with gender balance. The minimum requirement is a 40% ratio of the underrepresented sex.
19. Do we have clear guidelines for selection committees that help to judge “merit” in a way that leads to the best candidate being selected?			x	Yes, substantially	For COFUND Postdoctoral Programme and International PhD Programme: Yes, completely. Additionally, the e-recruitment tool helps to facilitate and speed up the evaluation process, as criteria can be evaluated online. A video from CERCA on “Recruitment Bias in Research” is circulated to all members of selection panels. Written guidelines are needed, including a competency-based selection procedure.

Appointment phase					
20. Do we inform all applicants at the end of the selection process?		X		Yes, completely	IBEC contacts all candidates applying to IBEC.
21. Do we provide adequate feedback to interviewees?		X		Yes, partially	In the COFUND postdoctoral selection process, feedback reports are sent to all candidates that have been evaluated. Shortlisted candidates for senior positions who have been interviewed by a selection panel will be informed about the strengths and weaknesses of their application (Action number 2 of the Action Plan for implementing the HRS4R). Indicator: Number of feedback reports per selection process
22. Do we have an appropriate complaints mechanism in place?		x		Yes, partially	Only for COFUND postdoctoral selection process. Indicator: statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				Yes, partially	A working group with group leaders, senior members of the Monitoring Committee of the Charter and Code and heads of unit has been created and has started to work.

July 2017

Members of the Working Group for the OTM-R checklist:

3 group leaders, 3 heads of support units, and HR Unit. 8 participants of whom 3 are senior members of the HRS4R Monitoring Committee.